Yale

The ABCs of Sponsored Projects

Purpose:

This document assists the Community in better understanding the terminology, concepts, and issues related to the profession of sponsored projects administration. In addition, users of this document are directed to many of the policies, regulations, procedures, and forms supporting University and sponsor requirements.

Due to the ever-changing nature of the sponsored projects environment this document may be updated frequently, therefore accessing this document on-line rather than printing it will ensure that the reader is viewing the latest version. This document is not intended to replace formal training that is available at Yale but rather is a tool to supplement the knowledge base of the University's sponsored projects administration professionals.

University Proposal Submission Requirements:

In order to submit a proposal or to participate in a sponsored project, several requirements must be fulfilled prior to the submission of a proposal. The requirements include but are not limited to the following (VPN required to access these websites):

- A Principal Investigator or Project Director (PD/PI) must meet eligibility requirements according to Policy 1310 Principal Investigator Eligibility Requirements on Sponsored Projects;
- PD/PI and co-PIs must complete required training on Sponsored Projects Administration Training for Faculty;
- All individuals named in a proposal must have completed a Patent Policy and Acknowledgement & Agreement form;
- All individuals identified as responsible for the conduct, design, or reporting of the research must have a current the Yale Extramural Activities and External Interests Disclosure (Conflict of Interest) form completed, (view instructions 'how do I submit a disclosure'); and
- Faculty having a joint appointment with Yale and the VA must have a current Memorandum of Understanding on file in the Office of Sponsored Projects. View guide 1411 GD.01 VA Memorandum of Understanding Requirements.

Glossary of Terms and Concepts

Go to section: ***A B C D E F G H I J K L M N O P R S T U V***

TERM/CONCEPT	DESCRIPTION/DEFINITION/EXPLANATION
A	
Academic Months also known as 9-Month Appointment	For example, Faculty members in FAS and FES have an academic year appointment. This means their appointment is for the academic months September through May. This type of appointment is also referred to as a 9-month appointment. Faculty members with this type of appointment generally receive their 9-month pay over 12 months, unless they are participating in the "FAS and FES Salary Allocation Program" also referred to as the "9 over 9"

	program. Additional information: • Salary from Grant Funds (9-over-9 Plan). • See “Person Months” • See “Appointment Type”
Allowable Costs	It is imperative that when creating a budget for submission to a sponsor and/or incurring costs on a sponsored award, that the item of cost is allowable in accordance with the sponsor’s requirements as well as Yale policy. Always review the sponsor’s funding opportunity announcement in addition to its proposal preparation documentation. The identification of which costs may be requested translates into what can be charged if an award is issued. There are certain costs that are generally not permitted on federal awards. They include those types of costs that cannot be easily identified with a specific award such as clerical support, books, subscriptions, network expenses, etc. To assist in determining the appropriateness of an expense to an award review the resources below; these may not address all the possible restricted expenses, in which case check the award document and/or contact the Office of Sponsored Projects. Additional information: • Policy 1403 Charging of Administrative and Clerical Salaries and Certain Other General Administrative Expenses to Federal Funds • Policy 1405 Charging of Facilities and Administrative Type Expenses to Non-Federal Sponsored Projects • Guide 1305 GD.07 Determining Allowability, Reasonableness, and Allocability of Costs for Sponsored Projects (unallowable costs) • 2 CFR Part 200 (Uniform Guidance)
Animal Subject	Any live, vertebrate animal used or intended for use in research, research training, experimentation, biological testing or for related purposes. In order to use animals in research a protocol must receive IACUC approval and be determined to be congruent with the sponsored project proposal prior to beginning the research. See “Congruency”
Animal Welfare Assurance (commonly referred to as the “Assurance”) Number	In order for Yale to conduct federally funded research involving animal subjects, the University has filed an Assurance with the Office of Laboratory Animal Welfare (OLAW). This Assurance is an agreement with OLAW that Yale will comply with the federal regulations regarding the welfare and safety of animals. The Assurance is assigned a number that must be indicated with every proposal to any federal

