



**INTENT TO SUBMIT FORM**

The goal of the Intent to Submit Form is to inform all appropriate individuals of your plans to submit a grant to an external agency. This form will also allow Corporate, Foundation, and Government Relations staff to pride you with grant and budget development assistance. **Please submit this form a minimum of 5 weeks prior to the submission deadline. If you have questions, please call us at 903-813-2423 or email at [lemery@austincollege.edu](mailto:lemery@austincollege.edu).**

Principal Investigator/Project Director (PI/PD):					
Title of Project ( <i>tentative</i> ):					
Funding Source Name:				Submission Deadline:	
Link to solicitation or request for proposal:					
Source:	Federal	State/Local	Foundation	Corporation	Other: _____
Amount Requested: \$	Match or Cost Share (if any): \$		Period of Support:		
Indirect Cost or Overhead Calculation: College's Federal negotiated rate limited by funder to _____ % , overhead not allowed by funder					

<b>Budget Specifics:</b>	Please answer yes or no to each question.	If yes, explain in this column.
	Does the proposal involve cost sharing? <i>If YES, what is the source of the funds?</i>	
	Does this proposal require matching funds? <i>If YES, has this been discussed with your Chair?</i> <i>If YES, what is the ratio?</i> <i>If YES, what is the source of the funds?</i>	
	Does this proposal involve subcontracts? <i>If YES, with whom?</i> <i>If YES, is Austin College the lead institution?</i>	

<b>Project Specifics:</b>	Please answer yes or no to each question.	If yes, explain in this column.
	Will additional lab/room space be required for this project? <i>If YES, what do you require?</i>	
	Will additional Information Technology support be required for this project? <i>If YES, what do you require?</i>	
	Will this project be located off-campus? <i>If YES, please specify where.</i>	
	Will human beings be used as subjects in this research? <i>If YES, have you notified the IRB chair?</i>	
	Will animals be used as subjects in this research? <i>If YES, have you notified the IACUC chair?</i>	
	Could this proposal have implications for the Austin College curriculum? <i>If YES, please explain. Curriculum committee will need to review.</i>	



Personnel Commitments:	Please answer yes or no to each question.	If yes, explain in this column.
	Are you planning to collaborate with anyone else? <i>If YES, with whom and from what department/college/university/etc?</i>	
	Will this proposal request support for positions not already established within Austin College? <i>If YES, please attach information detailing position(s), source of internal support (if any) during the term of the project.</i>	
	Will this proposal provide course release or reassignment time for the PI/PD, or anyone else working on the project? <i>If YES, what is the estimated % of effort during the academic year and/or summer?</i>	
	Will this project include research by undergraduate students? <i>If YES, how many students?</i>	
	Will this project require significant use of auxiliary services? (dining, printing, mailing, etc.) <i>If YES, please describe.</i>	
	Will this project require the hiring of new faculty? <i>If YES, please describe.</i>	

**Financial Disclosure**

For each PI/PD and Co-PI/PD, check one option only.

I confirm and certify that:

- A: No significant financial interests related to this proposal exist as determined by the Austin College Conflict of Interest Policy described in the Operational Guide.
- B: A financial conflict of interest related to this proposal exists and will be disclosed by the individual on the Austin College Conflict of Interest Form which will be submitted separately. Following Federal requirements, I understand that the COI Form is to be submitted before the proposal can be submitted. I also understand that no funds can be expended if an award is made as a result of this proposal until all identified conflicts have been institutionally managed or eliminated.

PI/PD Name:  
 Co-PI/PD Name:  
 Co-PI/PD Name:

_____ Signature of Principal Investigator/Project Director *	_____ date
_____ Signature of Department Chair	_____ date
_____ Signature of Dean	_____ date
_____ Signature of Vice President for Academic Affairs	_____ date
_____ Signature of Vice President of Business Affairs	_____ date

For office use only:

\_\_\_\_\_ Approved by CFGR

**\* By signing this Intent to Submit Form, I certify that the above information is true, complete, and accurate to the best of my knowledge. I agree to provide the required progress reports if a grant is awarded as a result of this application.**



# Conflict of Interest Disclosure Form

## FOR GRANT APPLICATIONS TO THE FEDERAL GOVERNMENT

If you are applying for a **Federal grant** which would be administered by the College, complete and return this form to Director of Corporate, Foundation, and Government Relations Lisa Emery – [lemery@austincollege.edu](mailto:lemery@austincollege.edu)

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Name

Proposal Title

Grant Period

Funding Agency

Start date

Submission Date

End date

### I. Conflict of Interest Disclosure

1. I have read and agree to be bound by the College's Conflict of Interest Policy for Faculty and Staff found in the [Austin College Operational Guide](#) and the conditions below, which applies to all members of Austin College's faculty or staff who are involved in grants and contracts sponsored by the Federal government. **Federal regulations require faculty and staff to renew this certification annually or as new reportable significant financial interests are obtained.**
  - All Principal Investigators (PIs) and all other investigators/personnel who have or share responsibility for the design, conduct, or reporting of NSF sponsored projects must disclose all significant financial interests of the investigator (including those of the investigator's spouse/registered domestic partner and dependent children) (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.
  - Significant financial interests are involved and must be disclosed where one or more of the following financial interests of the investigator (and those of the investigator's spouse/domestic partner and dependent children) reasonably appears to be related to the investigator's Institutional responsibilities.
  - A significant financial interest exists if an equity interest that, when aggregated for the investigator and the investigator's spouse/domestic partner and dependent children, exceeds \$10,000 in value as determined through reference to public prices or other reasonable measures of market value, and represent more than a 5% ownership interest in any single entity.
  - A significant financial interest exists when salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse/domestic partner and dependent children, have exceeded or are expected to exceed \$10,000 during any immediately preceding or following 12 month period.
  - For NSF, significant financial interest does not include:
    - Salary, royalties or other remuneration from the applicant Institution
    - Any ownership interest in the Institution, if the Institution is an applicant under the Small Business Innovation Program or Small Business Technology Transfer Program
    - Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit

Updated 11/2020



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entities

- Income from service on advisory committees or review panels for public or nonprofit entities
- Equity interest and/or salary, royalty and other payments do not exceed the thresholds in the section regarding NSF immediately above

2. Do you or a member of your family have a "significant financial interest" as that term is defined above?

**No, I/we do not.**

**Yes, I/we do. Describe the nature of this conflict with this form.**

## II. Debarment and Suspension Certification

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from a covered transaction by any Federal department or agency; (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall include an explanation with this proposal.

### Certification

I certify that the foregoing and proposal application information is true, complete, and accurate to the best of my knowledge; that I understand that any false, fictitious, or fraudulent statements may subject me to criminal, civil, or administrative penalties; and that I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Signature \_\_\_\_\_

Date \_\_\_\_\_