

University of Arkansas for Medical Sciences

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

PROPOSAL GUIDE

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FOREWORD

This handbook is intended to help research faculty, departmental administrators and students understand the administrative, legal, and regulatory aspects of research and sponsored programs.

This handbook is not a rules and regulations book. The rules and regulations used in this handbook are established federal, state and university rules. When possible, we will try to provide an updated link to the appropriate policy, rule or law.

ORSP's most important responsibility is the protection of the university's research program. ORSP communicates the laws, regulations, rules and policies designed to protect the university, the investigator and the funding agency. This handbook communicates some of the rules, but the fast paced research culture dictates that rules and regulations are communicated primarily during the proposal review process and awarding process.

ORSP serves the faculty while protecting the university's interest. ORSP Services in a nutshell are: (1) expedite proposal review, (2) help find funding sources, (3) assist with proposal budget preparation, (4) assist with grant and contract negotiation, (5) prepare subcontracts for your collaborators, (6) act as the university liaison to funding agencies for no-cost extensions, budget revisions and requests for additional funds.

ORSP wants research investigators (PIs) and sponsored program directors (PDs) to concentrate on the project or study and not have to worry about the administrative burdens. ORSP knows which administrative switches to flip and worries over those for PIs and PDs.

Please contact us at www.uams.edu/ora

FUNCTIONS OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

The Office of Research and Sponsored Programs (ORSP), formerly the Office of Research Administration (ORA), was established within the Division of Academic Affairs in 1984 to support the research efforts and sponsored program efforts of the university. The name changed from ORA to ORSP in September 2001 to address confusion among groups who were not purely engaged in research projects, but engaged in other equally important university activities that required extramural funding such as demonstration projects, outreach programs, public service programs, training programs and fellowship programs. ORSP offers the same services to non-research sponsored program activities as it does to purely research activities. (See definition of Sponsored Program on page 12).

ORSP is solely responsible for processing applications for extramural funding and providing information and advice about the proposal process for Sponsored Programs. ORSP staff are trained to be facilitators with the goal of making the proposal submission process operate smoothly with high regard for the rules and regulations that govern the process.

ORSP's services are as follows:

Sponsored Programs Administration

- a) Serves as the central information and clearance office for research and sponsored program matters and the administration of those programs;
- b) Assists with budget calculations in a grant proposal;
- c) Informs principal investigators/project directors when an agency grants an award;
- d) Interprets regulations applicable to research and sponsored programs;
- e) Obtains legal opinions or approvals when needed;
- f) Acts as the authorized institutional signatory on grants and awards;
- g) Publishes and maintains the ORSP Guide on the web;
- h) Publishes and maintains research and sponsored program statistical and file data;
- i) Maintains the university's official proposal and award records;

- j) Publishes a web based newsletter *Research Notes Online* with information of extramural funding interests;
- k) Assists with the university's annual report of research.

Sponsored Program Funding Sources

- a) Identifies sources of potential funding for investigators;
- b) Contacts potential sponsors for program information;
- c) Publishes funding information in *Research Notes Online*;

Proposal Development

- a) Reviews proposals at any stage of preparation and offers constructive criticism if so desired;
- b) Conducts research and sponsored programs workshops as desired by faculty and staff;
- c) Is the university's authorized institutional signatory for grant applications.

Faculty Research Interests

- a) Maintains a comprehensive faculty profile with associated research interests.
- b) Keeps track of faculty certifications regarding use of human subjects and animal use approvals. Research Sponsor Interface
- A) *MAKES INQUIRIES FOR THE INVESTIGATORS TO THE FUNDING AGENCY CONCERNING FUNDING STATUS AND OTHER MATTERS;*
- B) *IF ASKED, ORSP WILL INTERFACE WITH AGENCIES ON BEHALF OF THE INVESTIGATOR;*
- c) Negotiates terms of externally sponsored awards on behalf of the university in close coordination with the principal investigator/program director.

Contract Negotiations

- a) Provides interpretation of all categories and types of sponsored award agreements;

- b) Develops and produces grants, contracts, subcontracts, memoranda of agreement, and any other type of agreement that pertain to sponsored programs;
- c) Obtains legal interpretation, advice and approval of all contracts related to research.

Clinical Trials, Material Transfer Agreements, Confidentiality Agreements

- a) Negotiates all agreements related to clinical trials on campus;
- b) Collects IRB fee for industry sponsored projects involving human subjects;
- c) Works with legal affairs to obtain approval;
- d) Maintains clinical trial database.

ORSP, IRB and OTHER REGULATORY COMMITTEES

ORSP does not oversee the IRB. The IRB is an entirely separate office. The IRB had a brief history in the former ORA, but UAMS administration removed the IRB because of potential conflict of interest concerns. ORSP does not oversee any of the other regulatory committees on campus for the same reasons. ORSP does, however, coordinate very carefully with these committees for the sake of maintaining compliance.

