Glossary of Terms

A-21
Also known as "Cost Principles for Educational Institutions," this is 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.

A-110
Also known as "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." This is a circular published by the federal Office of Management and Budget (OMB) that sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants.

Account Close-Out
An action initiated by Office of Research Services upon termination of a grant or contract, this is necessary to fulfill reporting responsibilities, and to ensure that all posting of expense, adjustments, and receipts of cash are properly recorded. The action culminates in the disabling of the fund from the financial accounting system.

Account Information Sheet (AIS)
Office of Research Services award and fund number form that contains pertinent information concerning general ledger fund number, award amounts, performance period dates, funding and reporting requirements, school and department and name of principal investigator and carryover information, if applicable.

ADJ –FY (13th Month)
The accounting period at the end of the university fiscal year, commencing during the last week of June and ending mid-July, during which final postings of expense are captured. Under no circumstance should the 13th month be used to transfer costs from one grant to another. Journals related to service center billings, however, are pre-approved and may be posted to the 13th month.

Advance Account
Fund created by the Office of Research Services in anticipation of and prior to actual receipt of the notice of award from the sponsor. Employed to facilitate the budgeting and accounting of project related expense.

Advance Payment
Payment made upon acceptance of an award or in accordance with the payment schedule.

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

Asterisk "*" Rule
An asterisk "*" should be used anytime the investigator(s) declines to list the actual base salary above the cap on the proposal being sent to NIH. Please note that the actual institutional base must be filled in on the institutional and school copy. Language below should be used at the start of the Budget Justification:

The salary requested for identified investigator(s) is within the rate authorized by NIH. The actual institutional base salary for the investigator(s) exceeds the current NIH rate allowed. To obtain the current institutional base salary, please contact the Administrative Official listed on page “AA” of this application.

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.

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

BEN
The University's financial accounting system. To link to BEN Financials click HERE.

BEN Financials Reports
Summary reports of grant and contract expenditures, encumbrances, or other notifications. Generally, statements contain a summary record of general ledger activity, cumulative budget, expenditure, and encumbrance data.

102. ORG and 103 ORG - Summary reports of expenditures.
115. ORG Grant Fund Summary Report which contains information concerning sponsor payments.
130. ORG - PI Report
132. ORG - List of terminated funds
133. ORG - List of funds due to expire.
134. ORG - Summary Final Expenditure Report (SFER)
137. ORG - G&C budget period summary report
138. ORG - Frozen fund list
163. ORG - Open encumbrance report
510. ORG - Detail of transactions by object code (Suspense check)
**BEN Reports**
This is a web-based application that allows you to run predefined reports against the Data Warehouse as well as link to other University applications (such as BEN Financials, or Position Inventory) via the web. BEN Reports is restricted to authorized individuals. AIS Online, GRAM, and Protocol Status Report are some of its unique capabilities. To link to BEN Reports click [HERE](#).

**BRIM**
An automated billing and accounts receivable system used by ORS to generate monthly and quarterly billings and to maintain a record of outstanding receivable items and historical information relative to payments received.

**Business Objects**
The software recommended by the School of Medicine to query and run reports off of the Data Warehouse.

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**Capitalized Equipment**
Purchased item that has a per-unit value of $5,000 or more and a useful life of two years or longer.

**Carryover**
Authorization to utilize all or a portion of the unexpended balance of awarded funds existing at the end of a previous budget period in continuation of the same program or project.

**CAS**
Cost Accounting Standards

**CDC**
Centers for Disease Control and Prevention

**CFDA**
Catalog of Federal Domestic Assistance  In BEN, a six character (YY-XXXX) field identifies the congressional appropriation measure under which the award was funded.

**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

There are usually “change clauses” in a contract that require consent of the contractor. A change order is a written order signed by the contracting officer, directing the contractor to make changes, however, it authorizes the contracting officer to order those changes without needing the consent of the contractor.

