



# OFFICE OF SPONSORED PROGRAMS

Charles R. Drew University of Medicine and Science

## Glossary & Acronyms

### A

#### **Agreement**

Generic name for grant, contract or other agreement which is enforceable by law, and must be executed for CDU by an authorized official.

#### **Allocable Cost**

A cost that is chargeable or assignable to a cost objective on the basis of relative benefits received or other equitable relationship.

#### **Allowable Costs**

Determined by the Office of Management and Budget (OMB), the sponsor's requirements and/or university policy. OMB Uniform Guidance defines allowable costs as those that are:

- Reasonable;
- Allocable to the project;
- Given consistent treatment by use of generally accepted accounting principles;
- Conform to any limitations or exclusions set forth by the sponsored agreement or OMB Uniform Guidance.

Contact OSP for advice on questions regarding the allowability of expenditures.

#### **Assistance**

Under federal law, the process that leads to a grant or cooperative agreement, as opposed to procurement. The purpose is to "assist" the grantee with what it would do anyway, if it had the resources.

#### **Audit**

A formal examination of an organization or individual's accounts or financial situation. An audit may also include examination of compliance with applicable terms, laws, and regulations.

#### **Authorized Official**

The individual formally authorized to bind the institution to grants, contracts and other agreements; the official "signer" for the institution.

#### **Award**

Funds that have been obligated by a funding agency for a particular project, or the document memorializing this transaction

## **B**

### **Broad Agency Announcement (BAA)**

An announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award may be made. A Broad Agency Announcement is not considered a formal solicitation under FAR.

### **Budget**

An estimate of expenditures proposed to be incurred in the performance of a proposed statement of work.

### **Budget Modification**

The act of modifying and/or amending the budget by moving funds from one category or line item to another

### **Budget Category**

A portion of the budget designated for certain kinds of expenditures, e.g., salaries, consultant, supplies, travel, equipment.

### **Budget Period**

The interval of time—usually twelve months—into which the project period is divided for budgetary and funding purposes.

## **C**

### **Cancellation, Termination, Stop Work Order**

A contractual clause (usually Termination Clause) that says a party can terminate or cancel an agreement or contract with a set number of days of written notification. CDU requires at least thirty (30) days written notification to allow the University to reassign faculty, staff, and students working on the project. A Stop Work Order can require ceasing work without necessarily terminating the project.

### **Certification**

A statement signed by an authorized representative of the university indicating that the university will adhere to certain conditions and will or will not undertake certain actions. Most cases certifications are required before receiving federal funds.

### **Clinical Trial**

A clinical trial is an interventional or observational prospective research study involving human subjects that is designed to answer specific questions about biomedical (e.g., drugs, treatments, devices) or behavioral interventions (e.g., diet modifications, physical activity) through the compliant collection and analysis of safety and efficacy data as measurement for health outcomes.

### **Close Out**

The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

### **Code of Federal Regulations (CFR)**

A compilation of all final regulations issued by federal agencies and published annually by the National Archives and Records Administration. The CFR is divided into numbered "Titles", primarily by federal agency.

### **Compliance**

Adherence to the requirements imposed, often by federal regulation, and the responsibilities institutions assume in their receipt. The institution signs certifications or representations regarding compliance for most proposals or awards. It is important that the institution have systems in place to ensure compliance and maintain adequate records to demonstrate compliance.

### **Competing Proposals**

Proposals that are submitted for the first time or unfunded proposals that are resubmitted; either must compete for research funds. Ongoing projects must compete again if the term of the original award has expired.

### **Confidentiality Agreement**

An agreement between two parties whereby they agree to maintain confidential information received from the other party. CDU wants such information be clearly identified as proprietary and/or confidential, and wants a time limit specified for maintaining confidentiality. In reviewing a confidentiality agreement, the university's right to publish must be protected.