GRANTS AND CONTRACTS PROPOSAL AND AWARD PROCEDURES

A grant or contract proposal is a formal request from the university to the funding agency for a specific project. Any award resulting from a proposal is made to the university, which is the grantee or the contractor. Awards resulting from proposals from the university are not usually made to individuals.

Important: Most proposals, including the scientific narrative, become a legally binding part of the award agreement and it is therefore very important that ORSP receives the most complete copy of your application or proposal to review.

ORSP is the university unit responsible for the review and submission of all grant and contract proposals. When you are ready to write a grant, please keep the following guidelines in mind:

- 1) Discuss the program idea with your department chair and the college dean, or the dean's designated representative;
- 2) Discuss the idea with personnel in ORSP;
- 3) If the proposal is unsolicited, consider preparing a prospectus according to the funding agency's guidelines and suggestions;
- 4) If a proposal is the result of a funding agency solicitation, completely follow the sponsor's guidelines.
- 5) The most commonly used proposal/application-associated forms and guidelines are available in ORSP or on the agency web page. ORSP will order forms for you if ORSP does not have them in stock.
- 6) Submit a draft of your budget to ORSP as soon as possible. Review of the budget will allow quicker review of the final proposal because ORSP staff can find potential problems or changes and address those before you send out the proposal. **INDIRECT COSTS MUST BE INCLUDED AT THE CURRENT DHHS NEGOTIATED RATE. CONTACT ORSP FOR**

THE CURRENT RATE OR GO TO <http://www.uams.edu/ora/> If the target agency does not pay indirect costs, provide written documentation.

- 7) Submit the most complete form of your proposal to ORSP along with the Proposal Submission Form located at <http://www.uams.edu/ora/grants.htm>
- 8) Sign the Proposal Submission Form and route it to the appropriate officials for signatures; CHAIR, DEAN OF COLLEGE, ORSP. For those at the division level; DIVISION HEAD, ORSP.
- 9) If asked, ORSP will prepare a cover letter to the funding agency expressing university support.
- 10) After submission, any and all correspondence to the agency to change proposal terms or changes in any of the forms, must be routed through ORSP for approval since these documents imply contractual obligations.
- 11) ORSP retains a copy of the proposal, and this copy is considered the official proposal of record.

WHAT ORSP NEEDS TO PROCESS A GRANT OR CONTRACT PROPOSAL

- 1) Proposal Review Form – signed by all parties listed.
<http://www.uams.edu/ora/grants.htm>
- 2) Best Full Draft of Proposal with budget and all forms.
- 3) Regulatory approval letters if applicable (Humans, animals, rDNA, etc.).
- 4) Guidelines used to prepare application.
- 5) Written documentation concerning the funding agency's policy on indirect costs.

PRE-PROPOSALS, WHITE PAPERS, LETTERS OF INTENT

ORSP must review pre-proposals, white papers and letters of intent to ensure claims are accurately made with respect to university policy. ORSP needs to see the budget, with indirect costs, and any documentation that will be sent to an external entity. If you submit a pre-proposal without first consulting ORSP, you do so at your own risk. **A proposal review form may be required, so please contact us before you send in the pre-proposal.**

AWARD PROCESSING

ORSP follows similar guidelines issued by NIH to streamline the process. ORSP will need the following items, if applicable, to finally release the award:

- 1) Current IRB approval letter;
- 2) Current IACUC approval letter;
- 3) Current Biosafety approval letter;
- 4) Current Radiation Safety Certification;
- 5) Current Conflict of Interest form;
- 6) Revised budget if the award is different from the request.

Keep in mind, if the award is in the form of a contract, we may have to negotiate some of the terms and conditions before finalizing the award. ORSP will communicate with you if there are terms and conditions that need to be adjusted.

Accounting: ORSP sends the Award Release to Grants Accounting – the department that actually sets up the account on SAP.

ESTABLISHING CONTRACTS WITH OTHER UNIVERSITIES AND COMPANIES

When engaging other institutions in research using grant funds, ORSP requires the PI to approve:

- (1) Scope of Work
- (2) Budget

Then ORSP will write the contracts and get them approved.

ORSP usually gets the budget and scope information from the PI or a member of the PI's team because ORSP does not have control over re-budgeting or the final budget that goes to Grants Accounting. The PI and her staff typically know more about the actual budget the ORSP does because ORSP is just a pre-award office.

Also, the reason the PI approves the budget is because the actual award notice amount does not always match the amount requested and sometimes the PI re-budgets funds not knowing that they need to leave funds available for subcontracts or even other expenses.

It has happened before where a PI re-budgeted funds from the subcontract line item and at the end of the year there was not enough money to pay the subcontract. Everything had to be modified at the last minute.

The PI must review and approve the scope of work because the PI knows more about what will be done in the project than ORSP does. We know what's in the grant, but Scopes of Work change as the PI see fit to meet specific aims. ORSP has no control over the science or the conduct of the work. Therefore, the PI must approve the scope (if it didn't change from the previous year and sometimes it does) and most definitely the budget for the reasons stated previously.