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

COGR
Council on Governmental Relations

Commons
The Electronic Research Administration (ERA) Commons is a virtual meeting place where NIH extramural grantee organizations, grantees, and the public can receive and transmit information about the administration of biomedical and behavioral research. It is a web-based utility that allows both investigators and administrators to track proposals submitted, awards received and progress reports due. To link to the Commons click HERE

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

Completion Voucher
Final request for reimbursement and Final Report of Expenditures under federally funded contracts, Public Voucher (SF-1034).

Consortium Agreement
Group of collaborative investigators/institutions; arrangement is 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. DHHS grants are recognized as non-competing continuations as application type "5".

Contract
A mechanism for procurement of a product or service with specific obligations for both sponsor and recipient. Typically, both 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
The individual who a sponsor designates to be 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 where the sponsor 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. They are detailed in Appendix A of OMB Circular A-21.

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.

Cost Transfers
A journal entry transaction or salary reallocation to correct an erroneous expense posting or for the transfer of a portion of expense to a related account. It is institutional policy that all cost transfers relating to grant funds must occur within 90 days of the month end in which the original transaction takes place.

CRADA or CRDA
Cooperative Research and Development Agreement

CSR
Center for Scientific Review (NIH)

DARPA
Defense Advanced Research Projects Agency (DOD)

Data Warehouse
The Warehouse allows faculty, staff, experienced system developers, and institutional researchers to perform direct queries on administrative University data. It is divided into the following data collections: BRS (Student Billing and Receivables), General Ledger, Position Inventory, Salary Management, Space@Penn, Sponsored Projects, and Student Data.

DED
Department of Education

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

Deficit
Expenditures exceed funds available (PBIL).

**DFARS**  
Defense Federal Acquisition Regulation Supplement

**DHHS**  
Department of Health and Human Services

**Direct Costs**  
Direct costs are any costs that can be specifically identified with a particular project, program or activity or that can be directly assigned to such activities relatively easily and with a high degree of accuracy. Direct costs include but are not limited to salaries, travel, equipment, and supplies directly benefiting the grant-supported project or activity.

**Disabling Fund**  
Automated file maintenance action that occurs following the close of the final budget period of a project, or the manual file maintenance action taken as part of reporting, final posting of expense or adjustments and the receipt and posting of all payments due the University. Places an account in an inactive status whereby the account cannot accept a purchase order, charge, or a credit.

**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)

**Effort Report**  
Certification form used to report and authenticate the percentage of effort expended on research, instruction or administration.

**Employee Benefits**  
Cost applied monthly as a percentage of salaries. Includes cost of University paid benefits. On federal grants, a 1.8% component of the overall employee benefit rate that relates to dependent tuition coverage is not allowed. The dependent tuition component is chargeable to non-federal sponsors unless indicated otherwise.
Funds that have been reserved for projected expenses pending actual expenditure of the funds. A purchase order also reserves funding. It becomes an Accounts Payable after the goods or services are acquired/received.

**Endowment**
An endowment is a permanent fund of property or money bestowed upon an institution or a person, the income of which is used to serve the specific purpose for which the gift was intended.

**EPA**
*Environmental Protection Agency*

**Expanded Authorities**
Agreement with federal departments and agencies authorizing the University (through ORS) to internally approve program-related modifications to grant terms, such as budget changes and budget period extensions.

**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.

**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. F&A costs are synonymous with Indirect Costs. General categories of F&A 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.

**F&A 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 Penn, the F&A rate is applied to a modified total direct cost (MTDC) base to determine the F&A Costs on a grant fund.

**FAR**
*Federal Acquisition Regulations*

**FDA**
*Food and Drug Administration*
FDP
The Federal Demonstration Partnership is a cooperative initiative among federal agencies and institutional recipients of federal funds. It was established to increase research productivity by streamlining the administrative process and minimizing the administrative burden on principal investigators while maintaining effective stewardship of federal funds.

FedBizOpps
FedBizOpps.gov is the single government point-of-entry (GPE) for Federal government procurement opportunities (i.e. contracts) over $25,000.

