

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

Policy Number: 7:003	Supersedes Policy Number: 7:003
Date: August 5, 2011	Dated: April 26, 2006
Subject: Grants Award / Declination Policy	Mandatory Review Date: August 5, 2016
Initiating Authority: Director, Office of Grants and Sponsored Research	TBR Policy/Guideline Reference: n/a
Approved: <span style="float: right;">President: Signature on file</span>	

Upon notification of a grant/contract award or declination by the sponsor, the Office of Grants and Sponsored Research should be notified immediately. If it is in writing, the original notification should be delivered to the Office of Grants and Sponsored Research for filing. The Office of Grants and Sponsored Research 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 and the grant considered closed until reactivated by further applications. It is the principal investigator's responsibility to ensure that reviewer's comments (if available) are on file in the Office of Grants and Sponsored Research in the event of a future submission.

**Awarded Proposals**

In general, grants and contracts are awarded to Austin Peay State University, not to the principal investigator. APSU is the legal entity accountable for compliance with all terms and conditions of the grant or contract.

In consultation with the principal investigator, the Office of Grants and Sponsored Research may negotiate for changes in programs 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, the Office of Grants and Sponsored Research will secure approvals for changes from all relevant administrators. This must be completed prior to accepting the award.

**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. This contract must have the "[Contract Approval Form](#)" completed and routed through the appropriate administrative channel. The Contract Approval Form must be signed by the academic dean, the department vice president, and Grants and Sponsored Research. It will then

be submitted to the Vice President for Legal Affairs and Strategic Planning. Additionally, some agreements specifically require a signature by the President. No agreement exists until a fully executed contract has been received, accepted, and numbered by the Vice President of Legal Affairs and Strategic Planning.

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, the Office of Grants and Sponsored Research will negotiate with the sponsor for the modifications.

When a sponsor issues an award letter that does not require written acceptance, the Office of Grants and Sponsored Research will route that letter for approval. When the approval has been received, the Office of Grants and Sponsored Research 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.

The Office of Grants and Sponsored Programs will return the contract to the sponsor for execution.

Principal investigators are not permitted to expend grant funds until the formal agreement has been routed, signed, and notification has been given to the principal investigator that 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 the Office of Grants and Sponsored Research 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 the Office of Grants and Sponsored Research. This applies to all awards, regardless of who may be designated as the primary awardee.

### **Declination of an Award**

Declination of an award must be done in writing over the signature of the Vice President of Legal Affairs and Strategic Planning.

All declinations must be routed through the Office of Grants and Sponsored Research.

The Office of Grants and Sponsored Research 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 principal investigator in his/her role as a private citizen.

Individual awards will be reported to the Office of Grants and Sponsored Research 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.

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

Individual awards will be reviewed by the Office of Grants and Sponsored Research 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. The Office of Grants and Sponsored Research will assist the awardee with needed approvals. Inability to secure these approvals may necessitate the individual awardee's declination of an award.