Basically, ORSP is a contracting agent for the PI. ORSP writes the contracts and negotiates them for the PI based on information the PI provides and nothing else.

INDIRECT COSTS – HOW TO CALCULATE

Elements of an Indirect Costs Calculation:

Indirect Costs or F&A	-	IDC or F&A
Total Direct Costs	-	TDC
Modified Total Direct Costs	-	MTDC
Total Costs	-	TC

First, you need to compute MTDC:

$$MTDC = TDC - \left[\begin{array}{l} \text{EQUIPMENT + CAPITAL EXPENSES + PATIENT CARE COSTS +} \\ \text{TUITION + RENTAL COSTS + SCHOLARSHIPS + FELLOWSHIPS} \\ \text{+ SUBAWARD AMOUNT OVER \$25K*} \end{array} \right]$$

IDC = MTDC X IDC RATE (Call ORSP for current rates or check the website)

TC = IDC + TDC (not MTDC)

****Note about subawards:***

UAMS can only claim indirect costs on \$25,000 of a subaward for the life of the competing segment of the grant. The three following cases are the appropriate way to handle IDC calculations.

Case One: Grant application with a \$30,000 subaward for all 5 years. In the above formula for the first year, write \$5,000 for the amount of subaward over \$25K. In years 2-5, take out the entire \$30,000 in the MTDC calculation because you already used up the \$25k in the first year.

Case Two: Grant application with a \$15,000 subaward for all five years. In the above formula, write 0 for the amount of subaward over \$25K because you haven't reached \$25K level yet. You will reach and go over \$25K in the second year. In the second year, then, you will write \$5,000 in the subaward amount over \$25K in the above formula because you made it to \$25K and went over by \$5,000 in the second year. In year's 3-5, take out the entire \$15,000 from the MTDC calculation because you used up the \$25K in the second year.

Case Three: Grant application with a \$5,000 subaward in the first year, \$10,000 in the second year, \$5,000 in the third year, \$5,000 in the fourth year, and \$10,000 in the fifth year because of a varying scope of work. You will enter 0 in the above MTDC formula for the **four years**. In the fifth and final year you will enter \$10,000 in the formula for MTDC.

UAMS AS SUBAWARDEE

Sometimes investigators at other universities want to use a UAMS faculty on a grant proposal. In other words, UAMS will be the subawardee and not the prime applicant. Most often, UAMS is contacted because our faculty have expertise in a particular area of research or research analysis that will strengthen the other institution's overall proposal.

When you are approached by a colleague working for another university to collaborate, ORSP treats your information just like a prime proposal. You are the PI as far as ORSP is concerned for the purposes of the UAMS campus, even if you are a Co-I on the other institution's grant. ORSP still needs the following things when you submit paperwork to another university to be included in a grant proposal as a subcontractor:

What ORSP needs for UAMS to be a subaward:

- 1) Internal routing form – bluesheet – you as PI.
- 2) Complete budget with indirect costs if applicable.
- 3) Scope of work – what you're going to do for the grant
- 4) Letter of intent to enter subcontract.
- 5) Contacts at the other university.

If it is an NIH grant. . .

Some institutions will require an **NIH face page** and an **NIH checklist** when they engage UAMS on a grant application as a subawardee. Most of the time it is a good idea to go ahead and complete these forms if your colleague is writing an NIH grant –especially the **NIH checklist** because it contains all the information needed for NIH and the other university to understand our indirect cost calculations. The **NIH face page** is a good idea because it contains important addresses and institutional information that comes in handy for some NIH reviewers. We highly recommend completing these forms when someone wants you to be a subcontractor on their NIH grant. So, in addition to the five items above, ORSP would like to see these two pages as well.

ELEMENTS OF A SPONSORED PROGRAM

ORSP processes Sponsored Programs applications which include research grants and contracts. The following elements make up a Sponsored Program.

- 1) The sponsor is a federal, state, or local government agency, a quasi-governmental agency, or a non-profit organization which receives a majority of its funding from a federal, state, or local general revenues;
- 2) The sponsoring organization is a foundation, corporation, or non-profit organization and refers to the award as a grant to be used for purposes other than endowment, professorships, fellowships, scholarships, building construction/renovation, and equipment;
- 3) The sponsoring agency/organization refers to the award as a contract, cooperative agreement, consortium agreement, subgrant, subcontract, or purchase order;
- 4) The funds are awarded by the agency, organization, or individual following a competitive application or bid process;
- 5) The funds are awarded as matching funds for a project funded by a governmental agency, a quasi-governmental agency, or a non-profit organization which receives a majority of its funding from federal, state, or local general revenues;
- 6) The sponsoring agency/organization specifies that the funds are to be used for research, a model project, program development and/or operation, curriculum development, training, community service, planning, or some other specific activity and identifies a specific scope of work;
- 7) The funds are provided by the sponsoring agency/organization to cover the cost of performance of a specified scope of work or set of activities or to provide a specific product, service, or other deliverable or outcome within a specified period of time;
- 8) The sponsoring agency/organization identifies a technical monitor for the purpose of monitoring performance and providing liaison between the sponsor and the University;
- 9) The sponsoring agency/organization imposes publication restrictions and/or requires conveyance of rights to tangible property (equipment, records, technical reports, theses, or dissertations) or intangible property (rights in data, copyrights, or inventions) resulting from the funded project;
- 10) The project or activity funded by the sponsoring agency/organization involves the use of humans or animals in research, radiation hazards, biohazards, or recombinant DNA;
- 11) The sponsoring agency/organization indicates that the funds are for support of the work of a particular faculty member or administrator when that faculty member or administrator or an immediate family member or business partner of that faculty member or administrator has a financial interest in the sponsoring agency/organization;

