

## Policy Revision Checklist for Policy #

1. **Start** Group preparing the revision

2. **To** Legal Affairs and Strategic Planning

Request the Word version of a policy.

3. **To** Initiating Authority of the Policy

Provost

Vice President for Student Affairs

Director of Affirmative Action

Vice President for Finance and Administration

Executive Director for University Advancement

Inform the Initiating Authority of the request to revise the policy.

4. **To** Group preparing the revision

Revise the policy following policy 0:001 for format.

5. **If the policy is academic, then**

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**To** Faculty Senate Executive Committee  
Review the policy.

**To** Faculty Senate  
Vote on the policy.

**To** Deans' Council  
Vote on the policy.

**To** Academic Council  
Vote on the policy.

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6. **To** Legal Affairs and Strategic Planning

Prepare the policy for the next Policy Committee meeting.

7. **To** University Policy Committee

**First Reading**  
Review the policy.

**Second reading**  
Review an academic policy for information.  
Vote on implementation, revision, or revocation of a non-academic policy.

8. **To** Legal Affairs and Strategic Planning

If the policy is approved, prepare the policy for the President to approve and sign.

9. **To** President

Approve and sign the policy.

Reject the revision.

Return the policy to Step 4 (or to Faculty Senate Executive Committee) for final revision.

10. **To** Legal Affairs and Strategic Planning

Post the policy to the web, send an electronic copy to the library, post it in The Gov, and keep the original on file along with any back-up material.

**AUSTIN PEAY STATE UNIVERSITY  
POLICIES AND PROCEDURES MANUAL**

Policy Number: 7:002	Supersedes Policy Number: 99:007
Date: May 17, 2010	Dated: April 26, 2006
Subject: Grant Proposal, Application Preparation, and Award Policy	Mandatory Review Date: May 17, 2015
Initiating Authority: Director, Office of Grants and Sponsored Research	TBR Policy/Guideline Reference:
Approved:	President: signature on file

All proposals submitted to any external funding agency first must be submitted to the Office of Grants and Sponsored Research for review, routing, and administrative approval. ~~For proposals no more than \$1,000.00, the signature of the Department Chair and approval by the Office of Grants and Sponsored Research is required.~~

Completed ~~P~~proposals ~~should~~must be submitted to the Office of Grants and Sponsored Research (GSR) a minimum of ~~two weeks~~seven days prior to the required mailing/posting submission date. Exceptions to this requirement are exceedingly rare but may be made by administrative approval.

The grant narrative (and all accompanying materials, including appendices and references) ~~should~~must be submitted with a ~~“Proposal Approval Sheet” (Attachment A) and “Budget Information Form” (Attachment B)~~Routing Form completed by the principal investigator. ~~The Routing Form will be available at the GSR website, or will be provided to the principal investigator by GSR personnel. The Routing Form must be clear, concise, and fully accurate at the time of routing, and endorsed by the department chair or director and dean, prior to submission to the Office of Grants and Sponsored Research. All requested information must be clear and concise. Routing Forms must identify the start and end date of the grant cycle; the project director’s name and contact information; the name of all partners; the funding agency(ies); all appropriate solicitation information; the grant title; identification of appropriate assurances/compliances; and a synopsis of the budget expenditures.~~

**Comment [ss1]:** I would recommend that we not attach the forms to the policy. They will be online.

**Budgets**

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Budgets for proposals and, if approved, final agreements, shall be prepared using the cost categories and cost classification system used by APSU’s accounting system. Exceptions will be made only when a sponsor’s written policy requires a prescribed format. A copy of the sponsor’s requirements must be on file in the Office of Grants and Sponsored Research

The principal investigator will work with the Office of Grants and Sponsored Research and the Business Office to bring a non-conforming budget into alignment with the institutional

accounting system cost categories. This must be completed prior to routing and final submission to funding agency.

When exceptions are made to the budget, the principal investigator must prepare fiscal reports reflecting these exceptions and provide additional documentation to support the expenditure classifications.

Project budgets, for proposals and final agreements, must include entries for indirect costs if such costs are allowable by the agency. These costs will be included at the maximum allowable rate and may be modified only by the Director of Grants and Sponsored Research. ~~Employee benefits and indirect costs must also be included at the appropriate APSU rates if personnel expenses are present in the budget.~~ If the sponsor has a written policy or instructions disallowing ~~these benefit costs, they will be shown in the project budget as APSU cost sharing.~~ An internal funding source for employee benefit expenses must be identified and approved by Accounting Services. A copy of the sponsor's written policy and/or grant proposal guidelines must be on file in the Office of Grants and Sponsored Research indicating these as non-allowable costs by the funding agency.