	agency. **Yale's Animal Welfare Assurance Number expires January 5, 2020:** D16-00146 (previous Assurance was: A3230-01). **Note:** A3230-01 may still appear in official documents for the life of the Assurance (May 5, 2015- May 31, 2019) until a new Assurance is issued to Yale. View Yale's Animal Welfare Assurance Number on the OSP Frequently Needed Yale Facts website.
Appointment Type	Most proposal submissions require that effort in a proposal budget must be in the form of person months. In order to properly identify the number of person months the type of appointment must be determined first. **Calendar Months (12-month appointment)** An individual with a 12-month appointment would indicate the numbers of months s/he anticipates working on a project. The number of calendar months generally appears on the budget of a proposal. A faculty member with a 12-month appointment should not be confused with a faculty member with an academic year appointment (or 9-month appointment) whose salary may be paid over 12 months. **Academic Months (9-month appointment)** A faculty member with an appointment from September through May. An academic year appointment is also called a 9-month appointment. Faculty holding an academic year appointment receive their academic salary over 12 months **unless** they are participating in the FAS and FES Salary Allocation Program more commonly referred to as the "9 over 9 program." View information regarding the 9 over 9 program. **Summer Months** When completing a proposal, "Summer Months" would only apply to a faculty member with an academic year appointment. Summer months include June, July, and August. The calculation of a summer month is based on 1/9th of the faculty member's Institutional Base Salary (IBS). Depending on the time of year that Yale issues raises (July or September), if July, the IBS for a June month may be different than the IBS for a July or August month. See "IBS" For assistance in converting months to effort, view 1316 GD.01 Effort Percent/Calendar Month Conversion Tables. View the Faculty Handbook.

ARRA (American Recovery Investment Act)	The economic stimulus package of $787 billion was signed into law by President Obama on February 17, 2009. The economic stimulus package of $787 billion is for "Making supplemental appropriations for job preservation and creation, infrastructure investment, energy efficiency and science, assistance to the unemployed, and State and local fiscal stabilization, for the fiscal year ending September 30, 2009, and for other purposes". Proposals applying for ARRA funding and awards received and supported by ARRA funds must be identified as such.
ARRA - Conversion	A previously submitted proposal to NIH that did not get funded initially but was later reconsidered for funding supported by ARRA funds.
ARRA - New	A proposal submitted to the federal government requesting funds to support a new activity funded with ARRA dollars. See "ARRA"
ARRA - Supplement	A proposal submitted to the federal government requesting funds to support an administrative or competitive supplement to an existing grant. See "ARRA"
At-Risk Account	The establishment of an At-Risk Account provides a Principal Investigator (PI) access to an Award number for a pending sponsored award. There are two types of situations that may be appropriate for the establishment of an At-Risk Account. They are: • A Pre-award Account that allows the charging of expenses on federal projects up to 90 days prior to the start date of an award. 2 CFR Part 200 (Uniform Guidance) permits grantees to approve 90-day pre-award spending at the grantee's risk. (Prior to completing an At-Risk Account Request form the PI and department administrators must first ensure that the sponsor permits pre-award costs.); • Late Award Account that allows the charging of expenses to a sponsored project prior to the receipt of an award document (e.g., grant document, cooperative agreement, or fully executed contract) but not before the anticipated start date of a sponsored project (unless the sponsor specifically allows for pre-award costs) Additional information: • Guide 1304 GD.01 At-Risk Accounts • In order to request an At-Risk Account, the appropriate form must be completed and submitted to the Office of Sponsored Projects. Instructions and form: 1304 FR.01 At-Risk Account Request.

