

## Grant Related Policies and Procedures

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*Revised: October 8, 2020*

### **GENERAL**

Grayson College has included diversification of its funding base as one of its priorities. Therefore, faculty, staff, and administration are highly encouraged to actively seek outside funding for activities and programs that are vital to the college. Grant goals and objectives should support the mission.

### **DEFINITIONS**

The following definitions shall pertain to the terms contained within the Grants Policies.

- Award - Funds that have been obligated by a funding agency for a particular project.
- External Agency - The external source of additional revenue. Also known as Grantor or External Funding Agency.
- Equipment - Tangible nonexpendable personal property, including exempt property, charged directly to the award and having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. The acquisition cost includes installation charges and freight.
- Grant - A type of financial assistance awarded to an organization for the conduct of a program as specified in an approved proposal. A grant is used whenever the Grantor anticipates programmatic involvement with the recipient during the performance of the activities.

- Grant Proposer - Individual who begins the grant proposal application process and owns responsibility of the development and submission of the grant. The grant proposer will likely become the PI once the grant is awarded and the project commences.
- Grantor - Funding source that has agreed to provide financial support in the form of a grant.
- Principal Investigator (PI) - A PI may be an employee, normally with an academic appointment, who is or becomes eligible under this definition to submit a proposal for program support for projects in research, training, student and/or workforce development, public services, etc., to a significant degree, and who has primary responsibility for the scientific, technical, and administrative conduct and reporting of the project. *May also be known as Project Director.*
- Sponsored Project/Program - The project, program, or project-related activities which are financially supported by grant funds.
- Supplies - All personal property excluding equipment, intangible property, debt instruments, and inventions of an individual conceived or first actually reduced to practice in the performance of work under a grant; valued under \$5,000.

## **GRANTS FUNCTIONS AND SERVICES**

The mission of the Grayson College Foundation (GCF) Grants Office is to assist faculty, staff, and administrators seek, apply for, and receive external funding to promote innovation and meet the educational needs of students. Located within the Grayson College Foundation, the GCF Grants Office works to advance the Mission, Vision and Strategic Outcomes (Ends) of the College, thus supporting the development of projects and programs that foster teaching and learning strategies designed to enhance student success.

The GCF Grants Office provides the following functions and services:

- Develop and administer all policies and procedures of grants;
- Maintain federal contractor registration information on SAMS.gov;
- Research funding opportunities;
- Provide to faculty and staff members announcements of RFPs and other notifications of special grant opportunities;
- Assist in the grant writing process;
- Provide grant writing training;
- Assist with project budget development and personnel requests;
- Review all grant proposals prior to their submission to external agencies/organizations;
- Manage the internal grant approval process;
- Coordinate grant submissions;
- Provide grant management assistance as requested;
- Support grant administration;
- Build and maintain relationships with funding agencies and organizations; and
- Maintain records on all grant proposals and reports submitted by the College.

## **AUTHORITY**

Grant agreements are typically made between external funding agencies and the College, not between such funding agencies and individual persons, unless specifically stated by funding agency. Accordingly, individual faculty or staff members are not authorized to apply for or accept grants on behalf of the College. Faculty and staff members should contact the GCF Grants Office

for assistance in securing the correct DUNS number and EIN number, as well as the authorized signature(s) to apply for and accept grants.

### **PROPOSAL SUBMISSION & APPROVAL**

Grayson College faculty and staff considering applying for external funding must complete the pre-proposal grant approval process by submitting the “Grayson College Grant Approval Form” prior to the submission of an application or proposal to an external funding agency. That form must be approved by each of the following:

1. Appropriate department chair
2. Appropriate dean
3. Appropriate vice president
4. Vice President for Business Services
5. Executive Director of the Foundation
6. College President

Any of the above approvers may request additional information prior to final approval.

Once a potential funding opportunity has received approval from the designated officials identified on the approval form, grant proposer and grant writer may begin developing the grant proposal/application process.

No formal proposal may be submitted to any external agency without final administrative approval. Any proposal submitted without this approval will be withdrawn.

### **CONFLICT OF INTEREST**

As a part of the grant application process, the grant proposer must positively state on the Pre-Proposal Grant Request Form that there is an absence of a financial or other interest or affiliation held by them or a member of their immediate family in the funding agency or in companies from which goods and services will be obtained under the supported activity. This statement must also cover any PIs, Co-PIs, co-grant proposers and other grant-supported staff.

Should there be a conflict of interest, the grant proposer must disclose that conflict by completing the Disclosure of Financial Interests Related to Sponsored Projects Form (attached hereto as Exhibit “D”).

### **COST PRINCIPLES AND PRACTICES**

The purpose of the Cost Principles and Practices policy is to ensure compliance with all applicable Federal, State, and college rules and regulations. Failure to adhere to these cost principles and practices may result in cost disallowance, penalties, repayment, and/or fines. It is the responsibility of the PI, Department Chairs/Deans, and Administrators to understand and comply with this policy.

#### **A. Administration**

It is the policy of Grayson College that all sponsored program funding (e.g. grant funding, external funding) acquired under the name Grayson College or the Grayson College Foundation will be financially administered by the Grayson College Business Office. All sponsored programs will adhere to Federal, State of Texas, and GC administrative policies along with any policies designated by the external funding agency.

**B. Application**

These practices must be consistently applied in the like circumstances for all sponsored program funding and any other institutional activity affecting sponsored program funding. While the PI has primary responsibility for overseeing the expenditure of project funds, all personnel involved in charging costs to sponsored programs must comply with this policy in order to meet federal costing standards and ensure that costs are allocated in a manner that accurately reflects the expenses incurred for the benefit of the project.