- 12) The sponsoring agency/organization will have access to and authorization to utilize University of Arkansas for Medical Sciences facilities and/or other University resources;
- 13) The sponsoring agency/organization specifies how funds will be used or includes a line item budget that identifies expenses by activity, function, or project period;
- 14) Conduct of the funded activity requires regular payment of University of Arkansas for Medical Sciences employees for a specific scope of work or set of activities through a payroll system;
- 15) The sponsoring agency/organization pays full indirect costs based on the University's federally negotiated indirect cost rate;
- 16) The sponsoring agency/organization requires detailed line-item financial reports and/or invoices which document expenditures for the specific scope of work or set of activities performed;
- 17) Funds are collected from the sponsoring agency/organization on a cost reimbursement basis contingent upon programmatic and fiscal reporting unless they are challenge gift funds which are drawn down periodically as matching funds are obtained;
- 18) The sponsoring agency/organization requires the return of unexpended funds at the conclusion of the funded project;
- 19) The sponsoring agency/organization specifies audit requirements as a condition of award; and/or
- 20) The sponsoring agency/organization stipulates other terms and conditions of award dealing with such topics as compliance with federal or state regulations, allowable and unallowable costs, subcontracting, insurance, warranties, indemnification or hold harmless requirements, protection of proprietary or confidential information, modifications, penalties, remedies, termination, applicable governing law, and assignment.

ELEMENTS OF A GIFT

ORSP does not process gifts. Gifts are handled by the UAMS Foundation and Institutional Advancement. This information is provided for you to distinguish between the two types of funding.

- 1) The contributing organization/individual donor refers to the funds as a gift, bequest, donation, or contribution to the University of Arkansas for Medical Sciences Foundation or Division of Institutional Advancement;
- 2) The funds are contributed for an unrestricted purpose or for supporting such activities as endowments (eminent scholars, endowed chairs, professorships, etc.), capital projects (construction or renovation, equipment, etc.), or general student financial assistance (fellowships and scholarships);
- 3) The contributing organization/individual imposes no contractual requirements, written or oral;

- 4) Reporting to the contributing organization/individual is required only in the form of a general statement of how funds were used; and
- 5) Funds are awarded irrevocably.

SUGGESTIONS FOR PREPARING, WRITING AND SUBMITTING A PROPOSAL

Administrators are probably guilty of assuming that every principal investigator or project director is a master proposal writer, so ORSP offices do not usually get involved with the fine points of proposal writing. We found, however, that some suggestions we offer when asked are sometimes very useful. The following are exactly that, suggestions gathered from both experienced researchers and even administrators. These suggestions are included for general help and maybe even starting points for some.

Too many proposals, it seems, are rejected because reviewers misunderstand the writer's intent. Well prepared proposal writers usually develop proposals that are easy to understand by both lay and scientific readers, minimizing some misunderstandings. The best advice from NIH is, "assume the reviewer (audience) does not know anything about your field."

We are not suggesting "dumbed down" proposals, rather we are suggesting attention to clarity of prose. NIH reviewers typically spend many tired hours of the morning in a cramped hotel room, plane, or borrowed office, magnifying glass in hand, trying to read poorly written proposals with tiny typeface. By all means, use the typeface suggested by the agency, use the agency's forms, and be clear. Define all acronyms and esoteric language since you and only a few others in your field really understand what these words mean and in which context to use them.

GENERAL

- a) First, identify your potential funding source. Complete the background research relative to your target agency or foundation, and address the following:
 - Is the agency a viable award-funding entity? Do they have a grant program?
 - Does the agency support the type of work you are proposing?
 - What is the agency's philosophy? Is your work geared toward this philosophy?
 - Will the agency accept proposals from your state or geographical area?