Fellowship
The purpose of a fellowship is to develop or enhance research training opportunities for individuals, selected by the sponsor, who are training for careers in specified areas. They often provide primarily stipend or tuition support to students, with a limited budget for travel, supplies, health insurance, or other training related expenses.

FIC
Fogarty International Center (NIH)

Final Budget Period
The final authorized budget period of an award or project segment for which funding is available. Sponsored Project 5-ledger fund number will expire.

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

Financial Status Report (FSR)
Final report of expenditures issued annually at the conclusion of a federally funded grant (SF-269).

Fiscal Year (FY)
A twelve-month period for which annual accounts are kept. (At Penn it is 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

Freeze
An automatic file maintenance action related to a fund based on the expiration date of the fund restricting the ability of the fund to receive a charge, a credit or initiate purchase order requisitions. Throughout the budget period of the grant and prior to the automatic freeze, administrators have the ability to initiate the freeze and then unfreeze the grant to control spending.

Fringe Benefits
Employee benefits paid by the employer, such as FICA, Worker's Compensation, Withholding Tax, and Insurance.

FSRD
This is a Special Budget Object Code maintained by Research Services - Post Award and represents the direct costs reported to the sponsor on a Financial Report.
FSRI
This is a Special Budget Object Code maintained by Research Services - Post Award and represents the indirect (F&A) costs reported to the sponsor on a Financial Report.

Funding Cycle
Range of time during which proposals are accepted and 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).

GENIUS (Global Expertise Network for Industry, Universities and Scholars)
A searchable expertise profile system that contains profiles and/or curriculum vitae of investigators who choose to make their profiles public. (The default is private.) These profiles can be used by SMARTS and also will be used during later phases of PennERA (Protocol and Proposal Development).

Gift
A gift is a voluntary transfer of cash, securities or property from a donor to the University. Gifts are accounted for in "6" ledgers and can be either in the form of restricted or unrestricted. Also see Donation.

GPG
Grant Proposal Guide for the National Science Foundation.

GRAM
"Grant Reporting and Management System" is a web-based tool accessible via Ben Reports and used primarily by investigators. Based on security levels, users can view grant budget-period-to-date activity with drill down capability to expenditure detail including payroll details. It is updated monthly.

Grant
A mechanism for financial assistance providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant, as opposed to a cooperative agreement or contract, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities.

Grant/Contract Officer
The individual who a sponsor designates to be 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
IACUC
Institutional Animal Care and Use Committee.

In-kind Contribution
Value of services, facilities, equipment, supplies or other materials donated for use in the performance of a sponsored project.

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
Old term for Facilities & Administrative Costs: Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project. F&A costs are synonymous with Indirect Costs. General categories of F&A 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.

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

Interim Reports
Periodic financial accounting of costs incurred during the performance period of the project and or periodic scientific progress reports. May be required annually or more frequently than annually.

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. (See also Unsolicited Proposals.)

Invoice
Periodic request for payment initiated and issued by the Office of Research Services for the reimbursement of expense incurred during the performance period of an award. Generally, requests are made monthly or quarterly.

IRB
Institutional Review Board (for human subjects research at Penn)
Key Personnel
The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. "Zero percent" effort or "as needed" is not an acceptable level of involvement for key personnel. INDIVIDUALS PROVIDING TECHNICAL SERVICES ARE NOT CONSIDERED KEY PERSONNEL.

Letter (Line) of Credit (LOC)
Agreement between the University and a federal department or agency authorizing funding level for participating grants and contracts. Provides University with the ability to request cash for reimbursement of project expenditures on a daily basis.

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.

Memorandum of Understanding
A form required to be completed by an investigator employed at Penn who is providing effort on a proposal and holds a joint appointment at a Department of Veterans Affairs Medical Center. The form (submitted with a federal proposal) certifies that the named investigator is applying as part of a joint appointment and that there is no possibility of dual compensation for the same work, or of an actual or apparent conflict of interest regarding such work.