### **Consistently Treated Costs**

Costs that are treated alike when circumstances are alike, particularly as to whether costs of a given type are treated consistently as either Direct Costs or as Facilities and Administrative costs (Indirect Costs).

### **Consortium Agreement**

Agreement between two institutions that allows collaborative work on a single project by investigators of the two institutions. The "prime" or "lead" institution receives an award from the sponsor which directs that a subaward or subcontract be issued to the "sub-" institution.

### **Consultant/Vendor**

Individuals, organizations, or businesses that provide analysis, advice or service to solve problems in their area of professional / technical expertise. (See also consultant agreement).

A consultant/vendor is one who provides goods or services for a fee, but not as an employee of the hiring entity. Consultants are experts outside the university who provide their professional services for a fee. They are more appropriately treated as vendors. OMB Uniform Guidance identifies vendors as:

- Providing goods and services within their normal business operations;
- Providing similar goods or services to many different purchasers;
- Operating in a competitive environment;
- Providing goods or services that are ancillary to the operation of the Federal program; and
- Not subject to the compliance requirements of the Federal program.

### **Consultant Agreement**

An agreement between an individual or organization (consultant) and the university whereby the consultant provides services of an advisory nature. The university may enter into an agreement of this type when the necessary expertise is not available within the university community. **Please note: a Consultants cannot be a CDU employee.**

### **Continuation Project (Non-Competing)**

Applicable to grants and cooperative agreements only. A project can be approved for multiple-year funding, although funds are typically committed only one year at a time. At the end of the initial budget period, progress on the project is evaluated. If satisfactory, a Continuation award is made for the next budget period, subject to the availability of funds. Continuation projects do not compete with new project proposals and are not subjected to peer review after the initial project approval.

### **Contract**

A mechanism for procurement of a product or service with specific obligations for both the sponsor and recipient. Each contract document contains a statement of work or services to be performed (scope of work) and represents a legal obligation by the contractor. Since a contract is a purchase or procurement, there are always deliverables.

### **Cooperative Agreements**

A federal award similar to a grant and subject to grant regulations, but in which the sponsor's staff may be actively involved in proposal preparation, and anticipates having substantial involvement in research activities once the award has been made.

### **Co-Principal Investigator (Co-PI)**

See Multiple PI

### **Copyright**

Intellectual Property protection for a "writing", which protects the specific expression. The treatment of copyrighted works resulting from sponsored projects varies from project to project. All agreements will reserve the right for faculty to publish scholarly and academic works; however, provisions covering the use and distribution of reports and software will vary from agreement to agreement.

### **Copyright Infringement**

Use of copyrighted material without permission other than under "fair use" doctrine.

### **Cost Accounting Standards (CAS)**

Federally mandated accounting standards intended to ensure uniformity in budgeting and spending federal funds, originally applicable to commercial concerns.

### **Cost-Reimbursement Type Contract/Grant**

A contract / grant for which the sponsor pays for the allowable and allocable costs incurred in the conduct of the work up to an agreed-upon amount.

### **Cost Sharing**

Cost sharing is the portion of project expenses related to a sponsored agreement that is contributed by the University but not directly charged to the sponsored project fund.

## **D**

### **Deadline Date**

The date by which a proposal must be received by a sponsor for consideration of funding. In order to support the increasing number of proposals being submitted, a PI must adhere to OSP deadline

policy which requires all proposals to be submitted to OSP five business days in advance of the sponsor's deadline for review.

**Deficit**

Expenditures exceed funds available; also "cost overrun".

**Deliverable**

An objectively measurable product or service that is a direct result of a project effort or a procurement. Deliverables must be stated as an integral part of the proposal and award documents.

**Direct Costs**

Direct Expenses are costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily, and with a high degree of accuracy.

**Donation**

Transfer of equipment, money, goods, services, and property with or without specifications as to its use. Sometimes donation is used to designate contributions that are made with more specific intent than is usually the case with a gift, but the two terms are often used interchangeably. (Also see Gift)

**Drug-free Workplace**

The Drug-Free Workplace Act of 1988. This regulation stipulates that no federal funding will be available for institutions or individuals who do not have a drug-free workplace policy in place.