- Will the agency accept proposals from institutions of higher education?
 - Does the agency have specific guidelines and forms? If yes, obtain a copy.
 - What is the deadline?
 - What is your start date and is it compatible with the agency funding goals?
 - Find out what the agency is looking for from web sites and other literature.
 - Speak to someone who has sent a proposal to this agency.
 - Contact project personnel who represent the funding source.
- b) **START EARLY:** It usually takes longer than you think. Experienced reviewers can usually tell if a proposal was slapped together at the last minute.
- c) **GET EXPERIENCED OPINIONS:** Speak to experienced colleagues. Ask them to review your drafts. Seek out experienced comments.
- d) **PLAN:** Thoroughly plan all aspects of your project. Strong, well constructed concepts will usually result in funding.
- e) **FOCUS:** Focus your project or concept. Applications that are vague are usually rejected and applications that are too broad are usually considered “overly ambitious” because the project can’t possibly be done in the time frame suggested and the dollar amount requested.
- f) **GET SUPPORT:** Make sure you have institutional support. Start with your department chair or director. Clearly explain your intentions, discuss procedures, problems, and ramifications of your proposed effort. Run the ideas by colleagues. Collaborate with a close colleague in your department or at another institution. Collaborative proposals are appealing to funding agencies because of the support base.
- g) **LITERATURE SEARCH:** You need to do a thorough literature search so you can make sure that your idea is completely original. Well planned, original thinking proposals usually get good scores. Originality is key.
- h) **CONTACT AGENCY OFFICIALS:** Don’t even think about submitting a proposal without talking to the program officials at the target agency. You know how it works –putting a face with a name and a warm handshake

brings down some barriers. Good politics helps you get funded. Program officials can give you tips about how to make the project fly with review groups.

- i) WHITE PAPERS, LETTERS OF INTENT:** Use wisely with some philanthropic organizations. Summarize your intended research and budget. Hook them with how your research benefits the agency's goals and funding priorities. This can save you some time because some of these agencies will make a decision about fundability based on your letter. Most of the time, good letters of intent prompt full proposal invitations from these agencies.

A WORD ABOUT PLANNING

- a) Prepare a list of your ideas. Sort them with the best at the top of the list.
- b) Be innovative and creative, plan to use the best qualified individuals, and assure yourself that your institution has the capacity to support your proposal.
- c) Identify funding sources (ASK ORSP)
- d) Request, obtain and read all program guidelines for the type of funded research that may provide support for your proposal.

BASIC PROJECT DESIGN SUGGESTIONS

- a) Identify and define the problem carefully.
- b) Carefully identify needs in terms of those who will be served by the research; not in terms of those individuals or institutions doing the research or the serving.
- c) Establish project activities that have a direct relation to the statement of the problem and the statement of the needs.
- d) Plan the details of the project and plan the project in detail.

PROPOSAL STYLE AND WRITING POINTS

- a) Be honest and straightforward.
- b) Demand clarity, correctness and completeness of prose.

- c) Cut the flab.
- d) Clarify esoteric language.
- e) Be brief with private foundations. Conform to length guidelines with government agencies.
- f) Tailor proposal to target organization's funding priorities.
- g) Write for the reader, not yourself.
- h) Don't monkey with type size and margins so you can fit more into the page limits. Most reviewers come from the angle that if you can't describe the project concisely within page limitations, you probably don't need to be doing the project.
- i) Don't waste time with writer's block. Just write the first draft straight through. Don't edit as you write. Don't let your internal editor slow you down. You can deal with style later. Just get the ideas on paper now and come back later. **WRITING IS REWRITING !**
- j) Get an experienced colleague's opinion, always.
- k) Use short sentences with simple words, but don't insult the reader. Again, just clarify that esoteric language.
- l) Use firm, active, positive words.
- m) If you don't have a bunch of rejection slips, you aren't sending in enough grant proposals. You will likely get rejected a number of times before getting the first proposal funded.
- n) Persist, persist, persist. Don't let the rejection slips manipulate you into thinking that you aren't good enough. That's silly. Send in more grants. Assault the funding agencies with your proposals until you win the game.

GLOSSARY

A

A-21 "[Cost Principles for Educational Institutions](#)," a circular published by the federal [Office of Management and Budget \(OMB\)](#) that establishes the principles for determining the costs applicable to [grants](#), [contracts](#), and other government agreements with educational institutions (also known as Sponsored Projects).

AAALAC [American Association for the Accreditation of Lab Animal Care](#)

AHA [American Heart Association](#)

AID [Agency for International Development](#)

AFOSR [Air Force Office of Scientific Research](#) (DOD)

Allocable Costs Those allowable costs that actually benefit the [grant](#) or [contract](#) to which they are being charged.

Allowable Costs Those categories of costs that can be charged to a grant, such as salaries and equipment. Certain types of costs, such as the cost of alcoholic beverages are not allowable and may not be charged to a [contract](#) or [grant](#).

AMA [American Medical Association](#)

ARPA [Advanced Research Projects Agency](#) (DOD)

ASPR Armed Services Procurement Regulations

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

AUTM [Association of University Technology Managers](#)

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

B

Bequests A type of [donation](#) or [gift](#). Bequests and gifts 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. Frequently, gifts are used to support developing programs for which other funding is not available. The unique flexibility, or lack of restrictions, makes gifts attractive sources of support.