**Definitions:**

- **Direct Cost** - Those costs that can be identified specifically with a particular project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
- **Indirect Cost** - Those costs for expenses incurred when the College assumes responsibility for otherwise externally funded grants for projects and programs; costs not directly identified with a single activity, but identified with two or more final activities. Indirect Cost may also be referenced to as *Facilities and Administrative Costs*. Grayson College has an indirect cost rate agreement approved by the Department of Health and Human Resources. The next date for renewal is February 28, 2024, based on information from the fiscal year ending August 31, 2023.

**Examples of Direct and Indirect Costs:**

<b>DIRECT COST</b>	<b>INDIRECT COST</b>
Salaries, wages, fringe benefits for faculty, consultants, contractors, other technical and personnel who are necessary to meet the goals of the project	Space, infrastructure, utility costs maintenance, supplies, etc.
Project specific supplies, equipment and services	
Scientific and technical equipment, computer costs, software	Accounting, billing, purchasing, reporting
Postage for project specific use	RFP & Grant research, Grant writing, writing training team coordination, submission and reporting Grant maintenance training, compliance, oversight
Participants, subject costs	
Travel, lodging, etc.	

- **Direct Costs-** For expenditures to be considered allowable as a direct cost, they must be:
  - reasonable and necessary for the performance of the project;
  - allowable under the terms and conditions of the award document or agreement and by OMB Circular A-21; and
  - allocable and easily identifiable as having a direct benefit to the project or activity being performed.

- The approved indirect cost rate is applied against a base of salaries and wage, excluding all fringe benefits.

Costs for grant administration will be budgeted for all sponsored programs applied for under the name GC or GC Foundation. It is required that the full amount of indirect or administrative costs as described in the grant solicitation or foundation policies be solicited in the submitted sponsored program proposal. If no indirect or administrative cost rate is described in the solicitation but are available, an agreed upon rate that does not exceed the Grayson College federal negotiated rate shall be requested. This agreed upon rate will be approved by the Vice President for Business Services before the final budget is approved.

## **COST SHARING AND MATCHING FUNDS**

Cost sharing or matching funds is that portion of project costs not borne by the external funding agency. Some external funding agencies require cost sharing or matching for grants. In cases where the grant application requires cost sharing or matching, explicit approval must be obtained as a component of the pre-grant approval process before proceeding with the grant application.

- Direct Cost Sharing - involves *actual dollars* contributed by Grayson College to the project as a part of the overall project budget.
- In-Kind Cost Sharing - involves *a determination of the value of services* that GC agrees to contribute toward a project (e.g. space, supplies, etc.).
- Matching Funds - a term which is typically used to indicate that a contribution of actual dollars is needed to match (at various ratios) an external funding agency's contribution.

## **USE OF EXTERNAL FUNDS TO PAY SALARY**

Grayson College will not accept external grant funding which would require faculty effort exceeding a regular full-time load and would increase an employee's total compensation for the academic year beyond the agreed upon full time salary (not including stipends). **In no case will federal and private funds be used to pay an employee more than 100% of his or her regular academic year compensation.** Summer school is not considered part of the regular academic year.

## **USES OF FACILITIES**

Persons wishing to propose external grants involving the use of GC facilities as a part of the project must consider several important points as the project is developed and its proposed budget is formulated. Any use of any GC facilities must be approved in advance by the individual who has the authority to make a commitment for the use of the particular space in question.

GC facilities must be used in a manner consistent with the intended purpose of the space in question. Priority will be given to those activities related to the academic, cultural, and community programs of the College, and requests to use GC spaces in connection with external grants must not interfere with the primary purposes for which the spaces are usually used (e.g. as a classroom, chemistry lab, meeting room for college-sponsored groups, and so forth). The facilities must be used in a safe, professional manner and in ways that will not endanger the College community or the general public.

To ensure accurate communication, the grant proposer should seek to have written confirmation that the necessary space(s) will be available at the times required for the proposed external grant.

In some cases, use of GC facilities may entail a charge for use of the space. Such costs, if applicable, should be added to the proposed budget for the project at a rate of \$14 per square foot

per month. Depending on the nature of the grant activity, use fees may be variable and therefore should be verified by the Vice President for Business Services.

### **USE OF GC EQUIPMENT**

If a proposed external grant will require the use of GC owned equipment as a part of the project, such use must be approved by the department head or program director of the area where the equipment resides and is normally used. If applicable, the arrangement to use the equipment must include reimbursement of the cost of use of the equipment. Cost of use fees or supplies required to operate the equipment should be included as part of the direct costs of the proposed grant. Laboratory supplies (e.g. chemicals) and specialized shop or equipment costs may be treated as a direct cost so long as they are directly identifiable and clearly relevant to the intended objective of the project being proposed. The grant proposer must arrange to use the equipment on a schedule that will not create an interference or conflict with the ways that the equipment is normally used (such as in connection with teaching a laboratory course).

### **EQUIPMENT PROCUREMENT WITH EXTERNAL FUNDS**

In general, fixed and moveable equipment are considered fixed assets of GC and, as such, are owned by the College and not by a specific individual, department, or operating unit. The College has sole ownership of all equipment acquired regardless of source of funding or method of acquisition. All purchases of equipment using grant funds must be requisitioned and purchased through the College's Purchasing Department.

In certain rare cases, there may be exceptions to this general policy. If the equipment was acquired through a sponsored project, and the federal government or other external funding agency explicitly retained title to it, that equipment would not be considered a fixed asset of GC. If the external funding agency furnished equipment merely for the duration of the project, such equipment would also not be a fixed asset of GC. Equipment acquired on short-term loan from another institution, or leased, is similarly not a fixed GC asset.

### **MATERIALS AND SUPPLIES PROCUREMENT WITH EXTERNAL FUNDS**

Whenever grant funds are used to purchase any materials used on a sponsored project made with GC grant funds (such as software, books, DVDs, supplies and the like), those materials become the property of the College. They have been purchased with funds that have been conveyed to the College for use on a specific project and, as such, are not the personal property of the Project Director but are the property of the College. These items are not to be retained by the Project Director but are instead to be turned over to the College when the sponsored project is completed. Contact the GCF Grants Office or the College's Purchasing Office for instructions regarding the appropriate disposition of any items purchased with external grant funds that will have a useable life after the completion of the sponsored project.

