

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

A

A/R: Accounts Receivable

Recognized revenue that has been billed to the sponsor and has not been paid (unpaid invoices).

Administrative Modifications

Changes to an existing award that do not affect the approved budget total or the approved performance period of the award but changes term(s) or condition(s) of the award. For example, a change lifting a restriction set in the award terms. Administrative modifications are recorded in ORBiT and manually added to PGM by EMF.

Allocable Costs

Costs that are necessary to the overall operation of the project (e.g., grant and contract); and applicable solely to one project or where costs could benefit multiple projects, are distributed in reasonable proportion to the benefit received.

Allowable Costs

Costs that are not prohibited by federal regulations or the specific requirements of the award. A cost that requires the sponsor's prior consent is not an allowable cost until that consent has been obtained.

AOR: Authorized Organizational Representative (SO: Signing Official)

The AOR is part of the team supporting the development, review, and submission of your proposal. The AOR serves as the designated representative with delegated signature authority in matters related to research at UCSB. Sponsors make awards to

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

the institution, not the individual, and require certifications and signatures from individuals designated by the University as AORs. For UCSB, the AOR for proposals and sponsored awards is SPO or TIA.

Award

Typically sponsored projects that have been funded by a sponsor. Awards include grants, contracts, cooperative agreements, and other agreements in the form of money, property or service.

Award Purposes (in PGM) / Project Purposes (in ORBiT)

Basic Research

Research that is directed toward increase of knowledge in science wherein the primary aim of the investigator is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application thereof.

This includes analytical and experimental activities that primarily seek to increase the understanding of fundamental phenomena. The end product is usually a report, although experimental hardware may be involved. In basic research, the particular use of the knowledge is not foreseen or identified at the beginning of the effort.

Applied Research

Consists of the effort that: 1) normally follows basic research, but may not be severable from the related basic research; 2) attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices, and techniques; and 3) attempts to "advance the state of the art". Applied research involves the study of phenomena

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

relating to specific, known needs in connection with the functional characteristics of a system. Applied research does not include any efforts where the principal aim is the design, development, or test of specific articles or services to be offered for sale, which are within the definition of the term development.

Developmental Research

The systematic use and practical application of investigative findings and theories of a scientific or technical nature toward the production of, or improvements in, useful products to meet specific performance requirements, but exclusive of manufacturing and production engineering. The dominant characteristic is that the effort be pointed toward specific problem areas to develop and evaluate the feasibility and practicability of proposed solutions and determine their parameters. Development includes studies, investigations, initial hardware development and ultimately development of hardware, systems or other means for experimental or operational test.

Clinical Trial Research

The controlled clinical testing in human subjects of investigational new drugs, devices, treatments, or diagnostics, or comparisons of approved drugs, devices, treatments, or diagnostics, to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes. Such studies may be conducted under an industry-developed protocol or an investigator-developed protocol. These studies are conducted in conjunction with obtaining new drug or device approval from the U.S. Food and Drug Administration, under Phase I, II, III, or IV. Pre-clinical laboratory studies or studies in animals are not included under the term clinical trial research

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

and neither are projects designed to develop new compounds, as well as test them; such projects are reported in one of the other research categories.

Other Research

Used only if a research project cannot be classified as basic, applied, developmental, or clinical trial research. Should be used sparingly. If a project spans more than one type of research, choose the one that best applies instead of using this categorization. Appropriate activities to be categorized as Other research would include creative or non-science scholarly activities.

Training (benefiting the University)

The conduct of scholarly, professional or occupational instruction for matriculated students or University employees in forms such as classes, seminars, workshops, conferences, etc. This category includes sponsorship of students or employees who are "in training" primarily but not exclusively at the graduate and postgraduate levels. This category also includes sponsored training awards made to UCSB which provide for selection of student recipients by academic departments, and the institutional support which is either included in the training grant or is applied for and awarded separately. Excluded from this category are fellowships or other similar awards made directly from sponsors to students, and Student Aid programs.

Awards and proposals that require both the development of training materials and the conduct of training as part of the same award should be identified as Training.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Awards and proposals that are primarily for development of training materials and curricula should be identified as Developmental Research.

Training projects that are intended for the training to be conducted by the UCSB for presentation to and for primary benefit to the public, i.e., individuals or groups external to the UCSB, should be identified as Public Service.

Public Service

Externally sponsored projects where the sponsor, particularly the Federal and state Government, desire to have UCSB provide the benefits of scholarly or professional training or services to individuals or sponsor-designated recipient groups (including the sponsor itself) that are external to the UCSB. Examples of public service may include “conference awards” or programs such as those sponsored by the National Endowment for the Humanities or the National Institutes of Health in the area of biomedical services or training. The principal characteristic of public service is that individuals and groups external to the UCSB are the intended beneficiaries.

Other Service

Includes services which UCSB provides or makes available which do not fit within the categories of training or public service, such as the use of University facilities as allowed by Regulation 4 ([APM-20](#)).

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Equipment

Applications or awards that are restricted by the sponsor for the sole purpose of UCSB's procurement or fabrication of equipment. This may include direct grants of equipment, or full or partial funding to enable the University to purchase equipment, where in both cases the sponsor intends to transfer or have title to the equipment vest in UCSB. This may also include contracts where the University fabricates equipment with the intent of the equipment transferring to the sponsor upon completion.

Material Transfer

Used for agreements whose sole purpose is to govern the transfer of materials to UCSB from the provider, wherein the provider restricts the use of the material to a designated research project. Such agreements often include rights granted back to the provider. Materials may include, but are not limited to, cultures, cell lines, plasmids, nucleotides, proteins, bacteria, transgenic animals, pharmaceuticals, devices, models, reagents or other chemicals. When terms pertaining to the transfer of materials are integrated into an agreement that provides for both the funding of research and the transfer of materials, use the project type appropriate for the financial transaction (e.g., Basic Research). These generally are not accounted for in PGM as there is no related revenue.

Scholarship or Fellowship

Used for awards that are intended to support students or post-doctoral fellows through payment of tuition and fees, as a stipend, or in support of project work. The award funds may be used to conduct research as part of the individual student's or postdoctoral fellow's program of study or training.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Other

For activities that do not clearly fit within any of the categories above: Examples: travel grants and program evaluations.