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.

Budget The detailed statement outlining estimated project costs to support work under a [grant](#) or [contract](#).(See also [rebudget](#).)

Budget Period The interval of time--usually twelve months--into which the [project period](#) is divided for budgetary and funding purposes.

Budget Adjustment The act of amending the [budget](#) by moving funds from one category or line item to another.

C

CAS [Cost Accounting Standards](#)

CBD [Commerce Business Daily](#)

CDC [Centers for Disease Control and Prevention](#)

CFDA [Catalog of Federal Domestic Assistance](#)

CFR [Code of Federal Regulations](#)

Challenge Grant A [grant](#) that provides monies in response to monies from other sources, usually according to a formula. A challenge grant may, for example, offer two dollars for every one that is obtained from a fund drive. The grant usually has a fixed upper limit, and may have a challenge minimum below which no grant will be made. This form of grant is fairly common in the arts, humanities, and some other fields, but is less common in the sciences. A challenge grant differs from a [matching grant](#) in at least one important respect: The amount of money that the recipient organization realizes from a challenge grant may vary widely, depending upon how successful that organization is in meeting the challenge. Matching grants usually award a clearly defined amount and require that a specified sum be obtained before any award is made.

Change Order A written order signed by the [contracting officer](#), directing the contractor to make changes that the changes clause of the contract authorizes the contracting officer to order without the consent of the contractor.

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

COGR [Council on Governmental Relations](#)

COLA Cost of Living Allowance granted to employees based in a foreign city, where cost of living is higher than in Washington, D.C.

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.

Consortium Agreement Group of collaborative investigators/institutions; arrangement can be formalized with specified terms and conditions.

Continuation Project (Non-Competing) Applicable to [grants](#) and [cooperative agreements](#) only. A project 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 assessed. If satisfactory, an 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](#) beyond the initial project approval.

Contract A 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.

Contract/Grant 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. (For definition of scientific officer, see [Program/Project Officer](#).)

Cooperative Agreement An [award](#) similar to a grant, 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.

COS [Community of Science](#) A web server containing information about scientific expertise, funded scientific research, and funding opportunities for research.

Cost Accounting Standards (CAS) Federally mandated accounting standards intended to ensure uniformity in budgeting and spending funds.

Cost-Reimbursement Type Contract/Grant A [contract/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 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.

CRADA or CRDA Cooperative Research and Development Agreement

CSR [Center for Scientific Review](#) ([National Institutes of Health](#))

D

DAR [Defense Acquisition Regulations](#)

DCAA Defense Contract Audit Agency

DED [Department of Education](#)

Defense Acquisition Regulations (DAR) The source regulations for research projects sponsored by the [Department of Defense](#).

Deficit Expenditures exceed funds available.

DFARS Defense Federal Acquisition Regulation Supplement

DHHS [Department of Health and Human Services](#)

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.

DOD [Department of Defense](#) (includes Air Force, Army, ARPA, and Navy)

DOE [Department of Energy](#)

DOI [Department of Interior](#)

DOT [Department of Transportation](#)

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](#))

E

EDISON [Interagency Extramural Invention Information Management System](#)

Electronic Research Administration (ERA) Conducting research administration by utilizing electronic resources such as the internet, the world wide web, form [templates](#), databases, and other electronic tools. (For more information, link to [NCURA](#) or [ERA Task Force](#))

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 faculty/research positions (e.g., endowed chair).

EPA [Environmental Protection Agency](#)

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.

Extramural Fund Management (EFM) The [campus office](#) responsible for financial oversight of extramural funds, for receiving actual [contract](#) and [grant](#) monies, for submitting invoices, and for submitting official financial reports. (UCLA)

F

FAA [Federal Aviation Administration](#)

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 insitutional activity. F&A costs are synonymous with [Indirect Costs](#).

FAR [Federal Acquisition Regulations](#)

FDA [Food and Drug Administration](#)

FDP [Federal Demonstration Partnership](#)

FEDIX A [free on-line information retrieval service](#) serving most federal agencies for on-line searches.

FIC [Fogarty International Center](#) (NIH)

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 (at UCLA, July 1 through June 30).

Fixed-Price (FP) Contract/Grant 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.

FOIA [Freedom of Information Act](#)

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

Funding Cycle Range of time during which [proposals](#) are accepted, reviewed, and funds are awarded. If a [sponsor](#) has standing 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 proposals are received too late to be considered in the current funding cycle, they may be held over for the next review meeting (i.e., [National Science Foundation's Target Dates](#)).

G

GENIUS [Global Expertise Network for Industry, Universities and Scholars](#)

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. Frequently, gifts are used to support developing programs for which other funding is not available. The unique flexibility, or lack of restrictions, makes gifts attractive sources of support. (Also see [Donation](#).)