Authorized Organizational Representative (AOR)	The individual(s), named by Yale, who is authorized to act on behalf of Yale and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards. This individual is equivalent to the "SO" or "signing official" in the eRA Commons. Responsibilities include: • Submitting the grant application on behalf of Yale. • Signing grant applications and the required certifications and/or assurances necessary to fulfill the requirements of the application process. The only individuals at Yale with this authority reside in the Office of Sponsored Projects. View a spreadsheet listing all University departments and their OSP contacts to find your OSP Proposal or Award manager. OSP Proposal, Award and Contract managers are official AORs. If submitting a proposal in response to a Request for Proposal (RFP) and resulting in a contract, the individual authorized to act on behalf of the proposal is commonly referred to as the "Offeror" or "Contractor".
Award Closeout	The University's accounting process ensuring that no further expenses can be charged to an award and all financial reporting obligations to the sponsor are fulfilled. It should be noted that most sponsors' closeout requirements of an award go beyond the financial report obligation. Typical sponsor closeout requirements would include the submission of a technical/programmatic report, invention report, and possibly an equipment inventory report.
Award Owning Cost Center	Normally the primary department of the Principal Investigator (PI) of a sponsored award. In the case of an award with multiple projects, the PD/PI of each project will receive credit for the science and F&A recovery. However, the sponsor recognized PI is responsible for all award activities. In the case of center grants, the award owning cost center is that of the PD/PI of the award. Deviations from this guidance must be approved by the Provost's Office, or the Dean of the self-support schools.
B	
Biographical Sketch (Biosketch)	Many sponsors will require information about individuals proposed to participate in a project. Generally, this is a form used to describe an individual's qualifications, education, experience, collaborators, affiliations, professional experience and publications.

Broad Agency Announcement (BAA)	A type of funding opportunity announcement. Specifically, a BAA is a competitive solicitation procedure used by federal agencies to obtain proposals for basic and applied research and that part of development not related to the development of a specific system or hardware procurement. Contracts awarded under these general solicitations meet the "full and open" competition requirements. The type of research solicited under a BAA attempts to increase knowledge in science and/or to advance the state of the art as compared to practical application of knowledge. See "Funding Opportunity Announcement"
Budget Period	The intervals of time (usually 12-months each) into which a project period is divided for budgetary and funding purposes.
C	
Calendar Month	See "Person Months"
CCR (Central Contract Registry)	The CCR no longer exists as a stand-alone system. The information and functionality of this system are available in the System for Award Management (SAM). The CCR was the primary vendor database for the U.S. federal government.
CFDA (Catalog of Federal Domestic Assistance)	An online database of all federal grant programs available to state and local governments, federally recognized Indian tribal governments, territories and possessions of the United States, domestic public, quasi-public, and private profit and nonprofit organizations and institutions, specialized groups, and individuals. Federal grant programs are assigned a unique identifying number in the Catalog of Federal Domestic Assistance (CFDA).
CFDA (Catalog of Federal Domestic Assistance) Number	The identifying number that a federal program is assigned in the Catalog of Federal Domestic Assistance (CFDA). Additional information: CFDA numbers.
Changed/Corrected Application	When submitting a proposal to a federal agency and using the SF 424 package, the PI is required to inform the sponsor if the proposal submission is to change or correct a previously submitted proposal. If it is, the box indicating "Changed/Corrected Application" must be checked.
CIRB (Central Institutional Review Board): National Cancer Institute (NCI) specific	The National Cancer Institute's CIRB Initiative is sponsored by NCI in consultation with the Department of Health and Human Services Office for Human Research Protections (OHRP).