Award Modification

All awards are subject to modification, if both parties agree. Typically, modifications may do one or more of the following actions: change the period of performance, increase or decrease the award, or change the scope of work.

Award Types

Contract

Generally, a written agreement between two parties. In federal terms, a mechanism for the 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. If the sponsor is a Federal Agency, then it is governed by the Federal Acquisitions Regulations. Flow-through awards will be categorized as contracts in PGM. In PGM, this award type is further classified by the Sponsor Type: Federal Contracts, State of CA Contracts, Local & Other Government Contracts, and Private Contracts; may sometimes be categorized as Federal LOC.

Fellowship

An award made to provide funding to support the training of UCSB postdoctoral scholars and graduate students. In PGM, this award type is further classified by 2

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

high level Sponsor Types: Federal Fellowships, and Private Fellowships; may sometimes be categorized as Federal LOC.

Grant

Financial assistance mechanism awarded to carry out an approved project or activity (usually research) for which the idea may originate with the “performer” (PI). Sponsor provides financial or direct assistance in support of research, training or other activity. This mechanism allows the awardee significant flexibility in carrying out the project. It incorporates the sponsors' policies, such as for Federal sponsors, it is generally governed by OMB Uniform Guidance. The intent of the projects are normally public good or advancement of knowledge. No substantial involvement is anticipated between the sponsor and the recipient during performance of the contemplated activity. All Federal Grants are required to include a FALN. In PGM, this award type is further classified by the Sponsor Type: Federal Contracts, State of CA Contracts, Local & Other Government Contracts, and Private Contracts; may sometimes be categorized as Federal LOC.

Other Transactions Authority (OTA) Agreement

An Other Transaction (OT) is a unique type of legal instrument used by the Federal government other than a contract, grant, or cooperative agreement. Generally, this awarding instrument is not subject to the FAR, nor grant regulations unless otherwise noted for certain provisions in the terms and conditions of award. It is, however, subject to the OTA that governs the initiative as well as applicable legislative mandates.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

UC Special Projects

A sponsored project by UC Funds that originates outside UCSB generally from special appropriations to the University of California budget by the State for the purpose of supporting strategic state and university-wide investments in research that benefit California and its people. These projects are funds from another campus related to a contract, grant, or other agreement with a sponsor external to UC or Intramural Funds. Funds for UC Special Projects are provided through an Interlocation Transfer Form (ITF).

B

BAA: Broad Agency Announcement

A general announcement of an agency's research interest which solicits the participation of all offerors capable of satisfying the Government's needs. BAAs typically include specific proposal development requirements and criteria for selecting awards. (See also NOFO.).

Budget

The detailed statement outlining estimated project costs to support work under an award. (See also Rebudget/Revised Budget.)

Budget Period

The interval of time, usually twelve months, into which the project period is divided for budgetary and funding purposes. (See also Period of Performance.)

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

C

Carryforward / Carryover

An sponsored award revision that moves the unobligated sponsor funds remaining at the end of any budget period that, with the approval of the Grant Officer, or under an automatic authority, forward to another budget period to cover allowable costs of that budget period.

CAS: [Cost Accounting Standards](#)

Charging practices for Sponsored Projects. The standards ensure that UCSB's practices used in estimating costs for a proposal are consistent with cost accounting practices used in accumulating and reporting costs. Consistency in the application of cost accounting practices is necessary to enhance the likelihood that comparable transactions are treated alike.

CBR: [Composite Benefit Rates](#)

A CBR aggregates individual Fringe Benefits components and costs across a given employee grouping and represents them as a percentage of payroll. Employer paid benefits are pooled and charged at a single rate rather than the multiple charges currently assessed.

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

A United States federal agency under the Department of Health and Human Services headquartered in Druid Hills, unincorporated DeKalb County, Georgia, in Greater Atlanta. It works to protect public health and safety by providing information to enhance health decisions, and it promotes health through partnerships with state health departments and other organizations.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

CFR: [Code of Federal Regulations](#)

A codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the United States federal government.

Change Order

Under Federal contracts containing a Changes clause, a written unilateral contract modification signed by the federal contracting officer, directing the contractor to make changes in project specifications. The Changes clause allows the contractor to submit a proposal for costs associated with the required changes.

Closeout

At the end of the award period, the process to ensure that all scientific, financial, property and invention requirements have been delivered to the sponsor, and that all associated internal records are properly recorded and financial balances are reconciled.

[Cognizant Program Officer](#) / [Scientific Review Officer](#)

The designated Federal official having legal responsibility for managing the peer review process, the procedures for evaluating the applications assigned to the peer reviewers and the determinations and management of conflicts of interest.

Co-PI

See PI.

COGR: [Council on Governmental Relations](#)

As a national authority on the financial and regulatory infrastructure, and the corresponding compliance requirements associated with managing federal research

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

grants and contracts within research institutions, it serves its members by providing information, analysis, advice, policy perspective, and historical context in areas of research administration and compliance, financial oversight, and intellectual property.

COI: [Conflict of Interest](#)

The term conflict of interest in research refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising, an investigator's professional judgment in conducting or reporting research. There can also be a conflict of interest between organizations (OCOI).

Confidential Disclosure Agreement or Nondisclosure Agreement (CDA/NDA)

A legal contract between the university and an external party detailing each party's obligation in regard to confidential information or knowledge each wishes to share with one another for certain purposes, but needs to restrict from generalized use.

Stand-alone CDA/NDA agreements are not accounted for in PGM.

Consortium Agreement

A contract that enables multiple organizations (usually non-federal) that are each separate, legal entities to participate together in supporting research via contributing funds, and equally share the outcomes of the research. The Consortium Agreement provides for the sharing of obligations, rights, and benefits among all consortium members. Having more than one organization does not automatically convert the program into a consortium. The following terms govern the Consortium Agreement:

- A general description of research to be conducted under the consortium's funding (Some, but not all, consortia provide options for the member to fund sole-sponsor projects)
- Cost of membership, with payment obligations and schedule

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

- Management of the consortium and members' role in governance
- Publication of the consortium's research results
- Intellectual property rights arising from the consortium's research
- Compliance with export control and other laws and regulations
- Rights and procedures to terminate the consortium or membership

Consulting Agreements

Personal agreements between faculty members and a company to commit the faculty member to the company to perform specific functions. Faculty should consult the UCSB Red Binder [I - 29 Conflict of Commitment and Outside Professional Activities](#) to understand the campus regulations and procedures. The Office of Academic Personnel can provide additional guidance. Faculty need to have their own personal attorney review the consulting agreement prior to executing it. These agreements are not accounted for in PGM.