**E**

**Effort**

Effort is defined as the amount of time spent on a particular activity. It includes the time spent working on a sponsored project in which salary is directly charged or contributed (cost-shared effort).

Individual effort is expressed as a percentage of the total amount of time spent on work-related activities (instruction, research, patient care, administration, etc.) for which the University compensates an individual.

**Effort Reporting**

Effort reporting is the mandated method of certifying to the granting agencies that the effort charged or cost shared to each award has actually been completed.

CDU uses the Plan Confirmation method of Effort Reporting because the effort data is not recorded in the payroll system but only on the Personnel Action Form (PAF). (See CDU Effort Certification Policy).

**Electronic Personnel Action Form (EPAF)**

EPAF is the method used to hire CDU employees

**Employee related expenses (ERE)**

See Fringe Benefit.

**Encumbrance**

Funds that have been set aside or “claimed” for projected expenses pending actual expenditure of the funds.

### **Endowment**

A fund usually in the form of an income-generating investment, established to provide long-term support for the institution, including for faculty/research positions.

### **Entity Identification Number (EIN)**

The number the Internal Revenue Service assigns to every employer, also “Federal Identification Number” (FIN) that uniquely identifies that taxable entity. Use of this number enables a sponsor to identify the correct recipient to receive the funds awarded under a contract or grant.

### **Equipment**

An article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds \$5000.

### **Expiration Date**

The date signifying the end of the performance period, as indicated on the Notice of Grant Award.

### **Extension**

An additional period of time given by the sponsor to an organization for the completion of work on an approved grant or contract. An extension allows previously allocated funds to be spent after the original expiration date. For awards received from the National Institute of Health (NIH), Extensions may be performed automatically one-time only by the Signing Official (SO) no earlier than 90 days before the end of the project and no later than the end date. (See also No Cost Extension).

**Note:** There can only be one no cost extension through Commons per grant. If a PI has applied previously for an extension for a grant, an Extension link will not be available. Any future request needs to be directed to NIH, Grants Management Officer.

## **F**

### **Facilities & Administrative (F&A) Costs**

Facilities & administrative costs (F&A) or indirect costs are costs that are incurred for common or joint objectives and, therefore cannot be identified readily and specifically with a sponsored project, an instructional activity or any other institutional activity.

### **F&A Exception**

CDU University has referred to the published F&A rates of non-profit foundations which are lower than CDU’s established Federal negotiated rate as F&A Exceptions. Please note that this policy document makes a distinction between an F&A Exception and an F&A Waiver, as defined below. CDU procedures for the two categories differ as outlined below.

### **F&A Waiver**

An F&A waiver is an institutional agreement that F&A costs will be charged at a lower rate than the sponsor’s published rate. These waivers are obtained on a case-by-case basis from the Director of the Office of Sponsored Programs and must be approved by the Vice President for Research, Deans, Provost and VP for Finance.

### **Federal Identification Number (FIN)**

The number the Internal Revenue Service assigns to every employer, also "Entity Identification Number" (EIN) that uniquely identifies that taxable entity. Use of this number enables a sponsor to identify the correct recipient to receive the funds awarded under a contract or grant.

### **Federal Awardee Performance and Integrity Information System (FAPIIS)**

A system that includes government-wide data containing specified information related to the integrity and performance of entities awarded federal grants and contracts.

On July 22, 2015, the Office of Management and Budget (OMB) released final guidance to federal agencies to implement Section 872 of the Duncan Hunter National Defense Authorization Act ("Section 872") in relation to grant awards. Section 872 requires the establishment of such a system.

### **Final Budget**

Final Budget is defined as a budget with costs compliant with University policies and 2CFR 200 (Uniform Guidance). Calculations should include appropriate salary information for personnel, including escalation factors, current fringe rates, correct indirect rate applied with relevant direct costs excluded.

