



## COMMON RESEARCH ADMINISTRATION TERMS AND DEFFINITIONS

**Abstract** - A one-page project summary of the significance (need) of the work, the hypothesis and major objectives of the project, the procedures to be followed to accomplish the objectives, and the potential impact of the work.

**Allocable Costs**- A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or cost objective in accordance with relative benefits received. This standard is met if the cost (1) Is incurred specifically for the Federal award; (2) Benefits both the Federal award and other work of the non-Federal entity and can be distributed in proportions that may be approximated using reasonable methods; and (3) Is necessary to the overall operation of the non-Federal entity and is assignable in part to the Federal award in accordance with the principles in this subpart.

**Allowable Costs** - Costs allowable as a charge on a grant or contract as determined by the terms and conditions of the award and/or appropriate federal cost principles provided in the Office of Management and Budget (OMB) [Uniform Guidance](#), Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions.

**Amendment** - Any change to a contractual agreement, which usually requires an official signature.

**Authorized Signature/Authorized Signature Authority** - The signature of a University official who is designated to give assurances, make commitments and execute legal documents on behalf of the University. The signature of an authorized official certifies that commitments made on grant proposals or contract agreements can be honored, and ensures that all sponsored agreements conform to federal regulations, agency guidelines, and University policies.

**Award Close Out** - The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

**Broad Agency Announcement (BAA)** - An announcement of a federal agency's general research interests that invites grant proposals and specifies the general terms and conditions under which an award may be made.

**Budget** - A list of anticipated project costs that represents the best estimate of the funds needed to support the work described in a grant or contract proposal.

**Budget Adjustment** - The act of amending the budget by moving funds from one category or line item to another.

**Budget Period** - A subdivision (usually 12 months) of the overall duration of a project used to monitor budgetary and funding activities.

**Budget Narrative / Budget Explanation / Budget Justification** - A detailed, written explanation or description of each individual cost or item within a budget. This often includes a written description of the cost estimation methods used in preparing the budget as well.

**Budget Revision:** The act of amending the total account budget by allocating additional funds to categories or line items. Also called “rebudgeting.”

**Carryover / Carry Forward** - The amount of unobligated balance of project funds, remaining from the current budget period, that are authorized by the Grants Officer for use in the current next budget period to cover allowable costs. A carryover must be requested in support of activities aligned with a grantee’s existing project goals and objectives to cover costs not already incurred by the recipient. Requests to carryover unobligated funds should be submitted in time frame that allows authorization prior to the end of project period.

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

**Collaborator** - Often confused with the term “consultant,” a collaborator is a University employee who volunteers his/her knowledge and time to a research project *without* monetary compensation. Collaborating is an unpaid service, whereas consulting is a paid service by non-Campbell University employees.

**Commingling** - The act of mixing funds belonging to one party with those of another party, especially when a fiduciary has responsibility to keep the funds separated.

**Conflict of Interest** - A situation in which an investigator’s outside financial interest(s) or obligation(s) (real or perceived) have the potential to bias a research project.

**Consultant** - Also known as an “independent contractor”, a consultant is a non-Campbell University employee who performs specific services on a research project for monetary compensation, with no direct control from the University regarding how the services are performed.

**Continuation or Continuation support** - On-going support provided by an agency which has been awarded for more than one funding period. A continuation proposal is normally submitted at the end of each budget period to receive the next increment of funding. Continuation proposals may be “competing” or “non-competing” (and are commonly referred to as “renewals”). Applicable to grants and cooperative agreements only.

**Contract** - A written, legal agreement between the University and an awarding agency involving the expectation of a tangible product, service, or specific obligation (commonly referred to as a “deliverable”) in return for sponsored support.

**Cooperative Agreement** - A sponsored agreement in which the sponsor acts as a partner to the University regarding a particular sponsored research project. The sponsoring agency is substantially involved in the programmatic or technical aspects of the sponsored activity. Deliverables are stated as part of the terms and conditions of the agreement.