All purchases of goods and services must follow Government and College regulations, such as using mandatory sources and observing bidding requirements. Contact the Assistant Director of Fiscal Services for an explanation of the proper procedures.

### **ADMINISTRATIVE AND CLERICAL SUPPORT ON EXTERNAL GRANTS**

As a general rule, it is normally not appropriate to include a request for secretarial or administrative support in the proposed budget for external funding. The federal government, for example, has determined that such an expense is an indirect cost that would be covered by the facilities and

administrative (F & A) cost added to the proposed budget (See OMB Circular A-21, section F-6-B-2). In some cases, however, it might be appropriate to include administrative and secretarial costs as a separate budget item if the activities to be performed are significant and would amount to more than what would reasonably be expected to be performed as a part of normal administrative support. Another important factor is whether or not the guidelines provided by the external funding agency make explicit reference to how to handle secretarial support as a part of the budget request.

### **HIRING GRANT-FUNDED EMPLOYEES**

If an awarded external grant budget includes an amount for hiring employees, all hiring activities must be processed through the established procedures for hiring classified employees in a provisional position as set forth by the GC Office of Human Resources. A grant-funded position is classified as provisional, meaning that the position will end when the external funding ends.

The first step in this process is to notify the GC Office of Human Resources of the vacancy. Once notified, the GC Office of Human Resources reviews the Job Description, compensation grading, and other required hiring materials. While the position is being developed, the project director must request established a grant fund number through the Business Office. The existence of a grant fund number is essential in order to properly charge the grant for the costs associated with the employee being hired.

Current positions should not be used for new positions created with grant funding, since grant positions are temporary, hired for the duration of the grant. New, permanent positions can only be created during the annual budget process.

Provisional, (non-permanent) positions should be applied for and used for all new positions created by funding from an external source (e.g. grants, etc.) where the salaries and fringe benefits of the new position will be paid for using grant funds.

### **GRANT-FUNDED TRAVEL EXPENSES**

All employees of GC traveling on behalf of the College in relation to grant supported activities are required to comply with the travel policy and procedures outlined in the Grayson College Administrative Policies and Procedures.

### **INSTITUTIONAL APPROVALS FOR SPECIFIC TYPES OF RESEARCH**

All research projects submitted on behalf of the College and its faculty and staff must comply with all applicable federal, state, and institution policies and regulations before they are approved for submission.

It is the policy of the College that, prior to initiation, all research activities by faculty, students, or employees that involve the use of human subjects (i.e., individuals about whom data or information is obtained) be approved by the Grayson College Institutional Review Board (IRB) or be certified exempt from review. Failure to gain committee approval prior to collecting data can result in a forfeiture of data or other penalties.

The Grayson College IRB serves to ensure that participants in research are treated fairly and ethically. Research projects conducted by members of the GC community that involve human participants must be submitted to the GC IRB for approval unless it meets the criteria for exempt status. The review process must be completed before a grant proposal is approved for submission. To start the review process the “IRB Questions for Submitting to the Committee” (attached hereto

as Exhibit “E”) must be completed and submitted to GC Dean of Planning and Institutional Effectiveness.

## **GRANT PROCESSING**

All acceptance of grant awards, of checks or other forms of payment, and the establishment of new funds for sponsored projects must be coordinated through the Business and GCF Grants Offices.

### **1. Notification and Acceptance of an Award**

All notifications of grant awards must be forwarded immediately to the Business Office and the GCF Grants Office. The GCF Grants Office will forward copies of the award notification to the Director and Assistant Director of Fiscal Services, the Director of Human Resources, the Vice President for Business Services, the Executive Director for the GCF, the Director of Marketing & Communications, the GC President, and others, as deemed appropriate. The notification and acceptance of an award process can be reviewed in further detail in the Award Notification & Acceptance procedures.

### **2. Acceptance of Grant Payments**

All grant checks must be forwarded to the Director of Fiscal Services. The College will coordinate acknowledgement of grant payments and will deposit grant payments into the grant project fund and create a chart of accounts. Faculty and staff who receive grant payments should not make any direct deposits into their project fund.

### **3. Establishment of Fund**

The GCF Grants Office will provide the Business Office with information needed to establish a budget fund for the project. Project directors will be notified when this information has been forwarded to the Business Office. The Title IV and Grants Accountant will notify Project Director when funds are available. Before funds are made available, Projector Directors/Pis must meet with the Title IV and Grants Accountant.

### **4. Modifications to Grant**

The PI/Project Director, in cooperation with the Title IV and Grants Accountant, and the appropriate executive administrators, will handle all modifications, contract changes and/or negotiations with the external funding agency.

## **REPORTING REQUIREMENTS**

Project directors/Pis and the Title IV and Grants Accountant are solely responsible for the prompt submission of any operational, financial, progress, final and any other reports required by external funding agencies. Copies of all progress and final reports must also be filed with the Grants Office. The PI should review the reporting procedures for all required reports.

## **EFFORT REPORTING AND CERTIFICATION FOR SPONSORED ACTIVITIES**

The purpose of the Time and Effort Reporting and Certification Procedure is to explain the process used at Grayson College to carry out Time and Effort Reporting and Certification. Failure to comply with these procedures can result in serious adverse consequences to both Grayson College and the employees. All employees who are subject to time and effort reporting requirements or who are responsible from implementing any part of the time and effort reporting system are therefore expected to review, understand and comply fully with the procedures in this section. Any questions concerning these procedures should be directed to the Assistant Director of Fiscal Services and the Title IV and Grants Accountant in the Business Office.