~~Project budgets will indicate clearly the start and end date of each budget period.~~

Salaries, travel, and equipment items will be budgeted to conform with parallel APSU and Tennessee Board of Regents policies and guidelines or with the sponsor's written requirements, if the latter are more restrictive.

### Routing Process and Signatures

The Office of Grants and Sponsored Research is authorized to make revisions to the grant proposal and/or budget related to compliance, format, presentation, delivery, accuracy, ~~and~~ conformity to Austin Peay State University standards, and/or agency guidelines. The applicant will be made aware of all revisions, as time allows. Following the initial review by the ~~d~~Director of ~~g~~Grants and ~~s~~Sponsored ~~R~~Research, the proposal will be routed through the appropriate administrative review.

Prior to submission, the proposal-Routing Form and full proposal must be reviewed and approved by the ~~author's department chair, dean or non-academic administrative director, vice president for finance and administration, provost, and president.~~ ~~On occasion, especially for a new program, APSU's vice president of legal and strategic planning also will need to review the documents.~~ following personnel (or their designees): 1) principal investigator, 2) Department Chair, 3) Administrative Dean (or non-academic administrative director), 4) Director of Grants and Sponsored Research, 5) Associate Provost, Grants and Sponsored Programs and Dean of the College of Graduate Studies, and 6) Vice President for Finance and Administration. In appropriate situations, signatures or administrative approval must also be obtained by the Provost and/or President.

By ~~signing~~ approving the “Proposal Approval Routing Form” (Attachment A), ~~department chairs, deans or non-academic administrative directors and the vice president for the area~~ signatory agents give complete approval; assume appropriate responsibility; attest to the technical merits of the proposed work and the ability of the faculty member to perform the task; assure the University’s upper-level management that existing equipment, facilities and services are adequate for the proposed scope of work; and that no additional funding for equipment, space or facilities will be required, unless specifically noted and attached to the proposal.

The signature of the ~~d~~Director of ~~g~~Grants and ~~s~~Sponsored ~~r~~Research on the ~~proposal~~ Routing Form attests that the proposal meets at least the minimum requirements of the potential sponsor and that the budget proposal and any budget for internal review only are presented in a way that facilitates review by ~~senior administrative official~~ the funding agency and APSU. In addition, he/she attests that the personnel costs in the budget are in accordance with APSU’s personnel policies and guidelines and that all other expenditures can be made within the University’s purchasing and procurement guidelines. He/she also attests that all grants/contracts will comply with all internal, state, and federal regulations related to the compliance and assurance issues identified on the Routing Form, hazardous waste, use of human and animal subjects, genetic research and security of material sensitive to national security and security clearances that may apply to the proposed project. The ~~d~~Director of ~~g~~Grants and ~~s~~Sponsored ~~r~~Research will provide assistance in implementing and maintaining any required compliances.

The signature of the Associate Provost, Grants and Sponsored Programs and Dean of the College of Graduate Studies indicates that the proposal conforms with generally accepted research principles, including human and animal care protocol, conflicts of interest, genetic research, security of material sensitive to national security (and security clearances), and hazardous waste.

The ~~signature of the~~ vice ~~p~~resident for ~~f~~inance and ~~a~~Administration ~~in signing~~, indicates that the proposal budget is in agreement with general University budgeting guidelines and that all financial obligations in the proposal can be discharged within the University’s personnel and purchasing guidelines and policies.

### Approval

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Upon completion of the above reviews, the grant application ~~will be recommended for signature~~ is approved for submission. The principal investigator will be notified of the final status of the approval. If the proposal is not approved, the principal investigator may make corrections; however, the project must be re-routed to ensure compliance and the final project must be received within seven days of the submission deadline, of the provost and the president. Then, it is prepared and released according to instruction for mailing.

Approved proposals will be submitted by Grants and Sponsored Research personnel only. In unique cases, the principal investigator may submit directly to the funding agency (or partners) with prior and written approval by the Director of Grants and Sponsored Research.

~~Upon receiving Grant Award Notification of a National Science Foundation (NSF) grant, all undergraduate and graduate students, as well as postdoctoral researchers, must complete~~

Responsible and Ethical Conduct of Research training, which is one part of the Collaborative Institutional Training Initiative (<https://www.citiprogram.org/Default.asp?>). Some projects may require approval from APSU's Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC). External funding requests may generally be submitted without such approval; however, approval must ultimately be obtained by the respective committee prior to beginning any grant activities. Approval may require that the principal investigator and additional grant personnel obtain certification or recertification of Responsible and Ethical Conduct of Research training (which is one part of the Collaborative Institutional Training Initiative which is located at: <http://www.citiprogram.org/Default.asp?>).

**Comment [ss2]:** I met with Dr. Grah on 02/03/11 who approved these statements. Dr. Grah is the chair of the IRB committee.