Minimum Adequate Reimbursement
This is the minimum F&A rate the School of Medicine will accept for a sponsored program type and/or sponsor type. The School expects to recover the Federally negotiated rate on research sponsored by the Federal government and for-profit entities. Many foundations, charitable organizations, and other not-for-profit entities have stated policies which reimburse F&A costs at a much lower rate. The School has determined that a 20% F&A rate is acceptable for research funded from these sponsors. Adequate reimbursement for sponsored program types other than research projects varies. Industry sponsored clinical trials are reimbursed at 26%, Federal training grants (T’s) and research career (K’s) awards at 8%,
and individual fellowships at 0%. Proposals that do not meet the minimum adequate reimbursement for F&A must either obtain an approved subvention request, provide an unrestricted account to charge the difference, or withdraw the proposal.

**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.

**Modification**
An award document that modifies any aspect of an existing award. Example: Carryover approvals, adding or deleting special terms and conditions, changes in funding levels (including NIH's Minority Supplement), administrative changes initiated by the agency, extensions that include changes in terms, change of principal investigator, etc.

**Modified Total Direct Cost (MTDC) Base**
This includes all direct costs less certain excluded direct costs categories—some examples include but may not be limited to:
- Equipment (excess of $5,000)
- Stipends
- Tuition
- Subcontracts (excess of first $25,000)
- Participant Costs
- Patient Care Costs

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**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**
New Award
An award not previously awarded or a renewal or continuation award that is 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 compete again for funding prior to expiration of the original award.
No Cost Time Extension
An extension of the period of performance beyond the expiration date to allow the principal investigator to finish a project (not to use up the funds). 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.

Of Federal Procurement Policy
Office of Human Research Protections
Office of Management and Budget
OMB Circulars
Regulatory circulars issued by the Office of Management & Budget (OMB) that set forth the regulations that apply to a particular award based on the type of award instrument (i.e., grants, cooperative agreements, contract). OMB Circulars A-21, 110, 122, 128 and 133 are the ones most referenced.

Office of Naval Research
The Office of Research Services (ORS) oversees the administrative support of the University’s externally funded research and is responsible for implementation of University policies established for this purpose. An important part of the ORS mission is service to the research faculty, through the provision of information and advice for the development of applications, and assistance in the administration of awarded grants and contracts.

**Other Significant Contributors**
This identifies individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project. These individuals are typically presented at "zero percent" effort or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition. This would also be an appropriate designation for mentors on Career awards.

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**PBIL**
This is a Special Budget Object Code maintained by Research Services - Post Award and represents the maximum billable award on a grant fund. It is set equal to the award amount from the sponsor. On Clinical Trial Funds, PBIL only gets increased as checks are received from the sponsor. It serves as an automated control and does not allow grant revenue recognition above the award amount. At closeout, it gets reduced to reported amount and guarantees that revenue recognition above the reported amount does not occur. It is always rounded to the nearest dollar. Cents will only show if there has been a carryover of funding from the previous fund number (increase) or has been adjusted to the reported amount (decrease).

**PBUD**
This is a Special Budget Object Code maintained by Research Services - Post Award and represents the authorized project budget. It does NOT serve as an automated control. PBUD is most often equal to PBIL except for:

- advance accounts where PBIL is set equal to zero (there is no authorization to bill the sponsor), but a budget has been authorized.
- when the grant fund is accounting for cost sharing, and certain expenditures are not to be reimbursed from the sponsor (PBIL), but funded by the institution.

The department should enter an Operating Budget based on the PBUD value.

**Peer Review**
Process used to conduct the scientific and technical review of a proposal. Usually the reviewers are researchers who are actively involved in the functional area but who are not affiliated with the principal investigator named in the application as being responsible for directing or conducting the proposed project. In many cases, a statutorily mandated study section or advisory committee also reviews applications and the results of the peer reviews. The result of their review is a recommendation to the agency official as to whether a particular application should be funded.

**PennERA**
Penn's Electronic Research Administration

Penn's Electronic Research Administration system is the suite of web-based applications that streamline processes and provide more efficient tools for handling pre- and post award administrative tasks related to the sponsored projects of Penn's academic research community. PennERA is a full life-cycle system for research project development, support, and management. For background information and information about completed and upcoming activities, see the PennERA project web site at http://project.pennera.upenn.edu/project/.