## **A. Employees Requirements for Time and Effort Reports and Certification**

Employees who meet either of the following criteria must complete a Time and Effort Report: (1) the employee's salary is charged in whole or in part directly to a sponsored project; and, (2) the employee expends committed effort on a sponsored project, even though no part of the employee's salary is charged to the project.

## **B. Generating Time and Effort Reports**

The following are the various types of effort reports: (1) monthly effort/activity reports for classified/non-classified employees; (2) time sheets for hourly employees (staff/students); and, (3) end-of-semester effort reports for faculty. These reports are completed on a monthly basis and require original signatures from the employee and the employee's immediate supervisor or the PI or the project director of the individual listed on the report. All time and effort reports should be retained by the Title IV and Grants Accountant in the Business Office.

## **C. Certifying Time and Effort**

Time and effort certification occurs quarterly. All time and effort certification forms must bear the ORIGINAL signature of the employee and the employee's immediate supervisor or the principal investigator or the project director of the individual listed on the report. Completed time and effort certification forms are return, signed and dated to the Title IV and Grants Accountant in the Business Office. Time and effort is not based upon a 40 hour work week. Time and effort must equal 100%, regardless of the number of hours worked in a week. Non-grant related activity is restricted to a total of two hours per week in accordance with Education Department General Administrative Regulations (EDGAR) and OMB Circulars (A-21 and A-87) concerning time and effort reporting.

## **PROJECT DIRECTOR/PI DEPARTURE FROM THE COLLEGE**

Any faculty or staff member who is a PI, director, or co-director of a sponsored project, and who believes he or she will depart the College before the project is completed, should contact their executive administrator as soon as that realization is made.

1. Grants are considered agreements between the College and external funding agencies. The departure, due to transfer, termination, illness or death, or other causes, of a project director/PI will presume that a modification of the grant agreement is required. Project continuance at the College will depend upon the terms of the modified grant agreement being established between the College and the external funding agency.
2. Faculty and staff members who serve as sponsored project directors/Pis, and who know that their departure from the College appears possible or likely before the terms of their grant agreement with an external funding agency are fulfilled, should contact their executive administrator immediately for guidance and assistance.

## **FEDERAL GUIDELINES, REGULATIONS AND COMPLIANCE REQUIREMENTS**

The following series of circulars from the Office of Management and Budget (OMB) are relevant to research administration of federally-awarded grants. GC will submit external grant proposals

that are in compliance with the guidelines and regulations outlined in the relevant circulars listed below.

- A-21 - Cost Principles for Educational Institutions
- A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
- A-133 - Audits of States, Local Governments, and Non-Profit Organizations
- Federal Acquisition Regulations (FAR)
- Most federal contracts incorporate a number of FAR clauses that must be reviewed by relevant officials and offices before accepting the agreement.
- Code of Federal Regulations (CFR) A listing of the general, permanent rules published in the Federal Register by executive departments and agencies of the federal government.

## **GRANT FORMS**

The forms that follow must be completed and submitted to the Grant Writer:

- **Grayson College Grant Approval Form:** This form requires various approving signatures, and when completed, documents approval to submit a grant request. **This form is mandatory.** (attached hereto as Exhibit “A”)
- **Grayson College Grant Preparation and Planning Tool:** This **optional** form is designed to encourage the potential requestor to think about basic questions related to grant request. (attached hereto as Exhibit “B”)
- **Grayson College Grant Project Planning Form:** This **optional** form seeks more specific information. The requestor may submit the Planning Tool and the Preparation Form to the Grant Writer and obtain her approval before proceeding. (attached hereto as Exhibit “C”)

# GRAYSON COLLEGE GRANT APPROVAL FORM



Before you begin developing a formal proposal, please complete the following information and obtain signatures of approval from your Department Chair, Dean, and the Vice Presidents of Instruction, Business Services, and the GC President. This will ensure that your project is related to the College's mission of providing access to quality education and is supported by your colleagues, supervisor, and the Administration.

1. **Date:** \_\_\_\_\_
2. **Gc Department Requesting Grant:** \_\_\_\_\_
3. **Dept. Contact Name:** \_\_\_\_\_
4. **Dept. Contact Email:** \_\_\_\_\_
5. **Please check the box that best describes the current status of this proposed project:**  
 Conceptual     Unbudgeted Need     New Program     Expansion of Current Program
6. **Type of Grant (Please specify organization and name of grant if known):**  
 Federal \_\_\_\_\_     State: \_\_\_\_\_  
 Private Foundation: \_\_\_\_\_     Corporate Foundation \_\_\_\_\_
7. **WORKING TITLE OF PROPOSED GRANT:** \_\_\_\_\_
8. **Proposed Project Director** \_\_\_\_\_ % Of Time \_\_\_\_  
**Other Faculty/Staff Collaborators:** \_\_\_\_\_ % Of Time \_\_\_\_  
**Other Faculty/Staff Collaborators:** \_\_\_\_\_ % Of Time \_\_\_\_
9. **New Personnel Required?**  YES    If yes, How many FTES? \_\_\_\_\_     NO
10. **Description Of Proposed Project:** \_\_\_\_\_  
 \_\_\_\_\_
11. **Commitment Beyond Grant Timeline, Explain:** \_\_\_\_\_  
 \_\_\_\_\_
12. **Letter Of Intent Required:**  YES – If yes, date of submission: \_\_\_\_\_     NO
13. **Facility Requirements, Explain (I.E., Office Space, New Buildings):** \_\_\_\_\_  
 \_\_\_\_\_

14. **Est. Dollar Amount Of Grant:** \$ \_\_\_\_\_  
**Matching Dollars Required:**  
 Yes – If Yes % \_\_\_\_\_     NO  
**Can In-Kind Be Used For Matching Purposes?**  
 YES – If yes % \_\_\_\_\_     NO