Continuation

Award of a non-competitive proposal that is issued to receive the next year/period of funding/budget period that was previously agreed to. Unless a significant contract term has changed, these awarded proposals will be added to the existing PGM Award Number.

Cooperative Agreement

A financial assistance mechanism like a grant where the sponsor has defined it as such because there is substantial involvement anticipated between the sponsor and recipient during performance of activity. This agreement type is generally governed by OMB Uniform Guidance and is considered a form of financial assistance if the sponsor is a Federal agency. All Federal Cooperative Agreements are required to include a FALN.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Cost Reimbursable

Reimbursement based on allowable incurred expenses up to the authorized budget amount.

Cost Sharing (aka Project Contributions)

The portion of a sponsored project cost that is not reimbursed by the sponsor. Cost Sharing generally represents a commitment by the Institution. There are four types of Cost Sharing as explained in more details at <https://bfs.ucsb.edu/faqs/extramural-funds/what-cost-sharing>.

Covered Individuals

In the context of research security, those individuals significantly contribute to federally funded research projects' development or execution, including principal investigators, co-investigators, and other key personnel, and who are required to complete research security training.

CUI: [Controlled Unclassified Information](#)

Unclassified information the U.S. government creates or possesses that requires safeguarding or dissemination controls.

CDI: [Covered Defense Information](#)

Unclassified controlled technical information or other information requiring safeguarding.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

D

DFARS: Defense Federal Acquisition Regulations Supplement

Department of Defense (DoD) supplement to the Federal Acquisition Regulations (FAR). DoD contracts will include both FAR and DFARS clauses.

Direct Costs

Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. In general, to be eligible as a direct cost, it must be (1) Reasonable, (2) Allocable, (3) Allowable, (4) treated consistently with policies and procedures governing like costs, (5) determined in accordance with generally accepted accounting principles, (6) not included as a cost or cost share on another award, and (7) adequately documented.

Deficit

Represents the amount the total expense exceeds total revenue.

Deobligation (Reduction)

Reduction or de-obligation of an existing award issued by the sponsor via an official grant or contract modification. This action is not part of the grant closeout process.

Disallowed Costs

Charges to a sponsored award that the sponsor determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the award.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

DOD: [Department of Defense](#)

The Department of Defense (also known as the Defense Department, USDOD, DoD or the Pentagon) is the Executive Department of the Government of the United States of America charged with coordinating and supervising all agencies and functions of the government concerned directly with national security and the United States armed forces.

DURC-PEPP: [Dual Use Research Of Concern - Pathogens with Enhanced Pandemic Potential](#)

The United States Government Policy which applies to all federally funded research. The policy intent is to strengthen oversight of life sciences research with biological agents and toxins throughout the research lifecycle.

E

Effort Reporting

A procedure that can be used to fulfill the federal government's requirement to verify after-the-fact that direct labor charges to sponsored projects are reasonable, and reflect actual work performed. Effort reports show the distribution of the effort of individuals among the various activities in which they work. Regular certification must be done by PIs who manage these projects. Effort reporting must also be done for other projects where individuals are paid across a variety of activities.

EMF: Extramural Funds Accounting

Division of the Controller's Office responsible for post-award management and financial oversight of sponsored research through award setup, billing, collections, financial reporting, closeout, and financial compliance.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Equipment

Tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and a single unit acquisition cost of \$5,000 or greater.

Equipment Loan

An agreement that provides a device/machine from a sponsor, without a cost, to be used specifically for a research project where there is no intent to purchase the device/machine. At the end of the research project, UCSB will return the device/machine to the sponsor. These agreements are not accounted for in PGM.

eRA: Electronic Research Administration

Sponsor systems providing applicants, grantees, and sponsor staff the tools necessary for electronic processing of grants. For example, NIH, AHRQ, CDC, FDA, SAMHSA and the VA use the eRA Commons and IMPAC II systems to support the full grants life cycle from receipt to award to closeout.

Expanded Authorities

Federal regulations require prior approval from a federal sponsoring agency for a variety of project changes. As permitted under [2 CFR 200.308\(g\)](#) Many federal agencies have waived cost related prior approvals and permit an institution to decide budget changes, referred to as "expanded authorities." Not all agencies exercise their right to waive prior approvals. For those agencies that have, they may not waive all of the prior approvals and they may not waive them for every program. Therefore, it is important to check the agency's policies as well as specific program terms and conditions to see if these authorities have been granted. If an agency/program grants expanded authorities, they are automatically applied unless overridden in the NOA.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

[Export Control](#)

Federal laws that restrict the export of specific items, information, and software for reasons related to U.S. national security, economic and foreign policy goals.

F

Fabrication

A unique individual piece of equipment, or scientific instrument built by UCSB personnel not a vendor or subcontractor. The completed fabricated product must meet the criteria listed for [Inventorial equipment](#).

FAR: [Federal Acquisition Regulations](#)

Codification and publication of uniform policies and procedures for acquisition by all executive agencies.

FALN: Federal Assistance Listing Numbers

A unique number assigned to an individual listing on the publicly available listing of Federal assistance programs managed and administered by the US General Services Administration, formerly known as the Catalog of Federal Domestic Assistance (CFDA).

FDA: [U.S. Food and Drug Administration](#)

U.S. government agency responsible for protecting the public health by ensuring the safety, efficacy and security of human and veterinary drugs, biological products, medical devices, our nation's food supply, cosmetics and products that emit radiation.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

FDP: [Federal Demonstration Partnership](#)

A cooperative initiative among some Federal agencies (currently includes agencies such as NSF, NIH, ONR; see [full membership list](#)) and selected organizations receiving Federal funding for research, such as universities, and certain professional organizations. Its efforts include demonstration projects intended to simplify and standardize Federal requirements in order to increase research productivity and reduce administrative costs.