**CAS (Cost Accounting Standards)** - Federally mandated accounting standards intended to ensure uniformity in budgeting, accounting and reporting project costs.

**Cost-Reimbursement Contract/Grant** - A contract or grant for which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount.

**Cost Sharing** - Any type of arrangement where more than one party financially supports a given sponsored project. The two types of cost-sharing include mandatory cost-sharing (required by the sponsor in the award terms and conditions) or voluntary cost-sharing, which is strongly discouraged because it is a financial liability to the University and future projects.

**Delegated Authority** - authorized individuals who may legally bind the University or obligate University resources.

**Deliverable** - A tangible product (reports, results, materials, etc.) defined in the terms and conditions of a contract, grant or cooperative agreement, produced by the award recipient and delivered to the sponsor of a research project.

**Deobligation** - The withdrawal of support under an award, in whole or in part, before the date of completion.

**Direct Cost** - Clearly identifiable costs directly related to a particular research project. General categories of direct costs include but are not limited to salaries and wages, subconsultants, contractual services, travel and equipment. Such costs are defined in the [Uniform Guidance](#), Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions, and the University is required to abide by these principles.

**DUNS Number** - The unique nine-digit identification number assigned by Dun & Bradstreet identifying a specific business or entity.

**Effort** - The total amount of activity or work done by an individual for a particular project. Effort is expressed as a percentage of the full time equivalence (FTE) of a project.

**Effort Reporting** - A procedure mandated by the federal government to verify that direct labor charges to sponsored projects are reasonable, and reflect actual work performed. Effort reporting shows the distribution of the effort of individuals among the various activities in which they work. Regular certification must be done by PI's who manage these projects. Effort reporting and certifications must also be done for other projects where individuals are paid across a variety of activities.

**Encumbrance** - Funds that have been set aside or "claimed" for projected expenses pending actual expenditure of the funds. Encumbrances reduce the available balance of an account.

**EIN/ Employer Identification Number** - Also known as Federal Tax Identification Number

**Equipment** - Generally, articles of nonexpendable tangible personal property having a useful life and an acquisition cost which meet or exceed \$5,000. Equipment is not a replacement part or component that returns a piece of equipment to its original condition. If a component increases the capability of the original equipment and has an acquisition cost that meets or exceeds the established equipment cost thresholds, it is considered a capital item.

**eRA Commons** - An electronic database provided by the [National Institutes of Health \(NIH\)](#) for administration of NIH grant proposals and awards, such as compliance requirements, applications, reports, forms, etc.

**Export Control** - Federal regulations that control the conditions under which certain information, verbal communication, technologies, and commodities can be transmitted overseas to anyone, including U.S. citizens, or to a foreign national on U.S. soil or abroad. To find out if technologies or data are controlled, check [the Export Administration Regulations \(EAR\)](#) and [International Traffic in Arms Regulations \(ITAR\)](#) control lists.

**Extension** - An additional period of time authorized by the sponsor (or awardee institution, as appropriate) 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.

**Extramural Funding** - Research support from entities other than the University, administered by those external sponsors.

**Facilities and Administrative (F&A) Costs** - Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with Indirect Costs or overhead.

**FastLane** - The [National Science Foundation](#) web site for transactions (e.g. grant proposal submission) between a research organization, its researchers, and [NSF](#).

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

**Financial Disclosure** - A PI must disclose direct or indirect financial interest in the sponsor of research funded by a non-governmental agency, the [National Science Foundation](#) or the Public Health Service.

**Fiscal Year (FY)** - Any twelve-month period.

**Fixed Price** - A contract/grant for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered. Quite often this is a fee-for-service agreement.

**Fringe Benefits** - Employee benefits paid by the employer (for example, FICA, Worker's Compensation, Pension, Insurance, and so forth).