	This initiative requires certain NCI funded projects to utilize NCI's CIRB rather than Yale's IRB. Expectations of using the CIRB will be outlined in NCI's FOA. Additional information: CIRB: Overview of the Study Review Process
Clinical Trial	NIH defines a clinical trial as: A research study[1] in which one or more human subjects[2] are prospectively assigned[3] to one or more interventions[4] (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.[5] **IRES Reference:** When using either Proposal Development (PD) or Proposal Tracking (PT) in IRES, the use of "Corporate Clinical Trial" as a program type indicates that the proposal is being submitted to a corporate sponsor. --- [1] See Common Rule definition of *research* at 45 CFR 46.102(d). [2] See Common Rule definition of *human subject* at 45 CFR 46.102(f). [3] The term "*prospectively assigned*" refers to a pre-defined process (e.g., randomization) specified in an approved protocol that stipulates the assignment of research subjects (individually or in clusters) to one or more arms (e.g., intervention, placebo, or other control) of a clinical trial. [4] An *intervention* is defined as a manipulation of the subject or subject's environment for the purpose of modifying one or more health-related processes and/or endpoints. Examples include, but are not limited, to: drugs/small molecules/compounds, biologics, devices; procedures (e.g., surgical techniques); delivery systems (e.g., telemedicine, face-to-face); strategies to change health-related behavior (e.g., diet, cognitive therapy, exercise, development of new habits); and, treatment, prevention, and diagnostic strategies. [5] *Health-related biomedical or behavioral outcome* is defined as the pre-specified goal(s) or condition(s) that reflect the effect of one or more interventions on human subjects' biomedical or behavioral status or quality of life. Examples include: positive or negative changes to physiological or biological parameters (e.g., improvement of lung capacity, gene expression); positive or negative changes to psychological or neurodevelopmental parameters (e.g., mood management intervention for smokers; reading comprehension and/or information retention); positive or negative changes to disease processes; positive or negative changes to health-related behaviors; and, positive or negative changes to quality of life.
Clinical Trial Phases	Biomedical clinical trials of an experimental drug, treatment, device,

	or behavioral intervention may proceed through four phases: **Phase I.** Tests a new biomedical intervention in a small group of people (e.g. 20-80) for the first time to determine efficacy and evaluate safety (e.g., determine a safe dosage range and identify side effects). **Phase II.** Study the biomedical or behavioral intervention in a larger group of people (several hundred) to determine efficacy and further evaluate safety. **Phase III**. Study to determine efficacy of the biomedical or behavioral intervention in large groups of people (from several hundred to several thousand) by comparing the intervention to other standard or experimental interventions as well as to monitor adverse effects, and to collect information that will allow the interventions to be used safely. **Phase IV.** Studies conducted after the intervention has been marketed. These studies are designed to monitor the effectiveness of the approved intervention in the general population and to collect information about any adverse effects associated with widespread use.
Clinicaltrials.gov	ClinicalTrials.gov is a registry and results database of publicly and privately supported clinical studies of human participants conducted around the world. Additional information: • About Clinical Studies • History, Policies and Laws
Co-Investigator	This role is unique to DHHS sponsored awards. This individual would be involved with the PD/PI in the scientific development or execution of a project. The co-investigator may be employed by or be affiliated with the applicant/grantee organization or another organization participating in the project under a consortium agreement. A co-investigator typically devotes a specified percentage of time or person months to the project and is considered to be senior/key personnel. The designation of a co-investigator, if applicable, does not affect the PD/PI's roles and responsibilities as specified in the National Institutes of Health's Grants Policy Statement, nor is it a role implying multiple PD/PIs.
Competing Continuation (Renewal) Application	A request for funding to renew, by one or more additional budget periods (described as a "competitive segment"), a project period that would otherwise expire. This type of application is sometimes referred to as "renewal." These applications must compete for support in the same manner as new applications.

Conflict of Interest	Yale University is committed to ensuring that research, consultation, and other activities of faculty and non-faculty employees are conducted in accordance with the principles of openness, trust, and free inquiry that are fundamental to the autonomy and well–being of a university and with the responsible management of the University's business. In pursuit of this goal, the University requires annual disclosure of external interests related to University responsibilities. The Provost's Committee on Conflict of Interest is charged with identifying and addressing any potential, actual, and apparent conflicts of interest resulting from related external interests. University policy and certain federal sponsors require that investigators' financial disclosures be reviewed in relation to specific sponsored project applications. View Yale's Conflict of Interest website.
Congressional District	When submitting a proposal to a federal sponsor, the congressional district of the primary site where the project will be performed must be indicated in the proposal. **Yale is located in congressional district CT-003.**
Congruency (Animals and/or human subjects)	For a PI to begin research using animals or human subjects, the PI must have approval of a protocol from the IACUC (if using animals) or the HRPP (if using human subjects). The IACUC and the HRPP are responsible for reviewing the protocol along with the proposal submitted to the sponsor and for determining congruency between the two documents. Animal Subjects Congruency: If more than one approved protocol applies to the proposal, OSP will provide the sponsor with the date of the most recently approved IACUC protocol. Additional information: Animal Research Congruency Review website. Human Subjects Congruency: If the NIH is the sponsor and the NIH proposal includes human subjects research, the Principal Investigator must ensure that the studies approved by the IRB list the correct funding source in IRES IRB. The correct grant must be selected in Question #1: Funding Source page in IRES IRB. For studies that have been previously approved by the IRB, the PI must submit a modification to the IRB to add the funding to the protocols that are supported by that grant. If the study is reviewed by an external IRB as the IRB of record, a modification must be submitted to the IRB of record with a study update submitted to the HRPP for review.
Consortium	See "Subaward"
Construction Proposal	There are programs that provide funding for the construction of buildings. In fact, federal support can provide up to 75% (requiring the