<b>Time Period Of Grant:</b> _____ TO _____
<b>Grant Submission Date</b> _____

15. **As Project Director, I, \_\_\_\_\_, declare an absence of a financial or other interest or affiliation held by me or a member of my immediate family in the funding agency or in companies from which goods and services will be obtained under the proposed supported activity**

16. **Approval Of Project And Proposal:**

GRAYSON COLLEGE	APPROVAL/DATE
DEPARTMENT CHAIR	
DEAN	
VICE PRESIDENT	
VICE PRESIDENT for BUSINESS SERVICES	
GRAYSON COLLEGE FOUNDATION, Ex. Dir.	
GRAYSON COLLEGE, PRESIDENT	

**EXHIBIT "B"**

**GRAYSON COLLEGE GRANT PREPARATION AND PLANNING TOOL-Optional**

*On the average, a grant writer spends 20% of actual work time writing and packaging the proposal. The other 80% of time is spent researching, developing and planning a program. The more work put into planning the program, the easier it is to write the proposal. This tool is to be completed by the project director or team seeking a grant.*

**Project:** \_\_\_\_\_

**Project Director:** \_\_\_\_\_

**What (why) is the need?**

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**Who (target population)?**

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**Where (geographic location)?**

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**GOALS AND OBJECTIVES:**

**Goal:**

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**Objective 1:**

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**What is the direction of change? How will it be measured? Timeline?**

**Objective 2:**

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**What is the direction of change? How will it be measured? Timeline?**

**Objective 3:**

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**What is the direction of change? How will it be measured? Timeline?**

**METHODS: What are the tasks for each objective?**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**EVALUATION: What will you measure, when, by whom?**

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**SUSTAINABILITY:** \_\_\_\_\_

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**BUDGET:**

**List personnel needed:**

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**List equipment needed:**

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**List supplies:**

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**Other resources:**

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**EXHIBIT "C"**

**Grayson College Grant Project Planning Form-Optional**

**Project Goal:**

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**How will this grant benefit the organization or whom will it benefit?**

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**Circle option that best describes the current status of this proposal:**

Conceptual                       Experimental                       Continuation of Current Program  
 Expansion of Current Program                       New Initiative promoted by state or federal agency  
 Other \_\_\_\_\_

<b>Working Title for the Grant:</b>		
<b>Proposed Project Director:</b>		
<b>Department Dean:</b>		
<b>Vice President:</b>		
<b>Name Funding Source:</b> _____	<b>Estimated amount:</b> _____	
	<b>Indirect costs: Not permitted / Permitted, rate</b> ___%	
	<b>Matching funds requirement: Yes</b> ___% <b>or No</b>	
	<b>If yes, can inkind be used? Yes</b> <b>or No</b>	
<b>Federal, State, Private Foundation, Corporate Foundation, Other:</b> _____		
<b>Letter of Intent Required:</b>	<b>Yes If yes date due</b> _____ <b>or No</b>	
<b>Submission Deadline:</b>	<b>Project duration:</b>	
<b>Project Team</b>	<b>Responsibility</b>	<b>% of time</b>
<b>Name:</b>		
<b>Title:</b>		
<b>Telephone and Email:</b>		
<b>Role in Project:</b>		

<b>Name:</b>		
<b>Title:</b>		
<b>Telephone and Email:</b>		
<b>Role in Project:</b>		
<b>Name:</b>		
<b>Title:</b>		
<b>Telephone and Email:</b>		
<b>Role in Project:</b>		
<b>This Grant Will Require The Following College Resources</b>		
<i>Circle all that is applicable</i>		<i>Indicate estimated budget if charged to grant</i>
<b>Personnel—Faculty</b>	Reassigned or overload service agreements	
	Existing full-time faculty paid via personal	
	Stipend for non-teaching duties (Administration, training, etc.)	
	Matching documentation	
<b>Personnel—Staff</b>	New Hires: ____ new full-time employees; ____ new part-time employees	
	Reassign-time for existing full-time or part-time staff	
	Personnel from other institutions hired as part-time, temporary staff	
	Student workers	
	Contractor(s) paid through contract or P.O	

	Independent Contractors paid through Professional Service Agreement	
<b>Equipment</b>	<b>Type of Equipment</b>	
	Space for equipment	
	Installation (electrical/gas hookups)	
	Facilities modifications (new walls, ventilation, etc.)	
	Other (license fees, maintenance costs, updates, etc.)	
	Training costs	
<b>Facilities</b>	Office Facilities	
	Lab Facilities	
	Space renovation/r modification,	
	Electrical, HVAC,	
<b>Technology</b>	Data: Project Management	
	Education/Training	
	Installation	
	Programming	
<b>Other</b>		

Submit to Grant Writer upon Completion 903/463-8766



**EXHIBIT "D"**

**Disclosure of Financial Interests Related to Sponsored Projects Form**

*To be completed if financial conflict is exists. Submit to VP of Business Services for review.*

Project Investigator Name: \_\_\_\_\_

Department: \_\_\_\_\_

Email: \_\_\_\_\_

Funding Agency: \_\_\_\_\_

Phone: \_\_\_\_\_

Project Title: \_\_\_\_\_

**Investigator's Disclosure**

I have significant financial interest (as defined in Grayson College [Policies & Procedures for Financial Disclosures and Conflicts of Interest](#)). I am disclosing the following interest(s):

\_\_\_ Ownership Interests (Complete & Attach Section A)

\_\_\_ Receipt of Compensation (Complete & Attach Section B)

\_\_\_ Officer or Director of Organization or Business (Complete & Attach Section C)

\_\_\_ Receipt of Fees and Commissions (Complete & Attach Section D)

\_\_\_ Travel (Complete & Attach Section E)

I, hereby declare that this statement of significant financial interests (including accompanying additional pages and statements) has been examined by me and that to the best of my knowledge and belief is a true, correct, accurate, and complete statement of all such interests required to be disclosed by law, regulation, or policy. I have read and agree to comply with the Grayson College policies on Conflicts of Interest. I have complied with Federal conflict of interest policies and regulations. Also, I understand that failure to file this statement as required or intentionally filing a false statement may result in disciplinary action. Any changes with regard to information provided on this statement will be reported when it becomes known to me.