### **Final Report**

The final technical or financial report required by the sponsor to complete a research project.

### **Fiscal Year (FY)**

Any twelve-month period for which annual accounts are kept. CDU's FY is July 1 through June 30; the U. S. Government's FY is October 1 through September 30.

### **Fixed-Price (FP) Contract/Grant/Agreement**

Funding mechanism used to support an activity at a fixed funding level in exchange for deliverables outlined in the agreement.

### **Fringe Benefits**

Fringe benefits, also known as Employee related expenses (ERE), is a normal and required direct cost category for most educational institutions. These costs need to be estimated for all employees proposed to work on a project.

## **G**

### **Gift**

Gifts and bequests are awards given with few or no conditions specified. Gifts may be provided to establish an endowment or to provide direct support for existing programs. This type of funding is very flexible and normally gift lack restrictions.

### **Grant**

A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. A federal grant, as opposed to a federal cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities. The PI of a research grant has significantly greater flexibility in making changes to the research plan than the PI of a research contract. As with any agreement, a grant has terms and conditions which must be followed.

## **H**

### **Honoraria**

An honorarium is a token of appreciation paid to an individual for services performed for which payment is not required. There is no contract, the fee is not set or negotiated by the recipient, and the honorarium may not be paid to a third party. Typically, honoraria are paid to guest lecturers or expert for brief appearances at the University.

## **I**

### **Incremental Funding**

A method of funding contracts that provides specific spending limits below the total estimated costs, usually with target dates. These limits may be exceeded only at the contractor's own risk. Each increment is, in essence, a funding action.

### **Indirect Costs**

See Facilities and Administrative (F&A) Costs.

### **Intellectual Property**

In broad terms, an IP is the result of using one's intellect to create something new and different from whatever was known before. IP is also a legal concept, inasmuch, as like other property, it can be owned, sold, rented, given away, etc. IPs are protected by patents, copyrights, trade secrets, trademarks, and know-how (secrecy). By state law, CDU must retain title to any and all intellectual properties (patents, copyrights, trademarks) developed with significant use of general funds.

### **Investigator**

A University Member conducting Research as an employee or student of, or using facilities owned or operated by, or resources administered by, the University.

## **K**

### **Key Professional Personnel**

Key professional personnel (or key personnel) are all individuals who participate in the scientific development or execution of the project. Typically, key personnel have a Ph.D. Ed.D., or M.D., but may also include the master's or baccalaureate level, provided they contribute in a substantive way to the research.

## **L**

### **Limited Submission Review**

Limited Submission Review is a type of request for proposals (RFP) restricted by sponsors in terms of the number of proposals that may be submitted by a single institution.

Review Limited Submission Review – VP for Research and Health Affairs

## **M**

### **Mandatory Cost Sharing**

Required as a condition to receive an award, and specified by the agency in the proposal guidelines or program announcement. This would be the minimum cost sharing required by the agency. Anything committed beyond the minimum becomes Voluntary Committed cost sharing. Mandatory cost sharing must

be recorded by the University, reported to the sponsor in the final fiscal report. See also Voluntary Committed Cost Sharing.

### **Matching Grant**

A grant that requires a specified portion of the cost of a supported item of equipment or project be obtained from other sources, as mandatory cost sharing. The required match may be more or less than the amount of the grant. Some matching grants require that the additional funds be obtained from sources outside the recipient organization. Some matching grants are paid in installments, the payments coinciding with the attainment of pre-specified levels of additional funding. (Also see Challenge Grant)

Matching grants are especially common in the sciences for large equipment grants. They are standard practice in some government agencies.

### **Misconduct**

Review Research Misconduct.

### **Modification**

Any change made to an existing sponsored agreement.