Goldenrod An internal routing form for institutional approval for submitting proposals. (UCLA)

GPG [Grant Proposal Guide](#) for the [National Science Foundation](#).

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 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.

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 (For definition of scientific officer, see [Program/Project Officer](#).).

GSA [General Services Administration](#)

H

HRAC [Human Research Advisory Committee](#)

I

IDC [Indirect Costs](#)

IACUC Institutional Animal Care and Use Committee.

IBC Institutional Biosafety Committee

IFB [Invitation for Bid](#)

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.

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

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. General categories of indirect costs include general administration (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. (See also [Facilities and Administrative Costs](#).)

Indirect Cost Rate The rate, expressed as a percentage of a base amount (MTDC), established by negotiation with the cognizant federal agency on the basis of the institution's projected costs for the year and distributed as prescribed in [OMB Circular A-21](#). At UAMS, indirect costs are applied to a [modified total direct cost \(MTDC\)](#) base. The indirect cost rate is charged on a set of direct costs known as an indirect cost base.

Interim Funding Authorization to expend funds on a project to a specified limit before the award document has been received from the [sponsor](#).

Invitation for Bid (IFB) A solicitation issued to prospective bidders. An IFB describes what is required and how the bidders will be evaluated. [Award](#) is based on the lowest bid. Negotiations are not conducted.

Investigator-Initiated Proposal A [proposal](#) submitted to a [sponsor](#) that is not in response to an [RFP](#), [RFA](#), or a specific [program announcement](#).

IRB Institutional Review Board (for human subjects research at UCLA, this is the same as [HSPC](#))

IRIS [Illinois Researcher Information Service](#) An on-line search system available by subscription for research opportunities developed by the University of Illinois.

ISRC [Independent Substantive Review Committee](#)

J

K

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.

L

Limitation of Cost (LOC) A mandatory clause for [cost-reimbursement type contracts](#). Under the clause, the [sponsor](#) is not obligated to reimburse the contractor for costs in excess of the stated amount. The contractor, however, is not obligated to continue performance once expenses reach the stated amount.

M

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. (Also see [Challenge Grant](#).) Matching grants are very common in the sciences, especially for equipment. They are standard practice in some government agencies.

Misconduct in Science Fabrication, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Mission A [sponsor](#)'s stated purpose, which is designed to address a specified set of problems. Almost all federal research agencies are designated as mission agencies.

Modification An [award](#) document that modifies any aspect of an existing award other than those named above. Example: Carryover approvals, adding or deleting special terms and conditions, changes in funding levels (including [NSF's Research Experience for Undergraduates](#), NIH's Minority Supplement, DOD's ASSERT Programs), administrative changes initiated by the agency, extensions that include changes in terms, change of [principal investigator](#), etc.

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

N

NACUBO [National Association of College and University Business Officers](#)

NAS [National Academy of Sciences](#)

NASA [National Aeronautics and Space Administration](#)

NCI [National Cancer Institute](#) (NIH)

NCRR [National Center for Research Resources](#) (NIH)

NCURA [National Council of University Research Administrators](#)

NEA [National Endowment for the Arts](#)

NEH [National Endowment for the Humanities](#)

NEI [National Eye Institute](#) (NIH)

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.

New and Competing Proposals [Proposals](#) that are submitted for the first time or ongoing projects that must recompile for funding prior to expiration of the original award.

NHLBI [National Heart, Lung, and Blood Institute](#) (NIH)

NIA [National Institute on Aging](#) (NIH)

NIAAA [National Institute on Alcohol Abuse and Alcoholism](#) (NIH)

NIAID [National Institute of Allergy and Infectious Diseases](#) (NIH)

NIAMS [National Institute of Arthritis and Musculoskeletal and Skin Diseases](#) (NIH)

NICHD [National Institute of Child Health and Human Development](#) (NIH)

NIDA [National Institute on Drug Abuse](#) (NIH)

NIDCD [National Institute on Deafness and other Communication Disorders](#) (NIH)

NIDDK [National Institute of Diabetes and Digestive and Kidney Diseases](#) (NIH)

NIDR [National Institute of Dental Research](#) (NIH)
NIEHS [National Institute of Environmental Health Sciences](#) (NIH)
NIGMS [National Institute of General Medical Sciences](#) (NIH)
NIH [National Institutes of Health](#)
NHGRI [National Human Genome Research Institute](#) (NIH)
NIMH [National Institute of Mental Health](#) (NIH)
NINDS [National Institute of Neurological Disorders and Stroke](#) (NIH)
NINR [National Institute for Nursing Research](#) (NIH)
NLM [National Library of Medicine](#)

No Cost Time Extension An extension of the period of performance beyond the expiration date to allow the [principal 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 [cooperative agreement](#) has been made; contains or references all [terms of the award](#); and documents the obligation of funds.

