Externally-Funded Grants and Programs
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American University of Armenia
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Purpose

As an academic institution that strives for excellence in research and intellectual advancement, the American University of Armenia (AUA) is committed to providing an environment that encourages faculty engagement in teaching and research conducted at the highest standards and in accordance with applicable legislative and regulatory requirements. External funds play a vital role in the University's endeavor to meet its objectives and contribute to developing a vibrant culture, while supplementing the university's internal resources for particular projects.

This policy outlines the principles and approaches governing the promotion and solicitation of externally funded projects.

Eligible Applicants for Externally Funded Grants

AUA full-time faculty, deans, unit directors (such as directors of research centers), and researchers with individual employment contracts - where AUA is their primary employer - are eligible to apply as Principal Investigators (PIs) for externally funded grants. Researchers must apply under the direction of the relevant center director or administrative unit head. PIs may engage their research and support teams to assist with proposal preparation, processing through AUA's internal approval procedures, and the implementation of funded projects.

Review and Approval Process

All proposals for external funding that commit the University to any kind of obligation must be approved by the respective center director, dean, or administrative unit head, as well as the reviewing parties indicated below before submission to the granting agency.

All final application packages must obtain the President's approval before submission to the sponsoring agency. This ensures that the University will meet the commitments stated in the proposed engagement and validates that the project itself is aligned with the broad mission of the University.

These approvals are required for letters that express AUA's commitment to or denial of institutional resources. Therefore, the review and approval of the funding proposal is executed through the **AUA Document Flow System (1C) and takes up to ten (10) business days**, including the President's review. If a submitted proposal does not allow adequate time for review in compliance with this policy, the Administration cannot guarantee accepting it for review.

The Principal Investigator (PI) is authorized to use the proposal template, budget form, and other documents provided by the AUA Office of Sponsored Programs, which are attached to this policy as related documents. The PI may also use the "Form for Incomplete Proposals Review" available on the Office of Sponsored Programs webpage and included among the related documents.

Each proposal document must include the following mandatory elements:

- Project Summary / Abstract
- Objectives and Rationale
- Methodology / Implementation Plan
- Budget Overview
- Team and Institutional Capacity

Prior to submission of the proposal to 1C platform, the project PI or the appointed Responsible Person (see definition below) must:

1. Obtain initial review and endorsement from the relevant:

- Unit Director
- Dean

2. Submit the full application package through the 1C "Proposals and Letters of Commitment" workflow process, including:

- Proposal narrative
- Budget and justification
- Letters of commitment or partnership
- Other required documentation

3. Upon submission of the package to 1C, receive approvals from the following parties, based on the review system below. The four sections below are handled sequentially, whereby the bullet points within them are handled in parallel.

Parallel Programmatic and Legal Review

- Dean/Center Director/Unit Director (for research unit endorsement)
- Office of Sponsored Programs Academic Director (for overall compliance with internal grant procedures and institutional funding priorities)
- AUA Legal Counsel (for use of appropriate legal terms and provisions)

Parallel Administrative Review

- Chief Financial Officer (for compliance with financial/accounting rules)
- Chief Operating Officer (for space, facility, and equipment considerations)

Academic Review

- Provost (for alignment with AUA's academic mission and established priorities)

Final Review and Approval

- President (final institutional approval)

Expedited Review and Approval Process

Proposals, as well as Letters of Commitment and Intent, which meet all the below-listed criteria, can qualify for **Expedited Review and Approval**:

- Budget does not exceed US $50,000 or its AMD equivalent
- Does not require significant co-funding commitments by AUA (no more than 5% of the total project budget), excluding in-kind contribution
- Does not contain extraordinary provisions requiring attention
- The funding opportunity was announced on short notice

Such proposals will be reviewed within **up to five (5) business days** upon submission to 1C provided they contain the required streamlined documentation (short-form budget, internal endorsement, and scope summary). The PI must complete the Eligibility Form for Expedited Review. The respective College Dean or Center Director is responsible for reviewing the form to confirm that the proposal meets the criteria for expedited review and that no legal or contractual irregularities are present. The completed and endorsed Eligibility Form must be included in the 1C submission package. In this regard, the PI can make use of the "Form for Incomplete Proposals Review" available on the AUA Office of Sponsored Programs webpage.

The approval requirement described in this Policy **does not extend to *any* letters** that express AUA's initial interest in exploring participation in a proposal or consortium and do not commit or obligate the university in any way. Such letters do not require full internal review and approval through the AUA Document Flow System (1C). However, any such Letter must include the following disclaimer: *"This Letter expresses the preliminary interest of the American University of Armenia (AUA) in the proposed initiative. It does not constitute a legally binding or institutional commitment by AUA. Any formal commitment by AUA will be subject to the review and approval of the final proposal package through the University's internal procedures."*

The suitability of funding sources to support AUA initiatives will be defined in a dedicated policy.

Definitions

The following terms and definitions are for use in the context of this policy:

Responsible person: For research centers within Colleges and for individual faculty members who act as Principal Investigators for projects that do not fall under a particular research center within the respective College, the responsible person is the Dean or his/her designated person. For centers, such as the Acopian Center for the Environment, the Entrepreneurship Product Innovation Center, and AUA Extension that do not function within Colleges, the responsible person is the respective center's Director or her/his designee. For administrative units, the responsible person is the unit Director or her/his designated person.

Related Documents

Eligibility Form for Expedited Review

Proposal Review Form for Incomplete Proposals

Policy on Agreements

Projects and Grants Accounting

Items and Activities Covered by Overhead and Allocation of Overhead

Items and Activities to be Covered by Specific Projects' Budgets