

Research Administration Definitions:

Allowable Costs Those categories of costs that can be charged to a *grant* or *contract*, such as salaries, equipment and supplies. Allowable costs vary by *funding agency*.

Authorized Representative An official within an applicant organization with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the applicant as may be required by the funding agency. At SCSU, the authorized representative/signatory for grants and contracts is the Provost or Assistant V.P. for Research and Sponsored Programs depending on the amount requested. The Office of Sponsored Programs coordinates the final approval process. Authorized Representative is synonymous with *Authorized Signatory*.

Authorized Signatory At SCSU, the authorized representative/signatory for grants and contracts is the Provost or Assistant V.P. for Research and Sponsored Programs. Authorized Signatory is synonymous with *Authorized Representative*.

Award Funds that have been obligated by a *funding agency* for a particular project

Budget The detailed statement outlining estimated project costs to support activities of a *grant* or *contract*.

Budget Adjustment The act of amending the *budget* by moving funds from one category or line item to another. Must be allowed or approved by the funding agency.

Budget Narrative Explanation of the budget that includes the derivation of amounts (for example, a \$1,250 budget item derives from 100 people at five meetings each using a \$2.50 expendable item), the itemization of totals, the purpose of purchased supplies and services, and the justification of the size of salaries, fringe benefits, and indirect costs.

Budget Period The interval of time—generally twelve months--into which the project is divided for budgetary and funding purposes.

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

Competing Proposals Proposals that are submitted for the first time or unfunded proposals that are resubmitted; either must compete for research funds.

Contract The official mechanism for procurement of a product or service with specific obligations for both sponsor and recipient. Typically, a research topic and the methods for conducting the research are specified in detail by the sponsor, although some sponsors award contracts in response to unsolicited proposals.

Cost-Sharing A general term, used as a noun or adjective, that can describe virtually any type of arrangement in which more than one party supports research, equipment acquisition, demonstration projects, programs, institutions. Example: A university receives a *grant* for a project estimated to have a total cost of \$100,000. The sponsor agrees to pay 75% (\$75,000) and the university agrees to pay 25% (\$25,000). The \$25,000 is the cost-sharing component.

Direct Costs Clearly identifiable costs related to a specific project. General categories of direct costs include but are not limited to salaries and wages, fringe benefits, supplies, contractual services, travel and communication, equipment, and computer use.

Encumbrance Funds that have been set aside or "claimed" for projected expenses pending actual expenditure of the funds. At SCSU, funds must be encumbered before they can be spent. For example, encumbrances occur when purchase orders are generated.

Expiration Date The date signifying the end of the performance period, as indicated on the Notice of Grant Award or within a *contract*.

Extension An additional period of time given by the *funding agency* 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.

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*.

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

Fringe Benefits Employee benefits paid by the employer. (e.g., FICA, Worker's Compensation, Withholding Tax, Insurance, etc.)

Funding Agency The organization that funds a research project.

Funding Cycle Range of time during which *proposals* are accepted, reviewed, and funds are awarded.

IACUC Institutional Animal Care and Use Committee oversees research involving animals.

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

Indirect Costs Costs related to expenses incurred in conducting or supporting research or other externally-funded activities but not directly attributable to a specific project. Examples of costs which fall into these categories are costs for utilities, maintenance, space, equipment use, accounting, purchasing, personnel services, research administration, and library services. Indirect costs are synonymous with *Facilities and Administrative (F&A) Costs*.

Indirect Cost Rate A rate, expressed as a percentage, established by negotiation with the cognizant federal agency on the basis of the institution's projected costs for the year. The rate is used in computing the dollar amount charged to the grant/contract to reimburse the institution for *indirect costs* incurred in doing the work of the project. At SCSU, a federal rate is applied to modified total direct costs (MTDC) base and a non-federal rate is applied on all total direct costs.

Indirect Cost Return Indirects collected by the University are distributed throughout the institution to cover general expenses attributable to a specific project. At SCSU, indirect funds collected will be distributed 50% to the University's General Fund, 25% to the Office of Sponsored Programs, 10% to the College, 5% to the Unit, 10% to the *Principal Investigator (PI)*.

IRB Institutional Review Board oversees research involving human subjects.

Key Personnel The personnel considered to be of primary importance to the successful conduct of a research project. The term usually applies to the senior members of the project staff.

Matching Funds *Grants* or *contracts* may require a specified portion of the cost of the project be obtained from the institution or other sources. The required matching funds may be more or less than the amount of the *grant/contract*. Monies serving as matching funds must be accounted for and reported to the *funding agency*.

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. They are standard practice in some government agencies.

Modified Total Direct Costs (MTDC) At SCSU, the basic indirect costs are calculated on a subset of direct costs, normally excluding among other costs, equipment, space rental, alterations and renovations, and subcontract costs in excess of the first \$25,000.

No Cost Extension An extension of the period of performance beyond the expiration date to allow the *principle investigator* to finish a project. Usually, no additional costs are provided.

Notice of Grant Award The legally binding document that serves as a notification to the recipient and others that a *grant* or *contract* has been made; contains or references all *terms of the award*; and documents the obligation of funds.

OMB Circulars Regulatory circulars issued by the Office of Management & Budget (OMB).

Principal Investigator (PI) The individual responsible for the conduct of research or other activity described in a proposal for an *award*.

Program Announcement Describes existence of a research opportunity. It may describe new or expanded interest in a particular extramural program or be a reminder of a continuing interest in an extramural program.

Program Officer (also known as Grant/Contract Officer) A funding agency's designated individual who is officially responsible for the business management aspects of a particular grant or contract. The Program Officer serves as the main contact and 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.

Proposal An application for external funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal proposals are officially approved and submitted by an organization in the name of a *principal investigator*.

Request for Proposal (RFP) Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. *Proposals* submitted in response to RFPs generally result in the *award* of a *grant* or *contract*. Notices of federal RFPs are published in the State Register.

Salaries and Wages Payments made to employees of the institution for work performed.

Scope 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.

Subcontract, Subgrant, or Subagreement A document written under the authority of, and consistent with the *terms and conditions of an award*, that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

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

Terms of Award All legal requirements imposed on an agreement by the *funding agency*, 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.

Transmittal Form An internal routing form to inform all pertinent parties of a *proposal* submission. At SCSU, the form can be found on the Office of Sponsored Programs website and is required for all projects to ensure that the *principal investigator* can do the work described once an *award* is made.

Total Direct Costs (TDC) The total of all *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.