NPR [National Performance Review](#)

NSF [National Science Foundation](#)

O

OFPP [Office of Federal Procurement Policy](#)

OMB [Office of Management and Budget](#)

OMB Circulars Regulatory circulars issued by the [Office of Management & Budget \(OMB\)](#). ([Link to the OMB circular as well as link to the specific circular via TRAM.](#)) Definitions included in OMB Circulars [A-21, 110, 122, 128 and 133](#).

ONR [Office of Naval Research](#)

OPAS Organizational Prior Approval System

OPRR Office for Protection from Research Risks (DHHS)

ORSP [UAMS Office of Research and Sponsored Programs](#)

P

Peer Review A system using reviewers who are the professional equals of the [principal investigator](#) or program director who is to be 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.

PHS Public Health Service

PHS 2590 [Application for Continuation of a PHS Grant \(National Institutes of Health\)](#)

PHS 398 [Application Form for a PHS Grant \(National Institutes of Health\)](#)

PI [Principal Investigator](#)

Post-Differential Allowance Expenses authorized for employees based abroad to provide additional compensation for services as a recruitment and retention tool. When the allowance is authorized, the employee's base salary is increased accordingly.

PRDA Program Research and Development Announcement

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. Also termed Preliminary Proposal.

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

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](#).

Priority Score A score derived from the rating given a [research proposal](#) by each member on a review committee. It is used to help determine which approved proposals will be granted awards, based on funds available.

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/Project Officer A [sponsor's](#) designated individual officially responsible for the technical, scientific, or programmatic aspects of a particular [grant](#), [cooperative agreement](#), or [contract](#). Serving as the counterpart to the [principal investigator](#)/project director of the grantee/contractor organization, the program/project officer deals with the grantee/contractor organization staff to assure programmatic progress. (For definition of business officer, see [Grant/Contract Officer](#).)

Progress Report Periodic, scheduled reports required by the [sponsor](#) summarizing research progress to date. Technical, fiscal, and invention reports may be required.

Project Period (PP) The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods. (Also see [Budget Period](#).)

Proposal An application for 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](#).

R

Rebudget The act of amending the budget by moving funds from one category or line item to another. (See also [Budget Adjustment](#))

Regs Short for "regulations."

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.

Request for Applications (RFA) Announcements that indicate the availability of funds for a topic of specific interest to a [sponsor](#). [Proposals](#)

submitted in response to RFAs generally result in the award of a grant. Specific grant announcements may be published in the Federal Register and/or specific sponsor publications. (Also see [Broad Agency Announcements](#).)

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 [contract](#). Notices of federal RFPs are published in the Commerce Business Daily.

Request for Quotations (RFQ) A formal request from TAMRF to vendors for a price quotation on equipment or supplies to be purchased.

Revision A modified and resubmitted request for funding for a project that was previously not funded either because it was denied by the [sponsor](#) or withdrawn by the [principal investigator](#).

S

Salaries and Wages (S&W) Payments made to employees of the institution for work performed.

SBA [Small Business Administration](#)

SBIR [Small Business Innovative Research](#)

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.

Small Business Innovative Research (SBIR) Agency administered programs supported by ear-marked federal funds, making grants to small business entities.

Small Business Technology Transfer (STTR) Grant applications and/or programs to fund small business "teamed" with research institutions.

Small Grant A special type of [award](#), often limited to a beginning researcher. Typically, such an award may be obtained for one year only.

SMARTS [SPIN Matching And Researcher Transmittal System](#)

SPIN [Sponsored Programs Information Network](#) An on-line search system available by subscription for research opportunities developed by the [InfoEd](#).

Sponsor The organization that funds a research project.

SRA [Society of Research Administrators](#)

SSA [Social Security Administration](#)

Stipend 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.

STTR [Small Business Technology Transfer](#)

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.

Subs Short for subcontractors.

Supplemental (Rebudgeting or Modification) Proposal A request to the [sponsor](#) 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.

T

Task Order Agreement (TOA) A legally binding document authorizing work and appropriating funds as a supplement to a basic contract.

Teaming Agreement An agreement between two or more parties to participate in a research project or teaching activity.

Technical Data Recorded information, regardless of form or characteristic, of a scientific or technical nature. Often referred to as the "science" of a [proposal](#).

Templates Facsimiles of agency forms created with common software (MS Word, Excel, WordPerfect, etc.) that enable the user to fill out agency forms with their computer. ([TRAM](#))

Terms 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.

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.

TRAM A [WWW service](#) initially developed by the Texas Research Administrators Group providing funding opportunity searches, agency form templates, links to research administration home pages, etc.

U

Unrestricted Funds Monies 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.

Unsolicited Proposal Proposals [Proposals](#) submitted to a [sponsor](#) that are not in response to an [RFP](#), [RFA](#), or [program announcement](#). (See also [Investigator-Initiated Proposal](#).)

USDA [United States Department of Agriculture](#)

USIA [United States Information Agency](#)

VA [Veterans Administration](#)

VAH Veterans Administration Hospital

Many thanks to UCLA for making this glossary available.