Flow Through

An award to UCSB from one legal entity (e.g., The State of California, city and county government entities, universities, and other non-federal agencies) that is funded, in total or in part, by another legal entity, such as a federal agency, state agency, etc.. (See Pass-Through-Entities.)

FFR: [Federal Financial Report](#)

The federal financial reporting mechanism to satisfy the sponsors' reporting requirement. The FFR is due to the sponsor within 90 days of the project period end date. The standard reporting template for federal agencies is the SF425.

Final Invention Report

Report submitted to a sponsor that lists all inventions made during the performance of the award. A negative report may be required.

Final Report(s)

The final technical, property, invention or financial report required by a sponsor to complete a project. This report is typically submitted during the close out process.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

FY: Fiscal Year

Any twelve-month period for which an organization uses for financial, budgeting and tax purposes; sometimes called a financial year.. The fiscal year at UCSB is July 1 to June 30. The Federal fiscal year is October 1 through September 30.

Fixed Price / Fixed Rate

Agreement that provides for reimbursement based on a price which normally is not subject to any adjustment unless certain provisions (such as contract change, economic pricing, or defective pricing) are included in the agreement. These contracts are negotiated usually where reasonably definite specifications are available, and costs can be estimated with reasonable accuracy. Unspent balances are not returned to the sponsor at the end of the period of performance.

FOA: [Funding Opportunity Announcement](#)

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. (See NOFO.)

FOIA: [Freedom of Information Act](#)

Requires dissemination, upon request, of Government documents while ensuring protection of proprietary and other privacy act information.

Foreign National

Persons who are not U.S. citizens, aliens who are “Lawful Permanent Residents” (Green Card), [8 USC § 1101(a)(20)], or other “Protected Individuals” under the Immigration and Naturalization Act [8 USC §1324b(a)(3)] designated an asylee, refugee, or a temporary resident under amnesty provisions. A foreign national also means any foreign

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

corporation, business association, partnership, or any other entity or group that is not incorporated to do business in the United States. Under ITAR, the term “foreign person” is used, but has the same definition as “foreign national” herein.

Fringe Benefits

Employee benefits paid by the employer (for example, FICA, Worker’s Compensation, Pension, Insurance, and so forth). Also see CBR.

FSR: Financial Status Report

A non-federal financial report due to the sponsor based on the specified terms of the award agreement/contract. The frequency and type of reporting may vary by sponsor.

FTE: Full-Time Equivalent

This is a means for counting employees, for example, two half-time employees represent one FTE.

Fund Accounting

The accounting system used by universities and other non-profit organizations to identify revenues and expenses according to purpose of use and the source of funds. The goal of this accounting system is to ensure funds are used in accordance with any external restrictions and for the benefit of the organization as a whole, versus aiming to track a profit; it aims to emphasize accountability over profitability. Separate accounts are kept for assets provided to an organization and restricted by funders to certain specific purposes or use.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Fundamental Research

Basic or applied research in science and engineering meeting the following criteria:

- No restrictions on publication, and is done with the intent to publish the results of the research
- Places no restrictions on who may participate
- If ITAR-regulated, is performed at an US accredited institution of higher learning

The products (results, not activities or materials) of fundamental research are not subject to export control, so researchers can freely exchange and publish their results without license requirements or other government approval.

FWA: [Federal-Wide Assurance](#)

The Federal-Wide Assurance is the only type of new assurance of compliance accepted and approved by OHRP for institutions engaged in non-exempt human subjects research conducted or supported by HHS. Under an FWA, an institution commits to HHS that it will comply with the requirements set forth in 45 CFR part 46, as well as the terms of assurance.

G

Gift

Monies given irrevocably to the University generally to be used for purposes specified by the donor, however, the donor generally does not impose any contractual requirements, such as deliverables or elaborate reporting requirements (although informal reports or verbal communication do further good donor relations). A gift generally does not require

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

separate accounting, nor does the donor receive detailed financial accounting. A gift may be provided for the stated area of research or activity. No intellectual property rights are provided. A gift does not require the return of unexpended funds, and it generally has no period of performance.

Grant Officer (Grants Management Specialist / Officer)

The person identified in the NoA by the sponsor, and is the sponsor official responsible for the business management and other non-programmatic aspects of the award. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to applicants and recipients, including interpretation of grants administration policies and provisions; and administering and closing out grants. The Grants Officer is the focal point for receiving and acting on requests for sponsor prior approval or for changes in the terms and conditions of award, and is generally the only sponsor official authorized to obligate the sponsor to the expenditure of funds or to change the funding, duration, or other terms and conditions of award.

H

HHS: [Department of Health and Human Services](#)

A U.S. Department with the mission to enhance the health and well-being of all Americans, by providing for effective health and human services and by fostering sound, sustained advances in the sciences underlying medicine, public health, and social services. It is composed of a family of agencies as detailed at

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

<https://www.hhs.gov/about/agencies/index.html>. As UCSB's cognizant agency, DHHS acknowledges our indirect cost rate agreement on behalf of the Federal government.

Human subject

A living individual about whom an investigator (whether professional or student) conducting research:

- (1) Obtains, information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens, or
- (2) Obtains, uses, studies, analyzes, or generates Identifiable private information or Identifiable biospecimens.

Intervention includes both physical procedures by which data are gathered (for example, venipuncture) and manipulations of the subject or the subject's environment that are performed for research purposes. Interaction includes communication or interpersonal contact between investigator and subject.

Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a medical record). Private information must be individually identifiable (i.e., the identity of the subject is or may readily be ascertained by the investigator or associated with the information) in order for obtaining the information to constitute research involving human subjects.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

I

Incremental Funding

Funding is obligated for an award period at less than the total estimated cost for the period with the understanding that additional funding is expected to be provided at a later date. Incremental Funding is most commonly seen in Federal Contracts and Cooperative Agreements, and does not require a new proposal. Instead, the initial proposal is referenced.

Indirect Cost Base (F&A Base / Burden Schedule)

The indirect cost base is the sum of direct costs that are used as a foundation for calculating the Indirect Cost Rate, which is then used to allocate Indirect Costs to specific projects or programs. The base is defined by the award agreement. Typically the federal government negotiated Indirect Cost Rate uses a Modified Total Direct Cost (MTDC) Base, but other sponsors may use other bases such as Total Direct Costs, or Only Salaries and Benefits.