PennERS

Penn’s Effort Reporting System is a secure web-based system that allows for electronic certification of effort for all sponsored projects in compliance with the requirements of OMB Circular A-21. A pilot was recently completed and plans for the entire ERS rollout to be accomplished in five Phases with the last Phase to roll out early January 2006. The PennERS project consists of three components: 1) Web-Enabled Salary Distribution (WESD) 2) Effort Reporting System (ERS), and 3) an educational program for faculty and administrators regarding the principles of effort reporting.

PHS

Public Health Service

PHS 2590

Application for Continuation of a PHS Grant (NIH)

PHS 398

Application Form for a PHS Grant (NIH)

PI

Principal Investigator

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.

Prime Account

Single fund or primary fund created for budgeting and expenditure purposes for a sponsored project. This term is normally used when it is associated with one or more sub-accounts.

Principal Investigator

The individual responsible for the conduct of research or other activity described in a proposal for an award.

Prior Approval

When an award is made, it is made based on what was originally planned and approved under the terms of the agreement. If the Principal Investigator wishes to use projects funds for purposes not in the original approved budget or to change aspects of the program, prior approval and written documentation of permission from the sponsor may be necessary. It is important to read the terms of the agreement which will usually outline when prior approval is required.

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**

An individual designated by the sponsor to be 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 officer responsible for business management, 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**

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

**Proposal**

An application for funding that fully outlines project plans and goals, staffing needs to conduct the project and required funds to complete the project. Formal proposals are officially approved and submitted by an organization in the name of a principal investigator.

**PTCS**

This is a Special Budget Object Code maintained by Research Services - Post Award and represents the authorized project total cost sharing.

**Purchase Order**

University on-line order form as a means of contracting for the purchase of supplies, equipment, and other materials. A copy of the approved purchase order is necessary as documentation to support the University’s claiming of such costs and to obligate a sponsor of a grant or contract to reimburse the University.

**Rebudget**

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

**Regulations**

The contractual rules and procedures governing sponsored research projects.

**Regulatory Affairs**

Working with researchers, ethicists, and members of the public the Office of Regulatory Affairs (ORA) assures that all research conducted under the auspices of the University of Pennsylvania honors Penn’s standards for the treatment of human and animals. To link to Regulatory Affairs click HERE.

**Renewal**

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

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 RFP's generally result in the award of a contract. Notices of federal RFPs are published in the FedBizOpps.

Request for Quotation (RFQ)
A formal request from 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.

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

Salary Waiver Request
A request to the School to allow for unfunded effort of an individual on a proposed project when the sponsor allows for such effort to be charged. The School policy is that any individuals named in the project should be requesting salary support from the sponsor in accordance with the level of effort proposed by each individual.

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)
Department of Defense administered programs supported by ear-marked federal funds which makes grants to small business entities with the purpose to harness the innovative talents of the nation’s small technology companies for U.S. military and economic strength.

Small Business Technology Transfer (STTR)
A Department of Defense administered program, STTR is similar in structure to SBIR but funds cooperative R&D projects involving a small business and a research institution (i.e., university, federally
funded R&D center, or nonprofit research institution). The purpose of the STTR is to create, for the first time, an effective vehicle for moving ideas from our nation’s research institutions to the market, where they can benefit both private sector and military customers.

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 Research Transmittal Service is a system that matches GENIUS profiles with the SPIN funding opportunities and automatically delivers daily updates via e-mail.

SNAP
Streamlined Non-Competing Award Process relates to terms and conditions of the award noted on the Notice of Grant Award from NIH that allows for certain reporting privileges. SNAP waives the requirement to file an annual Financial Status Report and simplifies the reporting requirements on PHS 2590 progress reports by eliminating the need to provide a detailed budget for the next budget period. SNAP generally applies to type ‘R’ and ‘K’ awards with certain exceptions.