**Fundamental Research** - Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community.

**Funding Cycle** - Range of time during which grant proposals are accepted, reviewed, and funds are awarded. If a sponsor has standing grant proposal review committees (or boards) that meet at specified times during the year, application deadlines are set to correspond with those meetings. For some sponsors, if grant proposals are received too late to be considered in the current funding cycle, they may be held over for the next review meeting.

**Funding Opportunity Announcement (FOA)** - A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. FOAs may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the agency and type of program.

**Grant** - A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved grant proposal. A grant, as opposed to a cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

**Grants.gov** - The central portal that the federal government is implementing for grant submissions.

**Grant/Contract Officer** - A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies regulations, and provisions.

**Human Subject** - Defined by the **U.S. Department of Health and Human Services** as a living individual about whom a research investigator (whether a professional or a student) obtains data through systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. For more information see the **Office for Human Research Protections** and the **Food and Drug Administration**. University oversight of human subjects research is delegated to the **Institutional Review Board (IRB)**.

**Incremental Funding** - Usually applicable to contracts, incremental funding provides specific funded increments and sets spending limits below the total estimated costs. These limits may be exceeded only at the University's own risk. The legal liability of the sponsor to make payments is limited to the incremental funds provided.

**Independent Contractor** - A person who contracts to do work for an employer according to his or her own processes and methods; the contractor is not subject to another's control except for what is specified in a mutually binding agreement for a specific job.

**Indirect Costs (also known as Facilities and Administrative Costs or Overhead)** - Allowable costs that are incurred for common or joint objectives that are associated with a project but cannot be solely attributable to that project alone. Such costs include shared expenses such as general administration operations (accounting, payroll, purchasing, etc.), sponsored project administration, plant operation and maintenance, library expenses, departmental administration expenses, depreciation or use allowance for buildings and equipment, and student administration and services. All F&A cost rates are negotiated with the federal government in conjunction with the agency providing the award.

**In-kind Funds** - Contributions or assistance in a form other than money. Equipment, materials, or services of recognized value that are offered in lieu of cash.

**Institutional Animal Care and Use Committee (IACUC)** - The committee responsible for overseeing the use and care of animals used for research.

**Institutional Review Board (IRB)** - The Committee responsible for ethical and regulatory oversight of research involving human subjects.

**Intellectual Property** - “Intangible property” that is the product of research. Examples include copyrights, trademarks, patents, and trade secrets. Although each is a separate area of law, governed by different federal and state laws concerning ownership, all are designed to provide some protection against others from misappropriating the products and ownership of intellectual creativity.

**Interim Funding** - Authorization to expend funds on a project to a specified limit before the award document has been received from the sponsor.

**Just-in-Time** - Funding agencies may require additional information after a grant proposal is submitted and before an award is made. Such information may include verification of human subjects and/or animal subjects protocol approval, documentation of required human subjects training, revised budget information, and an up-to-date listing of additional sponsored research support for the same project.

**Key Personnel** - Personnel considered of primary importance to the successful conduct of a research project. The term usually applies to the senior members of the project staff; however, sponsors may have differing definitions.

**Letter of Intent** - A letter of intent advises a funding agency that an application will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

**Limited Submissions** - A restriction placed on the number of grant proposal submissions allowed from any given institution. At Campbell University, an internal selection process is used to identify and fairly judge among numerous investigators interested in submitting applications for such submissions. The [Office of Sponsored Research and Programs \(OSRP\)](#) is responsible for identification, sends alerts to the research community, and administers the selection process.

**Logic Model** – A planning tool to clarify and graphically display what your project intends to do and what it hopes to accomplish. A logic model summarizes key program elements, explains the rationale or purpose behind a program or project plan, identifies inputs or resources and infrastructure support, lists activities or interventions, indicates outputs or evidence of performed activities, and clarifies intended outcomes and goals. Also known as a logical framework, theory of change, or program matrix.

**Matching Funds** - Funds obtained from other sources to increase the level of support provided by the granting agency. The granting agency will provide additional funds equal to the private matching funds raised for the project. Normally, this is done on a dollar-for-dollar basis. Federal funds may not be used for matching on another federal project. Unlike cost sharing, neither personnel effort against the project nor reduction in indirect costs can be used for the matching component. Some Federal agencies require matching in order to receive an award.