	awardee to match and/or cost share the remainder) for construction or major remodeling, or to create new research facilities. In addition to basic research laboratories, the funding may include, under certain circumstances, animal facilities and/or limited clinical facilities where they are an integral part of an overall research effort. **IRES Reference:** When using the IRES Proposal Tracking (PT) module, "Construction" is used as one of the selections for the field Program Type. The selection of "Construction" would mean that the proposal is in support of a construction project or major remodeling.
Consultant	An individual who may provide professional advice or services for a fee and is not an employee of Yale. To prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. The term consultant may also include firms that provide paid professional advice or services. **Note:** Engaging a consultant or professional firm requires that an agreement must be in place prior to the commencement of the work. Review Policy 3210 Professional Services and Consulting
Contact PD/PI	This term is NIH specific and is used for proposals submitted to the NIH that include multiple Principal Investigators (PI) or Program Directors (PD). When multiple PD/PIs are designated, NIH requires that the applicant organization identify one of the PD/PIs as the Contact PD/PI to serve as a primary point of contact. Serving as Contact PD/PI confers no special authorities or responsibilities within the project team. The Contact PD/PI must meet all eligibility requirements for PD/PI status. However, as with the single PD/PI model, if the Contact PD/PI is not an employee, the applicant organization must have a formal written agreement with the Contact PD/PI that specifies an official relationship between the parties. Review NIH's Multiple Principal Investigators website.
Contract	An agreement to provide research services under specified negotiated conditions in exchange for a specific deliverable. Contracts are usually more complex and involve substantial involvement by the sponsoring agency.
Cooperative Agreement	A financial assistance instrument under which substantial Federal scientific and/or programmatic involvement is anticipated between the Federal agency and the recipient during the performance of the contemplated project or activity. "Substantial involvement" means that the recipient can expect Federal programmatic collaboration or

	participation in carrying out the effort under the award. NIH identifies a Cooperative Agreements with a "U" as part of the NIH award number. **IRES Reference: "**Cooperative Agreement" is a Program Type in IRES Proposal Tracking (PT).
Co-PD/PI	Individuals designated by the PI and approved by the sponsor to direct a project funded within a sponsored proposal.
Cost Analysis	Federal sponsors will ensure that a cost analysis is performed on any application that requires a detailed budget. Cost analysis involves obtaining cost breakdowns, validating cost data, evaluating specific elements of cost, and examining data to determine the necessity for, and the reasonableness and allowability of, the costs included in the application budget. The extent of cost analysis depends on the complexity of the project, prior experience with the applicant, and other factors.
Cost Sharing	A portion of total sponsored project costs not funded by the sponsor. Yale discourages cost sharing unless required by the notice offunding opportunity. Cost sharing can be one of the following types: • **Mandatory Cost Sharing** is either required by the terms and conditions of an award or by federal statute and requires Yale to contribute toward the project as a condition of receiving the award. **Note:** Since the implementation of 2 CFR Part 200 (Uniform Guidance) and in accordance with its clarification regarding salary of the DHHS (excluding the FDA) cap, Yale no longer considers **salary over the cap, for example NIH's legislatively mandated cap,** a form of mandatory cost sharing. This applies to any non-profits adopting the DHHS legislatively mandated cap. • **Voluntary Committed Cost Sharing** is identified in a proposal but is not required or funded by a sponsor. For example, % effort of a key researcher is stated in a proposal budget or in the text of the proposal, but compensation is not requested. • **Voluntary Uncommitted Cost Sharing** is a cost associated with a sponsored project and not funded by the sponsor and which was not committed in a proposal or in any other communication to the sponsor. • **In-kind/Matching is t**he requirement by some sponsors that grant funds be matched in some proportion with funds from another party, either from the University or another sponsor. Matching requirements may be in the form of actual cash expenditure of funds or may be an "in-kind" match, which is the value of non-cash