### **Modified Total Direct Costs (MTDC)**

The portion of direct costs on which the indirect costs are based, namely: salaries and wages, fringe benefits, materials and supplies, services, travel, and up to \$25,000 on each subgrant and subcontract.

## **N**

### **No-Cost Extension (NCE)**

No-cost extension is used if the PI needs additional time to work on the project and did not reach all goals and original scope of work for the project. No-cost extension is not meant to simply "spend out" the remainder of the award. (see Cost Extension).

## **O**

### **Off-Campus Facilities & Administrative Cost Rate**

An off-campus rate is applicable to those projects conducted in facilities not owned or operated by the university, which include charges for facility rental as a direct expenditure. See the Facilities & Administrative Costs definition.

### **Offer**

An offer is a proposal, by one party to another, of intent to enter into a contract on the terms specified in the offer.

## **P**

### **Participant**

A participant is a non-CDU employee who is a recipient of a service or training session associated with a workshop, conference, seminar, symposium or other information sharing activity funded by a sponsored award.

Participants do not perform work or services for the project or program other than for their own benefit. These participants are not required to deliver anything or provide any service to the University in return for these support costs. (Also see participant cost and participant incentive).

### **Participant Incentive**

A participant incentive is provided to help defray personal expenses such as meals, incidentals and minimal transportation costs incurred by a participant. The Travel Reimbursement process should be used for significant travel costs.

### **Participant Costs**

Participant support costs are payments for costs incurred for involvement in a workshop, conference, seminar, symposium, or other training activity. For more information on participant support.

### **Payroll Certification**

Monitor effort or payroll certification is a project-based method of certifying effort on federally sponsored projects to certify that salary charges are reasonable in relation to work performed. (see Effort Reporting)

### **Peer Review**

A process utilized by some federal and private agencies, whereby committees of research investigators in the same area of research or with the necessary expertise (from other institutions) review and recommend applications to the funding agency.

### **Petty Cash**

Petty Cash is the method used to pay subjects for participation in a research study. Petty Cash is a system designed to give a set amount of cash to an individual (custodian) who will then disburse the cash to research participants as appropriate.

Petty Cash is charged against a grant or state account, but the money only is reflected against the grant when it is spent (i.e. when expenditures have been noted to the Accounts Payable Department through the Petty Cash Reimbursement/Closing process). This is money given to a custodian for a specific purpose-this is not a 'slush fund' for any expenses that may arise.

### **Principal Investigator (PI)**

Typically, a faculty member who submitted a proposal that was accepted and funded by an external sponsor, also referred to as the project director. The PI has primary responsibility for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funds.

### **Private Sector Entity**

A private sector entity is a private agency, professional association, private foundation, corporate foundation, corporation or other such entity.

### **Program Income**

Program income is gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds.

For federal awards, program income is to be identified by the recipient and handled in one of three ways:

1. Additive Method: added to available funds and used for program objectives
2. Cost Share Method: used to finance the cost shared portion of the project
3. Deductive Method: deducted from the allowable federal costs of the program. Except for research awards, the Deductive Method applies unless the awarding agency specifies to the contrary in its regulations or in the award. The Additive Method applies to research awards by default unless the awarding agency specifies another alternative.

Review 2 CFR200 (Uniform Guidance) for more information on program income.

## **Proposal**

The Proposal is defined as: a complete proposal package including a draft technical narrative. The package must include all required proposal components as specified by the sponsor, along with all completed sponsor forms.

A complete proposal must have the following elements:

- Proposal summary or abstract
- Technical narrative
- Final budget
- Final budget justification
- Biographical sketches
- Subcontract documents for each proposed subcontractor
- Complete COI disclosure for each federal project
- Additional documents as required by the sponsor
- Cost share approvals must accompany the items above

All proposals submitted by a university employee to an outside entity that may directly lead to a sponsored project award, require initial review and coordination through the Office of Sponsored Programs prior to submission to a potential sponsor.

