

JACKSONVILLE STATE UNIVERSITY
Manual of Policies and Procedures

POLICY NUMBER: II:05:01

DATE: May 1, 1987

REVISION/REVIEW DATES: Nov 1988, May 1997, Nov 2007, June 2011, May 2019, Oct. 2020

SUBJECT: Grant/Sponsored Program Approval

APPROVED: Dr. Don C. Killingsworth, Jr., President

PURPOSE

Jacksonville State University's (JSU's) grant and sponsored program approval process is designed to facilitate the submission of competitive funding applications and to ensure adequate support and oversight of all externally funded projects.

POLICY

JSU's Office of Sponsored Programs (OSP) holds responsibility for assisting faculty and staff in the location of potential funding opportunities and with the application and submission process, ensuring that JSU's standards for performance are achieved by providing expertise to guide faculty through the life cycle of a project. All applications for grants and sponsored programs must be routed through the OSP for internal review and University approval prior to submission. No Principle Investigator (PI) or Project Director (PD) should ever submit a proposal on behalf of JSU without the knowledge and consent of the OSP.

The OSP also supports faculty and staff to develop topic-specific research centers, allowing faculty and staff to collaborate, publish findings, and receive recognition for research efforts, with the OSP providing assistance in the internal and external (Alabama Commission on Higher Education) approval process for centers.

The Office of Management and Budget (OMB) Uniform Guidance, 2.CFR.200, is a set of regulations that impact the proposals made for federal funding, how grants and contracts are managed, and the cost principles that guide research and sponsored activities at JSU. Ultimately, the administration of grants will be the responsibility of the PI/ PD, including all financial reporting responsibilities. The OSP and Sponsored Program Accountant (SPA) will provide policy guidance and best practice support for both grant administration and financial reporting.

Identifying External Funding Opportunities

The OSP will assist faculty and staff in locating funding opportunities, developing new proposals (including budget development, with assistance of the SPA), and obtaining required approvals within JSU.

Developing the Proposal

Once the decision has been made to formally develop a proposal, the PI/PD should contact the OSP and receive necessary training on internal routing and submission processes in JSU's grant management software, Cayuse 424. Completion of the summary page serves as notification to the OSP, immediate supervisor/Department Head, Dean, and/or Provost and Senior Vice President for Academic Affairs/ Senior Vice President for Finance and Administration, or other Vice President of a pending proposal submission. Instructions for a PI/PD creating a new proposal can be found on the OSP Policies and Procedures page.

Early notification to the OSP, immediate supervisor, and Dean is particularly important when the project is complex, has funder-imposed limitations and/or match requirements, requires interdisciplinary involvement and approvals, and/or will include partnerships which may result in subawards and/or contractual agreements.

The PI/PD will attach a copy of the solicitation to the supporting documents section of the Cayuse 424 application and should attach other required documents completed, along with a final draft of the narrative. A Conflict of Interest Disclosure Form ([Form 101](#)) must be completed, signed, and submitted annually or when the project is awarded by the PI/PD and any required JSU employee assigned to the grant, as required by the JSU Policy [I:01:15](#), Conflict of Interest for Grants/Sponsored Projects.

The PI/PD should work with the OSP to address any concerns that reviewers may have with the proposed grant/contract agreement. Either the PI/PD or the OSP will submit the proposed grant/contract agreement between JSU and the agency.

Submission and Review of the Proposal

All applications to be submitted to an external sponsor must be reviewed and approved in their final format by the Department Head, appropriate Dean, and Provost and Senior Vice President for Academic Affairs/ Senior Vice President for Finance and Administration, or other Vice President.. Applications should be submitted to the OSP and SPA no later than **three (3) business days prior to the submission deadline**. Proposals submitted after this internal deadline may not be processed in time to meet Grantor deadlines. Cayuse 424 must be used for routing applications from PI/PD to Department Head, Dean, Provost and Senior Vice President for Academic Affairs/ Senior Vice President for Finance and Administration, or other Vice President, OSP, SPA and Authorizing Official Representative (AOR), and the system shows all prior approvals as the process moves to completion. This review and concurrence confirm that JSU will be able to meet any requirements included in the proposal.

The internal review in Cayuse 424 also provides a mechanism to address key compliance issues, such as protection of human subjects, care and use of animals in research, appropriate handling of hazardous materials and controlled substances, and export controls.

Responsibilities of Key Participants

PI/PD - The PI/PD assumes the responsibility required by the Grantor and JSU Policy and Procedures, and in signing, the PI/PD agrees to comply with both external and internal requirements. The PI/PD will create the routing and approval chain and will initiate the internal routing and approval process in Cayuse 424.

Department Head - The Department Head serves as the key internal reviewer for judgment of the merits of the proposal, in terms of departmental objectives and support. Department Head review and approval affirm adequate support in human resources, space, and equipment for the project.

Dean - After review and approval by the Department Head, the appropriate Dean or immediate supervisor will be notified for review and approval. Approval may include commitment of School resources and required and/or voluntary match funds.