	contributions to the project. In-kind or matching contributions made by a party other than Yale require documentation from that third party supporting the use of the funds as in-kind/matching and may require a certification of fair market value.
Cost Sharing Approval Form	Cost sharing is defined as the portion of project or program costs not borne by the sponsor. Prior to proposal submission, the source of funding for all mandatory (required by the sponsor) or voluntary committed (not required by the sponsor but committed within the proposal by the PI) cost sharing or required in-kind matching must be approved by the appropriate University official (self-support school dean or cognizant provost) who has authority over the source of funds that will be used to share the cost of performing work under a sponsored research agreement. Evidence of the approval must accompany the proposal when submitted to the Office of Sponsored Projects (OSP). Approval for voluntary committed cost sharing in the form of sharing the cost of salary support (effort) must be secured prior to the preparation of the budget and budget justification. The signature of the department chair on a proposal transmittal sheet for a proposal indicates that he or she also has approved any voluntary commitment to cost share effort. The requirement for receiving a prior approval does not apply to salary over a sponsor-imposed salary rate cap. Review Yale's Policy 1306 Cost Sharing on Sponsored Projects.
D	
Data/Information Security Plan	Depending on the nature of the research, a data/information security plan may be necessary. The need for a plan may exist if, for example, the PI: • Will receive confidential data from the sponsor to conduct the research • Will have access to sponsor computers and information systems • Will have access to sponsor data • Will develop certain data as a result of the research which would require certain IT protections • Is required by the sponsor to provide a data security plan • Will need to protect "confidential information", protected • health information, or other sensitive information • Will need to comply with Information security requirements stipulated by the organizations (Federal, State or local to the institution) involved in the research Complying with these requirements can be costly and should be included as part of the budget to the sponsor. Closely review the solicitation to determine whether or not research described in the

	proposal and/or the funding opportunity announcement includes requirements such as Controlled Unclassified Information (CUI), HIPAA, FISMA, FERPA, Add Health, or Privacy Act. If such references are made, email information.security@yale.edu or use the tools provided on the Yale Information Security website to classify your data: high, moderate or low risk. They can also assist in developing an IT related budget (for inclusion in the overall proposal budget) in order to comply with the sponsor's data security requirements and/or to address questions regarding compliance with the sponsor's overall data security expectations.
	
	To help staff prepare proposals with information security requirements, OSP asks Principal Investigators to identify on the Regulatory form (in IRES Proposal Tracking) or Transmittal Summary form (for paper submissions) whether or not a data security requirement is identified in the funding opportunity announcement.
	
	Additional information:
	• Yale's HIPAA Policy 5100: Protected Health Information (PHI) Security Compliance
	• ITS Information Assurance & Compliance including HIPAA security:
	  ○ Visit the Yale Information Security website
	  ○ Email: information.seurity@yale.edu
	  ○ Email: HIPAA@yale.edu
	• Contact your OSP Proposal Manager

Date and Safety Monitoring Plan	For each NIH clinical trial, NIH requires a data and safety monitoring plan that will provide oversight and monitoring to ensure the safety of participants and the validity and integrity of the data. The level of monitoring should be commensurate with the risks and the size and complexity of the clinical trial. A detailed data and safety monitoring plan must be submitted to the applicant's IRB and subsequently to the funding Institute or Center (IC) for approval prior to the accrual of human subjects. The reporting of Adverse Events must be reported to the IRB, the NIH funding IC, and other required entities. This policy requirement is in addition to any monitoring requirements imposed by 45 CFR Part 46.