## **Proprietary Information**

Research sponsored by non-governmental entity or individual that involves restrictions on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

## **Public Sector Entity**

A public sector entity is a federal, state or local government agency or municipality.

## **Q**

## **Quasi-Governmental Organization**

A quasi-governmental organization is an organization that has characteristics of both public and private entities.

## **R**

### **Reasonable Cost**

A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.

### **Rebudgeting**

Process by which funds available for spending are reallocated between budget categories to allow best use of funds to accomplish project goals. (See also Budget Adjustment)

### **Regulations**

The contractual rules and procedures governing sponsored research projects.

### **Renewal**

Applicable to grants and cooperative agreements only. A competitively reviewed proposal requesting additional funds extending the scope of work beyond the current project period.

### **Research and Related Activities**

All formal investigative efforts (whether funded or unfunded) by faculty, students, and staff that are designed to develop or contribute to generalized knowledge, including analyses of secondary data.

### **Research Misconduct**

It means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Research misconduct does not include honest error or differences of opinion.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

### **Research Misconduct Proceeding**

Any actions related to alleged research misconduct taken under the Misconduct in Research, including but not limited to allegation assessments, inquiries, investigations, Federal oversight reviews, hearings, and administrative appeals.

### **Research record**

The record of data or results that embody the facts resulting from scholarly inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to a university official or a Federal agency by a respondent in the course of the research misconduct proceeding.

## **S**

## **Salaries and Wages**

Payments made to employees of the institution for work performed.

## **Scientific Review Group**

The NIH Peer review panel to which each grant proposal is sent for peer review. Formerly named "Study Section".

## **Senior Key Personnel**

Professional personnel who are responsible for the scientific or technical direction of project. The principal investigator has final responsibility if there are more than one senior investigators on a project.

## **Small Business Innovative Research (SBIR)**

Federal grant program created to provide support to small business concerns and investigators for research projects that have potential for commercialization. The SBIR program requires that the primary employment (over 50%) of the principal investigator for the grant be with the small business. The small business concern may conduct the entire SBIR project without outside collaboration, or it may subaward some of the grant to a university.

## **Small Business Technology Transfer (STTR)**

Federal grant program created to provide support to small business concerns and investigators for research projects that have potential for commercialization. The STTR program allows (but does not require) that the principal investigator for the grant be primarily employed other than with the small business. The small business concern must subaward some of the grant to a university or other research institution because the goal of the program is to transfer technology developed there.

## **Small Grant**

A special type of award, often limited to a beginning researcher. Typically, such an award may be obtained for one year only.

## **Sponsor**

The organization that funds a sponsored program received by the institution.

## **Sponsored Activities**

Include programs and projects financed by Federal and non-Federal agencies and organizations which involve performance of work other than instruction and organized research. Other Sponsored Activities are established primarily to provide non instructional services beneficial to individuals and groups external to the institution. Some examples include: travel, conferences, etc.

## **Sponsored Instruction**

Is defined as teaching and training activities funded by grants, contracts, or cooperative agreements from Federal or non-Federal sponsors. Sponsored Instruction includes agreements that support teaching/training activities.

## **Sponsored Research**

Includes all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term involves systematic study directed toward fuller knowledge or understanding of the subject and includes activities involving the training of individuals in research

techniques (research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. Sponsored Research generally includes hypothesis testing and has a defined scope of work, a work plan, time frame and reporting requirements to the sponsor.

## **Stipends**

A stipend is a scholarship or fellowship allowance granted to a student that is provided as a fixed and regular payment. Stipends are paid to individuals who are being trained or educated, and these support funds are not considered salary, as no personnel services are required from the recipient, only participation.