Signature Date \_\_\_\_\_

**Submit this form and all additional pages and statements to your immediate supervisor (Chair, Director, or Unit Head) for review and signature.**

**Verification:** I have reviewed the potential or actual conflicts of interest with the above named individual. A copy of the signed Significant Financial Disclosure of Interest Form will be/has been sent to the Financial Disclosure Review Committee via the Vice President for Business Services for resolution.

**Chair/Director/Unit Head Signature Date** \_\_\_\_\_

# CONFIDENTIAL-Section A

Investigator Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

## Section A. Ownership Interests

List any corporation, partnership, proprietorship, trust, joint venture, and any other business interest, including land used for income in which either you or other members of your household own or have owned within the preceding 12 months that constitute a legal or equitable interest exceeding \$5,000 or five percent of total ownership, whichever is less, which actually or potentially influences or conflicts with any of your research at the University. Ownership of intellectual property, e.g., patents, royalties, and copyrights, is also included and must be disclosed. If you or member(s) of your household own more than five percent of the total ownership interests of a business, you must disclose the percentage held. *Please insert additional pages as necessary to complete this section.*

### Entity 1:

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Type of Business: \_\_\_\_\_

Description of Interest: Held by \_\_\_\_ You \_\_\_\_ Spouse \_\_\_\_ Other (Please list) \_\_\_\_\_

% Interest Held: \_\_\_\_\_

### Entity 2:

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Type of Business: \_\_\_\_\_

Description of Interest: Held by \_\_\_\_ You \_\_\_\_ Spouse \_\_\_\_ Other (Please list) \_\_\_\_\_ % Interest Held:

## Section B. Receipt of Compensation

List all places of employment and other business (excluding the University) from which you or any member of your household expect to receive \$5,000 or more in remuneration per year as to which an independent observer could reasonably conclude could **actually or potentially influence or conflict with any of your research activities** at the College. Consulting fees, honoraria, paid authorship; equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value are considered, for purposes of this policy, remuneration. *Please insert additional pages as necessary to*

### Entity 1:

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**Entity 2:**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**Section C. Officer or Director of Organization or Business**

List any organization or business in which you, your spouse, or any other member of your household, hold the position of officer, director, partner, or proprietor for which more than an aggregate of \$5,000 in compensation is received per year or more than five percent ownership interest is held which **significantly affects or will be affected by any grant activities** for the College.

**Entity 1:**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**Entity 2:**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**D. Receipt of Fees and Commissions**

List each client or customer from whom you, your spouse, or any household member receives an aggregate of \$5,000 or more per year which could constitute an **actual or potential conflict of interest with** the College. In the case of a partnership, it is the proportionate share of the fee or commission that is significant, without regard to the expenses of the partnership. An individual who receives a salary as opposed to portions of fees or commissions is generally not required to report in this section, but may be required to report in Section B, above.

**Entity 1:**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**Entity 2:**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Position Held: \_\_\_\_\_

Held by: \_\_\_ You \_\_\_ Spouse \_\_\_ Other: (please list): \_\_\_\_\_

**E. Travel**

Disclose the occurrence of any reimbursed travel or sponsored travel related to Institutional responsibilities. You are NOT required to disclose travel that is reimbursed or sponsored by a federal, state, or local government agency, or an Institution of higher education as defined at 20 U.S.C. 1001(a), The Institution will determine if any travel requires further investigation, including determination or disclosure of the monetary value.

**Trip 1:**

Purpose of Trip: \_\_\_\_\_

Sponsor/Organizer: \_\_\_\_\_

Destination & Duration: \_\_\_\_\_

**Trip 2:**

Purpose of Trip: \_\_\_\_\_

Sponsor/Organizer: \_\_\_\_\_

Destination & Duration: \_\_\_\_\_

**EXHIBIT "E"**

*The following pages provide supplemental information, including the Institutional Review Board application.*

**Grayson College Institutional Review Board Application (IRB)**

\_\_\_ If you have already received an IRB approval from another educational institution, please check here and attach the IRB application and approval from the other institution.

**Please provide the following information related to your project:**

Today's date: \_\_\_\_\_

Title of Project: \_\_\_\_\_

Brief description of the project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Anticipated duration of the project:

Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

Principal Investigator's Name: \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

Contact Email Address: \_\_\_\_\_

Co-Investigator's Name (if applicable): \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

Contact Email Address: \_\_\_\_\_

Is this research part of a grant? \_\_\_\_\_

If yes, name of granting agency \_\_\_\_\_

Contact Name \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

Contact Email Address: \_\_\_\_\_

**Please answer the following questions below as they relate to your proposed project:**

\_\_\_ Yes \_\_\_ No Will your research develop or contribute to generalizable knowledge?

\_\_\_ Yes \_\_\_ No Will you attempt to publish or present your research in a public venue such as a conference or in a journal?

\_\_\_ Yes \_\_\_ No Will you collect identifiable private information from the research subjects?

\_\_\_ Yes \_\_\_ No Will you collect identifiable private information from other sources (student records, etc.)

\_\_\_ Yes \_\_\_ No Can any identifiable private information be linked by persons other than the investigator to the research subjects?

\_\_\_ Yes \_\_\_ No Does the research involve sensitive personal data? (Sexual orientation, criminal record, etc?)

\_\_\_ Yes \_\_\_ No Does the research involve questionnaires, surveys, interviews or other forms of collecting data on research subjects?

\_\_\_ Yes \_\_\_ No Will you interview or record your research subjects through audio, video, or other means?

\_\_\_ Yes \_\_\_ No Will human subjects be deceived in any form?