Deadline Type (Proposal)	Generally, sponsors will specify the type of deadline for proposal submission. A deadline may be:
	
	• **Electronic Submission:** The date and time will be recorded electronically.
	
	• **Postmark*:*** Proposal must be postmarked as specified in the announcement. Proof of mailing consists of either:
	  ○ legibly dated U.S. Postal Service postmark; or
	  ○ dated receipt from a commercial carrier or the USPS.

	▪ Note: Private metered postmarks are not acceptable • **Receipt***:* Proposal must be received by ("arrived by") the specified date, or received after the specified date if the proposal has a legible proof-of-mailing dated not later than one week prior to the specified date. • **None***:* Some sponsors may not specify a deadline submission type. In such cases the PI should check with the sponsor in order to determine how best to submit the proposal. **IRES Reference:** When using the IRES Proposal Tracking (PT) module, "Deadline Type" is a field in the system. Note: "None" does not appear as a selection in the drop down.
Departmental Administrator	An academic professional with programmatic, managerial and fiscal responsibilities for a Yale designated area such as a department, institute, or center.
Direct Costs	Costs that can be identified as specifically allocable to a particular project or activity, or can be directly assigned to such activities relatively easily and with a high degree of accuracy. Examples include equipment, research supplies, salaries/benefits, and travel.
Division	Division generally refers to the school where the PI department is located. When completing an application (specifically a SF424) this field appears in the Applicant Information (Yale University) as well as PD/PI contact information.
DUNS Number	A unique nine-character number used by the federal government (NIH and PHS agencies) to identify/track how federal money is distributed. Most large organizations have DUNS numbers. **Yale's DUNS number is**: **04-320-7562.**
E	
Effort	In preparing applications for sponsored projects funding, PIs are expected to provide reasonable estimates of the percent of effort or person months necessary to carry out the proposed project. PIs must meet any proposed effort commitments (including voluntary and mandatory effort in the form of cost sharing) in accordance with University policy and sponsor requirements. Generally, personnel such as PIs and others **named in the award document** must obtain University and sponsor prior approval for reductions (usually 25% or greater) in effort when the sponsor requires such approval. Most sponsors and Yale require that all personnel identified in the proposal must indicate effort. PIs are required to devote some level of

	effort to a sponsored project. Additional information: • Policy 1316: Effort Commitment: Managing Effort Associated with Sponsored Projects • Voluntary Committed Cost Sharing in Proposals
Effort Reporting	Effort reporting is the process through which the University determines and documents the effort expended on sponsored projects during each effort reporting period. The effort report form documents the proportion of time devoted to sponsored projects, teaching, clinical practice, and ALL other activities paid for by Yale, expressed as a percentage of total University effort. Additional information: • Visit the OSP Effort Reporting website • Policy 1315 Effort Reporting: Certifying Effort on Sponsored Projects • 1315 PR.04 Effort Reporting • 1316 Effort Commitment: Managing Effort Associated with Sponsored Projects • 1316 GD.01 Effort Percent/Calendar Month Conversion Tables
Employer Identification Number EIN/TIN #	The EIN is a number assigned by the Internal Revenue Service (IRS) to a business entity. **Yale's EIN: 06-0646973** **Yale's NIH EIN: 1060646973A1** Visit the OSP Frequently Needed Yale Facts website
Environmental Health and Safety, Office of (OEHS)	Each proposal submitted to a sponsor must include a review of the materials needed to conduct the proposed research. Many materials can be hazardous and/or are regulated by law. The PI must review the types of materials the University monitors and/or controls by completing the Research Materials/Equipment section of the Regulatory Form if submitting a proposal using the Proposal Development (PD) tool or TranSum, if submitting outside of PD. The Yale office responsible for reviewing and monitoring these materials is the Office of Environmental Health and Safety. OEHS is dedicated to reducing injuries, accidents and environmental impact and assuring compliance with regulatory requirements. Visit the EHS website.
Equipment	Moveable Equipment (MEI) is tangible, non-expendable, University property that has an estimated useful life of greater than one year and a per unit acquisition cost equal to or greater than the University's capitalization threshold. Final determination as to