Indirect Cost Rate (F&A Rate / Burden Rate)

A rate that UCSB charges to a sponsored project to recover for the use of the institution, or facilities, administration and compliance costs. This rate is negotiated periodically with UCSB's cognizant agency, the Department of Health & Human Services (HHS). The rate agreement is posted here: <https://bap.ucsb.edu/budget/indirect-cost-recovery>. A UC policy exception is required to assess less than the current negotiated rate on a sponsored project.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

IDC: Indirect Costs (Facilities and Administrative Costs (F&A) / Burden Costs)

Costs that are incurred for common or joint objectives, such as general University operations, incurred during the project and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. Indirect Costs are synonymous with “overhead”, “Burden costs”, or “Facilities and Administrative Costs”. Indirect costs are comprised of “Facilities” costs, or depreciation and use allowances, interest on debt associated with certain buildings, equipment and capital improvement, operation and maintenance expenses, and library expenses, and “Administration” costs, or defines as general administration and general expenses, departmental administration, sponsored projects administration, student administration and services and all other types of expenditures not listed specifically under one of the subcategories of Facilities (including cross allocations from other pools). Indirect Costs are calculated by multiplying the Indirect Cost Rate by Indirect Cost Base.

Instruction

Per Uniform Guidance, means the teaching and training activities of an institution. This term includes all teaching and training activities, whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through regular academic departments or separate divisions, such as a summer school division or an extension division. This CCOA Purpose also includes:

- (1) Training as defined under Award Purpose.
- (2) Departmental research means research, development and scholarly activities that are not organized research and, consequently, are not separately externally budgeted and accounted for.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Internal Controls

A process designed and implemented by management that provides reasonable assurance that:

- (i) Operations are effective and efficient.
- (ii) Financial and operational reports are reliable.
- (iii) Compliance with applicable laws, regulations, and internal policies and procedures have been achieved.

Intramural Funds

Those funds appearing on the University's general budget, such as direct appropriations to the University of California budget by the State, as opposed to those received via a contract, grant, or other agreement with a sponsor external to the University (i.e., "extramural" funds). Examples of intramural funds programs at UC may include:

- Academic Senate grant funding opportunities
- Campus internal funding programs for faculty development
- University of California Office of the President (UCOP) grant funding opportunities

Intramural funds are accounted for as non-sponsored, Faculty Funds in PGM.

Invoice

Statement of amount due based on the billing terms.

IPA: Intergovernmental Personnel Act

Contract mechanism used by the Federal Government to allow individuals to be temporarily assigned to work at federal agencies on a short-term basis. For example, a faculty member becomes an NSF Program Officer for a year.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

IRB: Institutional Review Board (HSC: [Human Subjects Committee](#))

An independent administrative committee mandated by HHS and responsible to the Office for Human Research Protections Program (OHRP). The HSC is composed of scientists, non-scientists, and community members with varying backgrounds of expertise, to promote complete and adequate review of human subjects research activities conducted by UCSB researchers.

ITE: Innovation Transfer & Entrepreneurship ([UCOP](#))

This office supports UC campuses in technology transfer operations. The office's operations group provides information systems, financial management, patent prosecution and intellectual property management services. This office creates tools to help connect external parties to UC innovations. This office supports UC inventors, entrepreneurs and best practices at UC campuses to realize the public benefit of UC research.

ITF: Interlocation Transfer Form

A temporary (one time) transfer of Intramural Funds or UC Special Projects from one UC campus location to another.

J

JIT: [Just-in-Time](#)

NIH uses Just-in-Time procedures for certain programs and award mechanisms (each JIT request will include specific guidance on the use). These procedures allow certain elements of an application to be submitted later in the application process, after review when the application is under consideration for funding. The standard application elements include other support information for senior/key personnel; certification of IRB

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

approval of the project's proposed use of human subjects; verification of IACUC approval of the project's proposed use of live vertebrate animals; and evidence of compliance with the education in the protection of human research participants requirement. (NIHGPS 2011, Part I, Ch 2.5)

K

Key Personnel

Those people who are essential to carrying out the work of a project, typically those responsible for the design, conduct and reporting of research. PIs, Co-PIs, multiple PIs, as well as any Fellow on a fellowship, will be included as Key Personnel.

L

Letter of Credit

Cost reimbursable billing mechanism whereby the University draws down the amounts due from the sponsors using automated payment mechanisms.

LSP: [Limited Submission Program](#)

Sometimes a sponsor imposes a limit on the number of proposals an institution can submit to a funding opportunity. These Limited Submission programs must be internally coordinated to ensure that UCSB only submits the allowable number of proposals. When these programs arise, the Office of Research coordinates the internal process for selecting the applicant(s) who may submit to that funding opportunity.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

M

Master Agreement

A research agreement between a sponsor and UCSB that is intended to enable multiple tasks or projects. The agreement contains a general set of terms and conditions that will apply to all tasks/projects that are linked to the Master Agreement. Any project- or task-specific terms may be included in the subsequent task agreements.

Matching Funds

See Cost Sharing. Financial contribution by the university required by a sponsor as a condition for receiving an award. A form of cost sharing at a significant level, for example, two sponsor dollars to one UCSB dollar, or one sponsor dollar to one UCSB dollar.

Merit Review Process (Intellectual Merit / Broader Impacts)

Reviewers evaluate the proposal using the sponsor's defined merit review criteria (such as, intellectual merit, broader impacts). These criteria cover both the quality of the research and the project's potential impact. NOFO may also contain additional review criteria.

MOU: Memorandum of Understanding

A contract that establishes the rights and responsibilities of collaborators that are participating in collaborative research where no funds are exchanged.

MTDC: Modified Total Direct Costs

A Indirect Cost Base defined in the Uniform Guidance to exclude certain direct costs from the base. For additional information, see [Uniform Guidance Appendix III](#).