**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. 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. Many matching grants are paid in installments, the payments coinciding with the attainment of pre-specified levels of additional funding.



**Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU)** - A contractual arrangement between the University and a corporate sponsor that stipulates the terms and conditions under which specific work is performed; these terms and conditions include scope of work, period of performance, payments, patents, publications, advertising, use of experimental compounds or drugs, human subjects, indemnifications, and reports.

**Modified Total Direct Costs (MTDC)** - F&A costs on federally sponsored projects are generated against MTDCs, which are Total Direct Costs (TDCs) less equipment, internal patient care charges, scholarships, fellowships, and other student aid, and subgrants and subcontracts over \$25,000.

**Narrative Report (can also be called a Progress Report)** - A report submitted by a PI on the progress and/or status of a project supported by sponsored funds. Narrative reports are part of the conditions of many sponsored agreements and are also known as “technical” or “progress” reports. They may be requested for submission as an interim report, with continuation proposals, requests for supplemental funding, or at the termination of a sponsored project.

**New Award** - An award not previously awarded or a renewal or continuation award treated as a new award by the sponsor and given a new agency number.

**No-Cost Extension** - An extension of the period of performance beyond the expiration date to allow the PI additional time to finish a project. Usually, no additional funding is provided by the sponsor. May be handled internally via Federal Standards Research Terms & Conditions in certain circumstances or sought externally from the sponsor.

**Non-Compliance** - Failure to follow and meet regulatory requirements, often resulting in massive fees to the University and the individual researchers. Non-compliance is detrimental to the entire University research community and is highly undesirable.

**Nondisclosure Agreement (NDA)** - is an agreement between two or more parties which describes knowledge the parties would like to share with each other for a defined purpose and agree to not disclose information covered by the agreement. NDAs are also known as Proprietary Information Agreements (PIAs) or Confidential Disclosure Agreements (CDAs).

**Office of Sponsored Research and Programs (OSRP)** - Provide a range of pre-award services for externally funded projects including identification of potential funding sources, direction of the grant application process, support for adherence to a variety of compliance activities, and provision of training and support.

**Pass-Through Entity** - a non-federal entity that provides an award to a subrecipient to carry out specific effort or a statement of work on a sponsored project. The University is referred to as the "prime recipient" of the pass-through funds. The secondary recipients are referred to as a "sub-recipient".

**Peer Review** - A system using reviewers who are the professional equals of the PI responsible for directing or conducting the proposed project. It is a form of objective review. Peer review is legislatively mandated in some programs and in other programs is administratively required.

**Period of Performance** - In a sponsored award, the time period during which the proposed work will be completed and the funds awarded are available for expenditure by the recipient.

**Pre-Award** – The time period and associated processes that occur between conceptualizing and designing the study, applying for funding, and award notification.

**Pre-Proposal** - A brief description, usually 2-10 pages, of research plans and estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. Pre-proposals that are binding require institutional approval. Also termed Preliminary Proposal.

**Post-Award** - The time period and associated processes that occur between award notification and award close-out.

**Prime Sponsor** - The external funding source from which funding originated.

**Principal Investigator (PI)**- The individual responsible for leading the research effort described in a grant proposal for an award. The PI is responsible for the programmatic and administrative aspects of a project or program, ensuring all terms and conditions of a sponsored agreement are met.

**Prior Approval** - The requirement for written documentation of permission to use project funds for purposes not in the approved budget, or to change aspects of the program from those originally planned and approved. Prior approval must be obtained before the performance of the act that requires such approval under the terms of the agreement.

**Program Officer** - The sponsoring agency's representative who is responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. The program/project officer works with the PI and research team to assure programmatic progress. He/she does not officiate over financial matters, however, which is the role of a Grants/Contracts Officer.