Appropriate Vice President or President - Approval indicates commitment of stated divisional resources and required and/or voluntary match funds, and affirms that grant objectives advance the mission, goals, and objectives of the University.

Office of Sponsored Programs – OSP coordinates submission of grants.

Sponsored Programs Accountant - The SPA affirms that the proposal complies with JSU Policy and federal or other grantor requirements and recommends approval by the University's AOR.

Authorizing Official Representative (AOR) - The President is responsible for giving final clearance for submission of proposals to funding agencies. The President or the Senior Vice President of Finance and Administration as his proxy serves as the AOR, approves all grant proposals, and signs all contracts for JSU.

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Additional Considerations That May Be Relevant To Proposals

A. Protection of Human and Animal Subjects

JSU will not submit a proposal in which human or animal subjects are involved unless the proposal has been reviewed carefully to guarantee compliance with established policy. JSU's Human and Animal Subject Review Boards will provide information regarding protection of human or animal subjects. The Provost and Senior Vice President for Academic Affairs will not approve a proposal until the Institutional Review Board has given approval if the research merits such review. JSU [Policy II.08.01](#) and [Policy II.08.02](#) provide additional information.

B. Equal Employment Opportunity

Jacksonville State University is committed to providing equal opportunities and equal access to all qualified individuals, without regard to age, color, disability, gender expression, gender identity, genetic information, pregnancy, marital status, military status, national origin, race, religion, sex, sexual orientation, veteran status, and any other status protected by local, state, or federal laws. This commitment applies to all educational opportunities as well as to all employment practices, including recruitment, advertisement for employment, selection for employment, compensation, treatment during employment, performance evaluation, training and development, promotion, transfer, demotion, discipline, layoff, separation from employment, and making reasonable and appropriate accommodations for individuals with disabilities. Discrimination based on any protected status is prohibited.

JSU is an affirmative action/equal opportunity employer. As such, the University undertakes affirmative action consistent with its obligations as a Federal contractor for individuals in underrepresented groups, including minorities, women, persons with disabilities, and covered veterans. JSU's Affirmative Action Plan (AAP) allows the University to identify and address barriers to equal opportunity, monitor progress, and develop an operational framework for University administrators to implement.

JSU will continue to make good faith efforts to promote and maintain an academic and workplace environment free from prohibited discrimination and harassment by demonstrating that it neither condones nor tolerates educational or employment practices that discriminate against or harass any person or specific groups of persons based on any protected status listed above. JSU strives to maintain an environment in which employees and students can thrive in an atmosphere that is free from all forms of prohibited discrimination, harassment, and retaliation.

Notification of Non-Discrimination on the Basis of Sex and Grievance Procedures

JSU does not discriminate on the basis of sex in the educational programs or activities that it operates. JSU is required, by Title IX of the Education Amendments of 1972 and Department of Education regulations to implement Title IX, not to discriminate in such a manner. This requirement to not discriminate in educational programs and activities extends to employment by the university and to admission thereto. Questions regarding Title IX and the implementing regulations should be referred to JSU's Title IX Coordinator, to the Assistant Secretary of Education for Civil Rights, or to both. For more information about the Title IX grievance procedure, including how to report or file a complaint of sex discrimination, how to report or file a formal complaint of sexual harassment and how JSU will respond to such complaints, please visit our Title IX website at www.jsu.edu/titleix or contact our Title IX Coordinator:

Angle Hall, Suite 301-A
(256) 782-5769
titleix@jsu.edu

- C. Intellectual Property and Fair Use Policy
JSU Policy [II.05.03](#) addresses intellectual property and fair use.

D. Cost Sharing

Certain granting agencies may require JSU to share in costs for the project. By policy, JSU reviews proposals for projects that require cost sharing with the view that the direct benefit will outweigh the anticipated cash investment. Unless specified by the funding agency, the PI/PD should never suggest a voluntary cash cost share of any project expenses. Policy [I.01.22](#) provides more information about cost sharing.

E. Indirect Costs

Indirect costs are those that have been incurred for purposes common to various activities of JSU, but which cannot be identified and charged directly to the project. Examples include such items as heating, lighting, air conditioning, accounting, library services, janitorial services, etc. These are real costs for JSU which should be recovered by proposed activities for research, training, and service projects, unless limited or prohibited by the sponsor's written policy. The federal indirect cost rates are negotiated on a regular basis and may vary, depending on the agency, the scope of the project, and location of the project. All proposed projects should be submitted using the current negotiated indirect cost rate unless a limit is imposed by the funding agency.

Negotiating with Awarding Agency

Funding agencies generally will contact the PI/PD to clarify, alter, or determine conditions prior to awarding a grant. For minor administrative or budget changes (unless restricted by grantor), the PI/PD must consult with the Dean. When major alterations or changes become necessary, written revisions will be needed and will require signatures of the Department Head, Dean, Vice President, OSP and SPA.

RESPONSIBILITY

The Senior Director Office of Sponsored Programs is responsible for this policy.

EVALUATION

This policy will be reviewed every five (5) years.

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