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

MCA: Multi-Campus Award

Multiple Campus Awards (MCAs) are awards where one UC campus performs a portion of the programmatic work of a sponsored project awarded to another UC campus. The UC campus that receives the original award is the “prime campus” while a UC campus that performs the portion of the work is considered a “participating UC campus.” MCAs are not considered subawards because the ten UC campuses and ANR constitute one legal entity, “The Regents of the University of California.” Therefore, it is not appropriate for the campus receiving the prime award to recover IDC on the MCA as it is an internal and not a third party transaction.

MTA: [Material Transfer Agreement](#)

A legal document defining the conditions under which research or other materials can be transferred or used among research laboratories. These agreements are not accounted for in RAS.

N

NASA: [National Aeronautics and Space Administration](#)

NASA is a United States government agency that is responsible for science and technology related to air and space. The Space Age started in 1957 with the launch of the Soviet satellite Sputnik. NASA was created in 1958. The agency was created to oversee U.S. space exploration and aeronautics research.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

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

A non-profit professional society serves its members with a bold voice, collaboration, resources and strategic and practical support for campus business and finance professionals.

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

A non-profit professional society dedicated to advancing the profession of research administration through education and professional development programs, the sharing of knowledge and experiences, and the fostering of a diverse, collegial, and respected global community.

New and Competing Proposals

Proposals submitted for the first time and thus competing for funding, or ongoing projects that must re-compete for funding prior to the expiration of the original award.

NOFO: Notice of Funding Opportunity

A formal announcement of the availability of Federal funding through a financial assistance program from a Federal agency. The notice of funding opportunity provides information on the award, such as who is eligible to apply, the evaluation criteria for selecting a recipient or subrecipient, the required components of an application, and how to submit the application. The notice of funding opportunity is any paper or electronic issuance that a Federal agency uses to announce a funding opportunity, whether it is called a “program announcement,” “notice of funding availability,” “broad agency announcement,” “research announcement,” “solicitation,” or some other term.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

NCE: No-Cost Extension

A mechanism that extends the end date of a project without adding more funding. NCEs may be necessary in order to allow the PI time to complete the work of the project. NCE requests are generally directed to the sponsor for approval; however, some sponsors grant administrators in SPO to approve or deny requests.

NIH: [National Institutes of Health](#)

A Federal agency whose mission is to improve the health of the people of the United States. NIH is a part of the Public Health Service, which is part of the U.S. Department of Health and Human Services.

Non-Competing Continuation

A renewal applied to a continuing project, i.e., one that need not compete with other projects for funding. Budget periods are often associated with such non-competing continuations.

NOA: Notice of Award

Formal notification from the sponsor that an award is offered in response to an application submitted by UCSB. It is an official, legally binding document, signed (or the electronic equivalent of signature) by a sponsor officer that:

1. Notifies the recipient of the award of a grant;
2. Contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and,
3. Provides the documentary basis for recording the obligation of funds in the sponsor's accounting system.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

NSF: [National Science Foundation](#)

The National Science Foundation (NSF) is an independent federal agency created by Congress in 1950 "to promote the progress of science; to advance national health, prosperity, and welfare; to secure the national defense..."

O

Offset

Carryforward funds authorized to be used to fund costs in the current year budget period. When a grant is offset, the total approved budget does not increase or decrease, but the current year budget period did not increase either. To be able access the unused portion of the budget that was an offset, a budget request to the sponsor is necessary.

OHRP: [Office for Human Research Protections](#)

OHRP provides leadership in the protection of the rights, welfare and wellbeing of subjects involved in research conducted or supported by HHS. OHRP helps ensure this by providing clarification and guidance, developing educational programs and materials, maintaining regulatory oversight, and providing advice on ethical and regulatory issues in biomedical and social-behavioral research.

OLAW: [Office of Laboratory Animal Welfare](#)

NIH office overseeing compliance with the PHS Policy on Humane Care and Use of Laboratory Animals.

OMB: [Office of Management and Budget](#)

A unit of the executive branch of the federal government which assists the President in meeting his policy, budget, management and regulatory objectives and to fulfill the agency's statutory responsibilities.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

ONR: [Office of Naval Research](#)

A federal sponsor whose mission is to deliver critical, cutting-edge capabilities to the Sailors and Marines through global partnerships and scientific research.

[Office of Research](#)

The Office of Research is the chief administrative unit and catalyst for advancing research at UCSB. The Office of Research provides leadership, direction, resources, education, and management of campus wide research administration. The Office of Research is comprised of:

- Sponsored Projects Office who assists faculty and professional research staff in their efforts to secure and ensure proper stewardship of external funding;
- Research Integrity which oversees the operations of a number of regulatory and compliance committees;
- Strategic Research Initiatives who works to effectively secure extramural funding, from early career fellowships to large center grants; and
- Research Centers and Units which provide a supportive infrastructure for interdisciplinary research.

ORBiT: [Office of Research Bit of Information](#)

The Office of Research's contract and grant electronic database. All proposals submitted by the campus and all awards accepted by the campus are tracked in this system. ORBiT is the official system of records for proposals.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Organized Research

Per Uniform Guidance, means all research and development activities of an institution that are separately budgeted and accounted for; includes:

- (1) Sponsored Research means all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.
- (2) University Research means all research and development activities that are separately budgeted and accounted for by the institution under an internal application of institutional funds.

University research, for purposes of this cost principle, shall be combined with sponsored research under the function of organized research.

Other Sponsored Activities

Per Uniform Guidance, means programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs. However, when any of these activities are undertaken by the institution without outside support, they may be classified as other institutional activities.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Other Support

Includes all financial resources, whether Federal, non-Federal, commercial or organizational, available in direct support of an individual's research endeavors, including, but not limited to, research grants, cooperative agreements, contracts, or organizational awards. Other support does not include training awards, prizes, or gifts. Used by sponsors to ensure a project is not being funded twice.

Overdraft

A financial condition in which expenditures exceed the budget available.

Overhead

See Indirect Costs.

P

PAPPG: [Proposal & Award Policies & Procedures Guide](#)

The source for information about NSF's proposal and award process. Each version of the PAPPG applies to all proposals or applications submitted while that version is effective.