**Progress Report** - Periodic, scheduled reports required by the sponsor summarizing research progress to date. Technical, fiscal, and invention reports may be required. Also refer to Narrative Report. All reports are to be routed to [OSRP](#) for review and authorization to submit.

**Project Period** - The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods.

**Program Income** - According to 2 CFR 200 ([Uniform Guidance](#)), program income is gross income earned by the University that is directly generated by a sponsored activity or earned as a result of an award during the period of performance. If a product or service is developed during the course of a sponsored project and the development of that product or service was funded by a sponsoring agency, then the net income received is considered program income.

**Proposal** - A formal application for funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal grant proposals are prepared by the PI and officially approved and submitted by [OSRP](#) on behalf of the University. Office proposal records at Campbell University are maintained within the [Office of Sponsored Research and Programs](#).

**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.

**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.



**Request for Application (RFA)** - An announcement of research priorities by a sponsor. The sponsor has set aside a certain amount of money to fund grants on a particular topic. The applicant describes the research to be undertaken and how he/she will accomplish the work within the framework outlined by the sponsor.

**Request for Proposal (RFP)** - Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought.

**Research** - The systematic inquiry or investigation into a subject to discover or revise facts, theories, or applications.

**Restricted Funds** - Funds awarded to the University from outside sources for restricted purposes.

**Scope of Work/Statement of Work** - The description of the work to be performed and completed on a research project.

**Senior Personnel** - Professional personnel who are responsible for the scientific or technical direction of project.

**Signature Authority** - The authorization delegated to a University official to enter into legal commitments on behalf of the University regarding sponsored research agreements for grants, contracts and cooperative agreements

**Sponsor** - The organization or entity that funds a research project.

**Sponsored Research/Sponsored Project** - Research activity supported by resources outside the University, including both federal and nonfederal sources.

**Statement of work** - A description in detail of the timeline, planned effort and deliverables associated with a project

**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.

**Sub-recipient** – Sub-recipients include sub-grantees, contractors, or collaborators responsible for carrying out the funded research under the terms of their subcontract or agreement. A subrecipient relationship exists when funding from a pass-through entity is provided to perform a portion of the scope of work or objectives of the pass-through entity's award agreement with the awarding agency.

**Supplemental Proposal** - A request to the sponsor for the additional funds for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs due to modifications in design or a desire to add a closely related component to the ongoing project.

**Supplemental Funding** - Increased costs, modifications in design, or a desire to add a closely related component to the ongoing project – all within the previously approved performance period - may result in a request for supplemental funds from the sponsor. A supplement may be subject to a different F&A cost rate than the parent award. If so, determine any specifications or restrictions are identified and if a new account must establish and assigned.

**Terms of Award** - All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation, 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 recipient's and sponsor's interests.

**Total Direct Costs** - The total of all allowable *direct* costs of a project.

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

**Unallowable Costs** - Unallowable costs are specific categories of costs that cannot be charged, directly or indirectly, to federally sponsored agreements in accordance with federal regulations

**Uniform Guidance** - Common term used when referring to 2 CFR 200 implemented by Federal agencies on 12/26/2014 to govern the expenditure of Federal awards. 2 CFR 200 replaces OMB Circulars A-21, A-110 and A-133 in addition to five other OMB circulars. Also referred to as the "Super Circular".

**Unrestricted Funds** - Moneys 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.

**Unsolicited Proposal** - A proposal submitted to a sponsor that is not in response to a Request for Proposal (RFP), Request for Application (RFA), or program announcement.

**Vendor** - An individual, business or other entity which supplies products or services to the University.

**Voluntary Cost Sharing** - Cost sharing that is not required by Federal statute or by established sponsor policy, which is in excess of stated requirements.

**Waiver** - Intentionally relinquishing or abandoning a known right, claim or privilege, such as waiving certain costs or F&A rates. For sponsored research purposes, waivers are strongly discouraged because they place the University in jeopardy of giving research dollars away unnecessarily, which can cause a shortage of funding for future projects.