- Yes  No Could the research negatively impact a subject’s personality, behavior, perception, or mental processes?
- Yes  No Does the research involve drugs or medical devices regulated by the FDA?
- Yes  No Will human subjects ingest any kind of substance?
- Yes  No Will human subjects be involved in any kind of physical activity?
- Yes  No Does the research involve collecting any biological specimens (blood, hair, saliva, etc.)
- Yes  No Are pregnant women, fetuses, and/or in vitro fertilization part of the research project?
- Yes  No Are prisoners involved in the research process?
- Yes  No Are other vulnerable populations (mentally impaired, homeless, cancer patients, etc.) involved in the research process?
- Yes  No Will your students be involved in the research process? (Note: students’ grades cannot be affected by research)
- Yes  No Are NWACC students to be involved as research subjects? (Note: students involved must be at least 18 years of age)

Please explain any questions to which you answered “yes” above:

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Please attach a copy of your consent forms and any surveys you wish to use in your research. The IRB may request additional documentation or explanation of your research.

If you have questions, please contact:

## **IRB Questions for Submitting to the Committee**

Please complete the following questions reference your submission to the IRB review board.

- I. Please provide a one to two-page summary of the proposed research project.
- II. Please provide answers to the following items. Indicate “None” or “Not Applicable” as appropriate.
  1. Explain why you are interested in using Grayson College as the basis for your research.
  2. Indicate what resources (facilities, technical assistance, etc.) you will need.
  3. During the course of the study, how will it be made clear that Grayson College’s involvement does not imply endorsement of the project?
  4. Describe any existing Grayson College data to which you will need access.
  5. Describe how you will maintain confidentiality of any individually identifiable data to which you have access.
  6. Describe what you will do with any individually identifiable data after your research is complete.
  7. Describe any benefits expected to be gained from this project.
  8. How do you intend to disseminate the results of the research?
  9. Will Grayson College or any of its employees be identifiable during the process of dissemination of the research results?

If your research will involve human subjects, please answer the following:

10. Describe how the subjects will be selected. Include a rationale for any special categories.
11. If appropriate, describe the characteristics of the sample population including the same size, ethnic background, sex, age, state of health. Include criteria for inclusion or exclusion of subjects and how the subjects will be identified/selected.
12. Identify any risks to which the subjects may be exposed. Include a description of all safeguards to counter these risks.

13. Provide copies of any survey instruments, including questions that may be asked as part of an interview process. (A copy of these questions as approved by the Researcher's home institution must be included as part of this application.)
14. If interviews are to be conducted on campus, where will those interviews be conducted?
15. How will the subjects be informed of the risks to which they will be subjected?
16. How will informed consent be obtained? (A copy of this form as approved by the Researcher's home institutional human subjects committee must be included as part of this application.)
17. In which office (Liaison's name, campus, and room number) will the Informed Consent forms be kept? (Must be on campus in a secured location.)
18. If deception is involved, explain why it is necessary and how subjects will be briefed.
19. Describe any form of compensation (monetary, course credit) that subjects may receive. If students are to receive course credit, explain what opportunities student who chose not to participate will have.
20. If the subject's student or personnel files will be accessed, how will permission be obtained and who will gather this information?
21. If tests are to be administered, will subjects be informed of their individual results?
22. Describe any ways in which subjects could be at risk of criminal or civil liability, damage to employability or to financial standing, or undue embarrassment if responses became known.
23. Does the research deal with any sensitive aspects of subject's behavior, such as illegal conduct, drug use, sexual behavior, or alcohol use?
24. If the subjects will be audio or video taped, what special measures to maintain confidentiality will be taken?
25. Will all subjects be free to withdraw at any time without penalty?