PTE: Pass-Through Entity

Per Uniform Guidance, means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program. PTE can also be used for non-federally funded projects.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Peer Review

A system of evaluation of competitive proposals submitted for funding using reviewers who are the professional equals of the principal investigator or program director responsible for directing or conducting the proposed project. Peer review is a form of objective review. It is legislatively mandated in some federal programs, and administratively required in others.

Period of Performance (Project Period)

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, i.e., the start and end dates of the project. The project period may consist of one or more Budget Periods.

Personal Property

Per Uniform Guidance, means property other than Real Property. It may be tangible, having physical existence, or intangible.

Pre-award Costs

Expenses incurred before the start date of the sponsored award directly pursuant to the negotiation and in anticipation of the sponsored award where such costs are necessary for efficient and timely performance of the scope of work. These costs are allowable only to the extent that they would have been allowed if incurred after the start date of the sponsored project and only with the written approval of the sponsor. If approved, these costs must be charged to the initial budget period of the sponsored award unless otherwise specified by the sponsor.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

PGM: [Projects & Grants Management](#)

An integrated part of the UCSB Oracle financial system to help manage research administration activities. Full end-to-end post-award processing by Departments, SPO, and EMF from award setup, billing, collections, financial status reporting, milestone monitoring and closeout. It is the system record for all award agreements and financial activity.

[PI: Principal Investigator](#) / PD: Program Director

The individual responsible for the conduct of research or other activity described in the proposal for an award. More than one PIs may be referred to as a Co-Principal Investigator (Co-PI).

Post-doc

Postdoctoral Scholar or Fellow.

Prior Approval

Written approval by the sponsor's authorized official evidencing prior consent required for specified post award changes in the approved project or budget which must be obtained from the sponsor before undertaking the proposed activity or spending. Prior approval is required to significantly change aspects of the program from those originally proposed and approved, as specified by the sponsor.

Program Announcement

A formal publication from a sponsor describing opportunities for research and education support to generate proposals. It may describe new or expanded interest in a

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

particular extramural program, or it may be a reminder of a continuing interest in an extramural program. (Also see NOFO.)

Program Income

Per Uniform Guidance, means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance. Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them.

Program Officer (Project Officer / Technical Officer)

An individual designated by a sponsor as responsible for the technical, scientific, and/or programmatic aspects of a particular award. A program/project officer serves as the sponsor's counterpart to the UCSB principal investigator or project director. He or she deals with the grantee or contractor organization staff to assure programmatic progress. He or she is typically not authorized to change the terms of the award - these actions require an award modification executed by the Grant Officer.

Progress Report (Annual Report / Interim Report)

Scheduled reports often required by a sponsor, summarizing progress to date on the research, finances or other aspects of the project.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Property

Per Uniform Guidance, means Real Property or Personal Property.

Proposal

An application for funding that contains all the information necessary to describe a project's plans, staff capabilities, and the funds requested. Formal proposals are developed by a Principal Investigator, approved by the department head and/or dean, and endorsed by SPO.

R

Real Property

Per Uniform Guidance, means land, including land improvements, structures and appurtenances thereto, but excludes moveable machinery and equipment.

Reasonable Costs

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person in the conduct of competitive business.

Rebudget/Revised Budget

The act of amending a budget by moving funds from one category or line item to another; also called Budget Adjustment.

Recipient

Per Uniform Guidance, means an entity, usually but not limited to non-Federal entities that receives a Federal award directly from a Federal awarding agency. The term

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

recipient does not include subrecipients or individuals that are beneficiaries of the award. Recipients can also be used for non-federally funded projects.

Refund

The amount returned to the sponsor when the prepayments received from the sponsor are greater than the amounts spent on the research, and the terms of the award require their return.

Reinstatement

Revised award releasing the remaining balance (or portion of the remaining balance) of the originally approved budget, reinstating a previous de-obligation, or increasing the amount being awarded as a result of a correction. This action is not used to record incremental funding (see Supplement for handling of incremental funding modifications); also would not be used to record carryforward.

Relinquishing Statement

An official statement relinquishing interests and rights of the agreement. The original grantee is required to submit a relinquishing statement to the sponsor to proceed with a transfer of an award to another institution or overall termination of the award.

Renewal

Indicates an application requiring competitive Review and agency action to continue beyond the current competitive segment. A new PGM Award Number will be issued for these awarded proposals.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

RAS: [Request Authorization to Spend](#)

Authorization to incur allowable expense (sometimes up to a specified limit) on a project within a limited period before the award is made by the sponsor or successfully negotiated by SPO.

Research and Development

Per Uniform Guidance, means all research activities, both basic and applied, and all development activities that are supported at universities, colleges, and other non-profit institutions. "Research" is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. "Development" is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

RPAC: Research Policy Analysis and Coordination ([UCOP](#))

The Innovation Transfer & Entrepreneurship provides guidance and implementation assistance to the campuses and other stakeholders regarding the development, interpretation and implementation of UC policies and external rules related to the conduct of research at UC.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

[Research Security](#)

The safeguarding of the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity, and foreign government interference.

S

[SAM.GOV](#)

The Official U.S. Government System for:

- Contracting (contract opportunities, contract award reports only from fpds.gov and subcontract reports (was FSRs.gov)),
- Wage Determinations,
- Federal Hierarchy (departments and subtiers),
- Federal Assistance (assistance listings and subaward reports (was FSRs.gov)),
- Entity Information (entities, disaster response registry, exclusions, and responsibility/ qualification (was fapiis.gov)), and
- Entity Reporting (SCR and Bio-Preferred Reporting).

SBIR/STTR: [Small Business Innovation Research / Small Business Technology Transfer](#)

Federal programs to fund a diverse portfolio of startups and small businesses across technology areas and markets to stimulate technological innovation, meet Federal research and development (R&D) needs, and increase commercialization to transition R&D into impact.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Service Agreements

A contract that calls for specific non-research services to be performed (e.g., teaching a course, calibrating a piece of equipment) or a concrete end product to be delivered to an external third party. These agreements are not accounted for in PGM.

SF 424 (R&R): [Standard Form 424 \(Research & Related\)](#)

The application data set used by federal agencies, including NSF and NIH, for the electronic submission of grant applications through Grants.gov. The data set is owned and maintained by Grants.gov and includes both federal-wide and agency-specific forms.