SNAP Questions
Three questions must be answered on the PHS 2590 for grants under SNAP. They are:

1. Has there been a change in support for key personnel since the last reporting period?
2. Will there be, in the next budget period, a significant change (i.e. >25%) in the level of effort for the PI or other personnel designated on the Notice of Grant Award from what was approved for this project?
3. Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year’s total budget?

SOMERA
School of Medicine Electronic Research Administration is the School of Medicine’s electronic research administration system for proposal development.

Phase I and Phase II are complete and include:

- On-line data entry at department level
- Tracking of review and approval process
- Query on data from July 2001
- Pre-populated and printable PHS 398 and 2590 face pages
- Pre-populated and printable University Transmittal and Approval Form

SPIN
Sponsored Programs Information Network SPIN is part of the SPIN Plus system, a comprehensive service that provides authorized investigators with the most current information on available funding opportunities (both national and international) for projects. SPIN Plus is not just limited to scientific opportunities; there are listings for other disciplines including education and social work among others.

Sponsor
The organization that funds a research project.

SRA
Society of Research Administrators
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.

Sub-account
There are many instances where multiple investigators are part of a primary award. In certain instances a sub-account is established for those individual investigators if they are leading a free-standing project within a multi-investigator grant such as a program project grant. Creating a sub-account in those instances assists with overall efficiency in grants management.

Subcontract, Subgrant, or Subagreement
A formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties and must be consistent with the terms and conditions of an award (a grant, contract or cooperative agreement).

Subvention request
If the F&A rate provided by a sponsor does not meet the School’s minimum adequate reimbursement, a subvention request in the form of a letter signed by the department chair is required at the time the proposal is routed for review and approval. The request should clearly justify the reasons the School should accept the lower F&A rate. Click HERE for the policy.

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.

Supplies
Consumable and expendable items not considered non-capital equipment, with a per unit value of less than $5,000 and no measurable useful life. Generally, fully consumed during a single budget period.

Suspense Account
This refers to either:
- General ledger account used primarily for the posting of cash received in advance of the creation of the sponsored project 5-fund and maintained by Office of Research Services.
- School related fund-object code containing transactions that cannot be charged to a grant or contract fund because the fund has terminated, a freeze flag has been set, invalid account combinations were unable to post, or disabling action taken. Suspense object codes are identified with a 9XXX and must be reconciled monthly by the department to clear the suspense account.
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 enables 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 F&A costs incurred by the institution to carry out an approved project or activity.

Training Grant
The purpose of a training grant is to develop or enhance research training opportunities for individuals selected by the institution (via a program director) who are training for careers in specified areas. Training grants often provide primarily stipend and/or tuition support to students, with a limited budget for travel, supplies, health insurance, or other training-related expenses.

TRAM
A internet service that provides funding opportunity searches, agency form templates, and links to research administration home pages, etc. It was initially developed by the Texas Research Administrators Group. To link to TRAM, click HERE.

Transmittal Form
An internal routing form for departmental, school and institutional review and approval for submitting proposals. In the School of Medicine it can only be generated via SOMERA.

Unilateral Award

ULAR
University Laboratory Animal Resources

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 generally 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.

**Unliquidated Obligations**
Items or commitments ordered prior to the termination of the budget period, but not actually paid until after the end of the budget period.

**Unobligated Balance**
Balance of unspent and uncommitted funds at the termination of grant or contract budget period. Carryover of the balance to the next budget period may be automatic or require sponsor approval.

**Unsolicited 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

**VA**
Department of Veterans Affairs

**VAH**
Veterans Affairs Hospital

**Write-Off**
If expenditures on a sponsored project exceed the authorized awarded amount, a write-off of the overage will occur. Whenever it is recognized that a fund is exceeding the awarded amount, it should be reconciled immediately. It could just represent errors that once addressed, would eliminate a write-off to the department. If a write-off is deemed necessary, the direct cost write-off is done via an object code 4822 transfer to the department. The F&A portion of the over expenditure is a reversal of charges via a manual entry performed by Research Services to object code 5292.