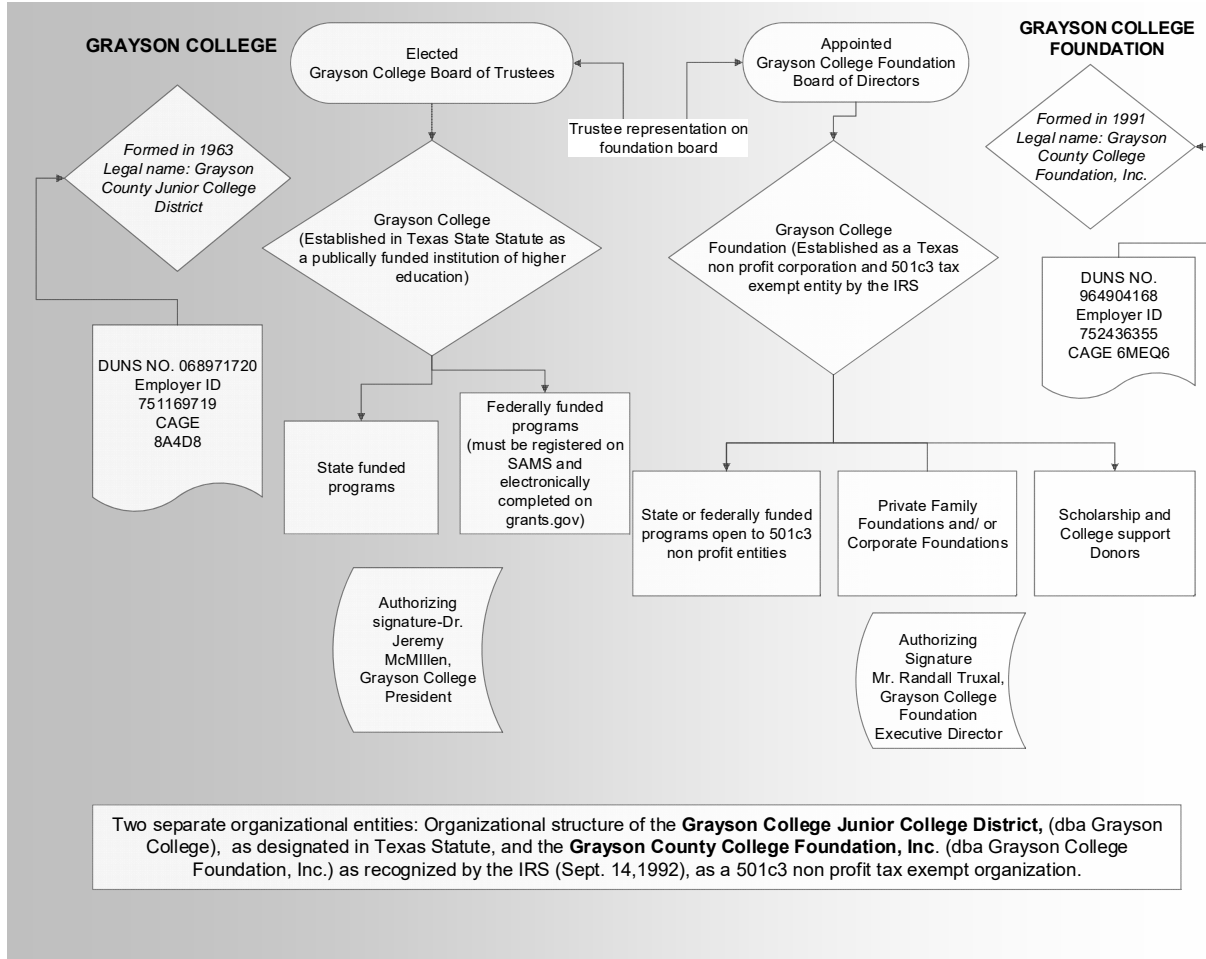


**EXHIBIT "F"**

**Frequently Asked Questions**

**What is the distinction between the Grayson College and the Grayson College Foundation?**

**How do I know which organization will be the applicant when preparing proposals?**



**INSTITUTIONAL IDENTIFIERS:**

- **What is Grayson College Foundation's Entity Identification Numbers, IRS Employer Identification Number (EIN Tax ID) and Organization Type?**
- **What is our GCF DUNS number?**

<b>Legal Name</b>	<b>Grayson County College Foundation, Inc.</b>
<b>DUNS Number</b>	964904168
<b>CAGE Code</b>	6MEQ6
<b>EIN Number</b>	752436355
<b>NAICS Code</b>	813410
<b>Organization Type</b>	IRS tax exempt nonprofit 501(c)3 non-profit

<b>When Established</b>	Established in 1991 by the State of Texas and received its IRS letter of determination on Sept. 14, 1992

- **What is Grayson College’s Entity Identification Number, IRS Employer Number (EIN Tax ID) and Organization Type?**

<b>Legal Name</b>	<b>Grayson County Junior College District</b>
<b>DUNS Number</b>	68971720
<b>CAGE Code</b>	8A4D8
<b>EIN Number</b>	751169719
<b>NAICS Code</b>	611210
<b>Organization Type</b>	Established in Texas State Statute as a publicly funded institution of high education serving Grayson and Fannin Counties
<b>When Established</b>	1965

The world is full of interlinked numbers to identify entities. Today, it is more important than ever to be aware of these interconnections and to understand why changes made must be **carefully considered**. For each legal entity, an array of identification numbers and governmental websites feed directly into each other systems to confirm and verify compliance, financial, and operational history of the specified legal entity. If any changes are made, the impact could significantly disrupt day to day operations and payments to the college.

Grayson College consists of **two legal entities** on this campus. One is **legally** recognized as the **Grayson County Junior College District**. Although the name of the college may change over the years, the organizational documents have remained the same since its inception and unless these documents are amended with the Secretary of State and the IRS, the **legal** name continues to be **Grayson County Junior College District**. **This fact is demonstrated on the seal used on all legal documents of the college**. Amending a legal name can be a time-consuming process, and if changed, the lengthy process could impact our capacity to seek grants or receive state and/or federal funds in a timely manner while the amendment is being considered by each government entity. For that reason, legal organizational names are not often changed due to the disruption which can result; and, “doing business as” names are often adopted instead which do not require formal amendment processes.

**The Grayson County Junior College District, therefore, has the following identification numbers linked to it:**

- DUNS NUMBER-**068971720**
- EMPLOYER ID NUMBER-**75-1169719**
- SIC NUMBER-**82229902** (junior college)
- NAICS NUMBER-**611210** (junior college)
- Dept. of Defense Business ID number cross reference CAGE CODE-**8A4D8**

- Legal organizational document: Grayson County Junior College District was established as a *public junior college district* as per the Texas Education Code.

**Grayson County College Foundation, Inc.** is the second legal entity. This entity was established in 1991 as a Texas non-profit corporation recognized by the Texas Secretary of State and received its federal 501c3 tax exempt status from the IRS in 1992, in order that donations and charitable contributions could be solicited from potential donors for scholarships and grants. These identification numbers are linked to the GCCF, Inc.:

- DUNS NUMBER-**964904168**
- EMPLOYER ID NUMBER-**75-2436355**
- SIC NUMBER-**86410000** (civic and social association)
- NAICS NUMBER-**813419** (civic and social association)
- Dept. of Defense Business ID number cross reference CAGE CODE-**6MEQ6**
- Legal organizational document: Grayson County College Foundation, Inc. is a Texas non-profit corporations and a tax exempt IRS 501c3 organization.

#### **Other Information**

- What is Grayson College's Institutional Profile Number? **225070**
- What us Grayson College's Office of Postsecondary Education (OPE) ID Number (OPEID)? **00357000**
- What is Grayson College's Congressional District? **TX-0004**
- What address should grant and contract checks be mailed to?  
**Grayson College or Grayson College Foundation**  
**6101 Grayson Drive**  
**Highway 691**  
**Denison, Texas 75020**
- What percent of Salary and Wages do we use for calculating Fringe benefits? **25.0%**