### **Student Stipends**

The meaning of "stipend" within this policy is strictly related to a payment intended to help the stipend recipient defray living or other expenses but not intended as compensation for services rendered. Each agency or sponsor may have its own specific definition of "stipend" and that definition should be applied to awards from the respective sponsors. According to the *National Institute of Health's (NIH) Grant Policy Statement (NIHGPS)*, a stipend is "a payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee." Students must be academically associated with the activities of the sponsored project to receive a stipend. Stipend recipients may work on the activities associated with the award, in pursuit of their academic goals, but are not required to perform services for the project in exchange for the stipend.

**Note:** If the term "stipend" is used elsewhere in the university with another meaning that *does* create an employment relationship, this policy does not apply and are governed by human resources employment policies.

### **Subaward, Subcontract, Subgrant, or Subagreement**

A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization. "Subaward" or Subgrant" is usually used in relation to an agreement under a federal grant.

### **Subrecipient**

Subrecipient mean a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal Program, but does not include an individual that is a beneficiary of such program. A research collaborator to which the University may assign certain rights (i.e., ownership of intellectual property) and flow-down the terms and conditions and other requirements (human subjects, OMB Uniform Guidance) from the prime award.

Section 200.330 considers an organization to be a subrecipient when the following criteria are present:

- It determines who is eligible to receive what Federal financial assistance;
- It has its performance measured against whether the objectives of the Federal program are met;
- It has responsibility for programmatic decision making;
- It has responsibility for adherence to applicable Federal program compliance requirements ( i.e., flow-down terms and conditions of the prime award, human and animal subject requirements and applicable OMB Uniform Guidance); and

- It uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

## **Subs**

Short for subcontractors, or for subcontracts.

## **T**

### **Technical Data**

Recorded information, regardless of form or characteristic, of a scientific or technical nature. Often referred to as the “science” of a proposal. Most sponsors require technical progress and final reports. Most funding sources require the PI to submit a final technical report within 90 days of the end date of the award.

### **Terms and Conditions of Award**

All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation(s), or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the sponsor’s interests. All applicable terms must be included in the award document, but very frequently by reference only.

### **Total Costs, Total Project Costs**

The total allowable direct and indirect costs incurred by the institution to carry out an approved project or activity.

## **U**

### **Unrestricted Funds**

Monies (or an accounting category for such funds) with no requirements or restrictions as to use or disposition. Grants, contracts, and cooperative agreements are considered to be restricted funds, while gifts are usually considered unrestricted funds.

### **Unilateral Award**

An award made by a sponsor to an organization without considering competitive proposals. Unilateral awards are most often made when unsolicited proposals receive favorable treatment.

## **V**

### **Voluntary Committed Cost Sharing**

Cost sharing that is not mandatory; cost sharing specifically pledged on a voluntary basis in the proposal’s budget or the Federal award on the part of the non-Federal entity and that becomes a binding requirement of Federal award.

### **Vendor**

See Consultant/Vendor

## Sponsored Project Acronyms

AP	Accounts Payable
BAA	Broad Agency Announcement
CAS	Cost Accounting Standards
CFR	Code of Federal Regulations
CITI	Collaborative Institutional Training Initiative
COI	Conflict of Interest
Co-PI	Co-Principal Investigator
CR	Cost Reimbursement
CTR	Cost Transfer Request
EAR	Export Administration Regulations
EIN	Entity Identification Number
ER	Effort Report
ERE	Employee Related Expenses
EPAF	Electronic Personnel Action Form
F&A	Facilities and Administrative Costs (formerly "indirect costs")
FIN	Federal Identification Number
FY	Fiscal Year
IDC	Indirect Costs (See F&A)
ITAR	International Trafficking in Arms Regulations
IP	Intellectual Property
MTDC	Modified Total Direct Costs
NCE	No-Cost Extension
NDA	Nondisclosure Agreements
OMB	Office of Management and Budget
OSP	Office of Sponsored Programs
PI	Principal Investigator
RA	Research Administrator
RCR	Responsible Conduct of Research
RFP	Request for Proposal
SBIR	Small Business Innovative Research
STTR	Small Business Technology Transfer
TDC	Total Direct Costs