SNAP: Streamlined Non-Competing Award Process

The National Institutes of Health (NIH) implemented the Streamlined Non-Competing Award Process (SNAP) program to simplify the requirements of the non-competing application and financial reporting processes. Streamlined process that includes provisions that modify annual progress reports, NoAs and financial reports. Funds are automatically carried over and are available for expenditure during the entire project period. All NIH award notices identify whether the grant is subject to or excluded from SNAP. SNAP instructions for submitting the progress report appear in the PHS 2590 Non-Competing Continuation Progress Report. When SNAP applies, the progress report must be submitted electronically using the eSNAP module in eRA Commons.

Sole Source Acquisition

A contract for the purchase of supplies or services against a sponsored award that is entered into or proposed to be entered into by an organization after soliciting and negotiating with only one source. Sole source acquisition can be related to [procurement](#) or [subawards](#).

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Solicitation

Per FAR, means any request to submit offers or quotations to the Government. Solicitations under sealed bid procedures are called “invitations for bids.” Solicitations under negotiated procedures are called “requests for proposals.” Solicitations under simplified acquisition procedures may require submission of either a quotation or an offer. Other, non-federal sponsors may also refer to their proposal guidelines as solicitations. (See also NOFO.)

SOW: Scope of Work (Statement of Work)

The description of the work to be performed on a project, including any work plan. Definition of required deliverables, if any, and their due dates. Description may set unambiguous schedule, milestones, performance standards and acceptance criteria, and due dates.

Sponsor

The organization that funds a project via award of a contract, grant, cooperative agreement, or other agreement.

Sponsored Agreement / Research Agreement

A grant, contract, or other agreement between the institution and an external sponsor where the purpose is to financially support a research project or other scholarly activity at the institution.

Sponsored Awards

Programs, both research and scholarly activity, supported by an external source that has a defined scope of work or set of objectives, which provides a basis for sponsor

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

expectations. This includes research, demonstration, professional development, instruction, training, curriculum development, community and public service, or other scholarly activity involving funds, materials, other forms of compensation, or exchanges of in-kind efforts under awards or agreements.

SPO: [Sponsored Projects Office](#)

The Sponsored Projects Office provides research administration, compliance and education support to university researchers, staff, and trainees, and works closely with sponsors to facilitate productive relationships. It acts on behalf of UCSB and the UC Regents with sponsors on all matters pertaining to funding awards and the disposition of awards.

Sponsored Research

All research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

Stipend

A payment made to an individual under a fellowship or training grant in accordance with pre-established levels. A stipend provides for the individual's living expenses during the period of training.

[Subaward](#) (Subcontract / Subgrant)

An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of an award received by the pass-through entity. It does not include

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

payments to a contractor or payments to an individual. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient (Subcontractor / Subawardee / Subgrantee)

An entity that receives a Subaward from a Pass-Through Entity to carry out part of a sponsored award; but does not include an individual that is a beneficiary of such award. A subrecipient may also be a recipient of other awards directly from the same sponsor.

Supplement

An award by the sponsor for additional funds for an ongoing project during the previously approved Period of Performance. A supplement may result from increased costs, modifications in design, or a desire to add a closely related component to the ongoing project.

Suspension (Stop Work Order)

An action by a sponsor that temporarily withholds support of a project pending corrective action by the recipient or a decision to terminate the award.

T

Task Order / Project Agreement

A legally binding document authorizing work and appropriating funds as a supplement to Master Agreement or contract. Typically, the Master Agreement serves as an umbrella to issue distinct tasks, orders and associated funding.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

Taxpayer Identification Number (TIN)

IRS code to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

Total Costs

The total costs of a sponsored award, including TDC and IDC.

TDC: Total Direct Costs

The total of all expenses that can be directly linked or easily traced to the sponsored award; excludes indirect costs.

Termination

The ending of an award, in whole or in part at any time prior to the planned end of period of performance. A lack of available funds is not a termination.

Terms of Award / Terms and Conditions

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.

Third party in-kind contributions

Per Uniform Guidance, means the value of non-cash contributions (*i.e.*, property or services) that:

- (1) Benefit a federally-assisted project or program; and

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

- (2) Are contributed by non-Federal third parties, without charge, to a non-Federal entity under a Federal award.

Incoming Transfer (Transfer In)

Indicates a change of the grantee institution. Typically, this action indicates an existing award that will be “new” to UCSB due to a new faculty member transferring from another institution. This action usually applies to grants, where the sponsor wants to maintain the continuity of the award.

U

UAR: Unbilled Accounts Receivable

Recognized revenue that has not been billed to the sponsor.

UCOP: [University of California, Office of the President](#)

The Office of the President is the systemwide headquarters of the University of California, managing its fiscal and business operations and supporting the academic and research missions across its campuses, labs and medical centers, including UCSB.

Unallowable cost

Any cost that, under the provisions of any pertinent law, regulation, or award, cannot be included in prices, cost-reimbursements, or settlements under an award to which it is allocable.

Unexpended Balance

The portion of the funds authorized by the awarding entity that has not been expended by the recipient during the approved project period and is determined by deducting the cumulative expenditures from the authorized total.

UCSB Research Administration Glossary

[A](#) - [B](#) - [C](#) - [D](#) - [E](#) - [F](#) - [G](#) - [H](#) - [I](#) - [J](#) - [K](#) - [L](#) - [M](#) - [N](#) - [O](#) - [P](#) - [R](#) - [S](#) - [T](#) - [U](#)

UG: Uniform Guidance

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (commonly called "Uniform Guidance") was officially implemented in December 2014. The Uniform Guidance – a "government-wide framework for grants management" – is an authoritative set of rules and requirements for Federal awards that synthesizes and supersedes guidance from earlier OMB circulars. UG is located at [2 CFR 200](#).

Unliquidated Obligations

Funds that are committed per the authorized sponsored agreement, but not yet paid. Obligations include direct and indirect expenses incurred by not yet charged to the award, including amounts due to subrecipients and contractors.

Unobligated Balance

The portion of the award funds authorized by the sponsor for expenditure by the recipient that has not been obligated by the recipient. The amount is computed by subtracting the cumulative amount of the Unliquidated Obligations and expenditures under the award from the cumulative amount of the authorized funds.