

**Austin Peay State
University**

Grants Award and Declination Policy

POLICIES

Issued: March 8, 2017

Responsible Official: Provost and Senior Vice President for Academic Affairs

Responsible Office: Office of Research and Sponsored Programs

Policy Statement

Accepting and declining external funding tends to have many implicit and explicit impacts on the University. University employees involved in external funding must adhere to this policy to support the mission of the University.

Purpose

The mission of Austin Peay is supported by the acquisition of external funding. This policy serves to ensure communication between all possible University stakeholders regarding the acceptance or declination of external funding. Since external funding tends to support activities that require University resources, such as employee-time and facilities, the spirit of the policy is to maximize resources while minimizing unintended consequences that may be incurred due to accepting or declining external funding.

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Procedures

Upon notification of a grant/contract award or declination by the sponsor, the Office of Research and Sponsored Programs (ORSP)

should be notified immediately. If it is in writing, the original notification should be delivered to ORSP for filing. ORSP will notify all parties about the award and alert interested parties to the impending receipt of the contract.

Declined Proposals

If the proposal was declined by the sponsor, the notice will be ~~placed in the grant file~~ filed by ORSP and the grant application considered closed until reactivated by further applications. It is the grant-applicant's responsibility to ensure that reviewer's comments (if available) are on file in ORSP in the event of a future submission.

Awarded Proposals

In general, grants and contracts are awarded to Austin Peay State University, not to the grant-applicant(s). APSU is the legal entity accountable for compliance with all terms and conditions of the grants or contracts.

In consultation with the grant-applicant(s), only ORSP may negotiate for changes in programs, outcomes, products, services, and/or in funding level. If negotiations result in programmatic or funding changes that increase the level of APSU's commitment beyond what was authorized by the original proposal, ORSP will secure approvals for changes from all relevant administrators. This must be completed prior to accepting ~~the~~ awards or award extensions. This will be done in consultation with all parties.

Award Acceptance and Routing

Subsequent to the award notification, a contract should be received from the external sponsor. The contract must be routed through the University in the same manner as the original proposal. The routing of award contracts is performed solely by ORSP. ~~This contract must have the "Contract Approval for Vendor Agreements Form" completed and routed through the appropriate administrative channel. The Contract Approval for Vendor Agreements Form must be signed by the academic dean or supervisor, and the Director of ORSP. It will then be submitted to the Procurement and Contract Services for review. Additionally, some agreements specifically require a signature by the President or designee. No agreement exists until a fully executed contract has been received, accepted, and numbered by Office of Procurement and Contract Services.~~

No award agreement exists until the required documents are routed and appropriately signed and returned to the sponsor. If during this review, it is determined that contract modifications are needed, ORSP, in consultation with Procurement and

Contract Services [and APSU's Office of Legal Affairs](#), will negotiate with the sponsor for the modifications.

When a sponsor issues an award letter that does not require written acceptance, ORSP will route that letter for approval. When the approval has been received, ORSP may commit the University to the award by authorizing expenditure of the grant funds. Unless specifically declined by APSU, an award letter creates an agreement.

ORSP will return the contract to the sponsor for execution.

[After award letter notification, ORSP will notify grant awardees when the grant funds are available for spending.](#) Grant-applicants are not permitted to expend grant funds until the formal agreement has been routed, signed, and notification has been given to the grant-applicant(s) that he/she/they may begin grant activities. Initial expenditure of funds constitutes formal acceptance of such awards. Sponsors occasionally permit pre-award grant expenditures; in such a case, notification from the sponsoring agency must be received and on file in ORSP prior to incurring pre-award expenses.

University Obligation

The University has no obligation to accept or to provide cost-sharing or matching funds for any award for which a fully approved proposal is not on file in ORSP; this applies to all awards, regardless of who may be designated as the primary awardee. [APSU employees are strongly encouraged to review all external funding related policies prior to submitting for external funding. In most situations, only ORSP administrators have signatory authority to accept external funding for APSU.](#)

Declination of an Award

Declination of an award must be done in writing over the signature of the Associate Provost for Research.

All declinations must be routed through ORSP.

ORSP will notify all administrators signing the original proposal of the intent to decline an award prior to taking action on a declination.

Awards to Individuals

Grants are considered individual awards only when APSU is not named in the agreement and the payee for all funds is the grant-applicant(s) in his/her role as a private citizen. [In situations where the grant award is paid directly to an APSU employee, the](#)

awardee should notify ORSP of the intent to apply for the award prior to applying to discuss possible conflicts of interest and other possible conflicts with APSU's policies and possible conflicts with state and federal regulations.

Individual awards will be reported to ORSP when one or more of the following conditions exist:

1. Project work will take place during the employee's normal working hours or will require the employee to be absent from his/her normal work assignment (including leaves of absence and reassigned time).
2. Project work will be performed on University property.
3. University resources (e.g. equipment, clerical support, etc.) will be used in the performance of the project.
4. The contract or agreement was awarded based upon the individual's status as an employee of the University.

~~4.5.~~ The contract or project involves APSU students.

Awards meeting the above criteria will be included in all reports issued by ORSP pertaining to external support for University research and related activities.

Individual awards will be reviewed by ORSP to determine the extent of the commitment of University resources necessary to complete the project. If a commitment of University resources is needed, the awardee must obtain University approval for their use prior to acceptance of the award. ORSP will assist the awardee with needed approvals. Inability to secure these approvals may necessitate the individual awardee's declination of an award.

Revision Dates

APSU Policy 2:057 (previously 7:003) – Rev.: March 8, 2017
APSU Policy 2:057 – Rev.: May 8, 2014
APSU Policy 2:057 – Issued: August 5, 2011

Subject Areas:

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Academic	Finance	General	Human Resources	Information Technology	Student Affairs
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Approved

President: signature on file

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