	whether equipment meets the criteria for capitalization is made by the Controller's Office. View Yale's Equipment Policy: PR 4209 Equipment. Equipment is an asset of the University that should be safeguarded and used only for University programs and purposes. Equipment must be depreciated according to the useful lives established by the University. The University must properly classify, safeguard, and depreciate its equipment, and must abide by federal guidelines and the terms of sponsored awards with respect to the purchase, use, and disposition of the equipment. In addition, per Federal guidelines, the University is required to perform an equipment inventory at least once every two years. During this time, Cost Centers are expected to verify all equipment within their cost center. All equipment disposals that are transfer, sale, or release should adhere to procedure 4209 PR.06 Transfer, Sale, or Release of Equipment prior to equipment leaving the University. Any equipment that is PI released is required to have the completed 4209 FR.05 Capital Equipment Transfer Release Form submitted to the Controller's Office for review. The results of the Biennial Inventory are also used as part of the University's F&A rate calculation. Any questions regarded MEI should be directed to the Controller's Office Capital Accounting: controllers.office@yale.edu or mei.admin@yale.edu. **IRES Reference:** When using the IRES Proposal Tracking (PT) module, "Equipment" is used as one of the selections for the field Program Type. The selection of Equipment would generally mean that the proposal is in response to program announcement accepting proposals in support of scientific equipment.
Estimated Program Income	The amount of program income estimated for a project period of an application, if applicable. See "Program Income"
Executive Order (E.O.) 12372	If completing a PHS SF424, application Box 16 asks if the application is subject to Executive Order 12372. For NIH and other PHS application submissions, "NO Program is not covered by E.O. 12372" always applies.
Export Controls	Export control laws and regulations have several purposes: • to restrict exports of goods and technology that could contribute to the military potential of U.S. international adversaries; • to prevent proliferation of weapons of mass destruction; to advance U.S. foreign policy goals; and • to protect the U.S. economy and promote trade goals. Attention to export controls has increased due to recent heightened concerns

	about national and homeland security as well as the need to prevent proliferation of weapons of mass destruction and terrorism and leaks of technology to U.S. economic competitors. When completing a Regulatory Form using IRES Proposal Development (PD), or a TranSum (paper submission) to accompany a proposal, it is important that the PI accurately answer the Export Controls questions in order to ensure that Yale complies with Federal law. To learn more about Export Controls and compliance with federal regulations take the CITI Export Compliance online training course available in Workday Learning (VPN required). A Researcher's Export Control Checklist is available to assist faculty in determining whether they have export control issues or not. All questions regarding Export Control Laws should be directed to the Director of Export Controls and Sr. Advisor for Contracts: donald.deyo@yale.edu.
Extension	An extension of an award with additional funding. An extension should not be confused with a No Cost Extension (NCE), which is an extension of an award without additional funding. **IRES Reference:** When using IRES Proposal Tracking (PT), "Extension" is one of the selections available for the field Proposal Type.
F	
Facilities & Administrative (F&A) Costs (also known as "Indirect Costs" or "Overhead")	Expenses related to University facilities and administrative activities that cannot be identified specifically with a particular project or program. **Facilities (F)** costs are defined as allowances for depreciation and use of buildings and equipment; interest on debt; operation and maintenance expenses, and library expenses. **Administrative (A)** costs are defined as general administration and general expenses such as the central administrative offices, financial management, general counsel, management information systems; departmental administration; sponsored-projects administration; and student administration and services. Each of these components (F&A) contributes an amount to the numerator of the F&A Rate calculation based on the total actual cost that is assignable to sponsored research.
Facilities & Administration (F&A) Rate (also known as "Indirect Cost Rate" or "Overhead Rate")	The percentage used to apply to sponsored project budgets in order for the University to collect an amount for F&A type costs that cannot be identified specifically with a particular project or program.

	The basic calculation of the F&A rate is as follows: F&A Costs Incurred/Modified Total Direct Costs (MTDC) = F&A Rate Those F&A costs assigned to research (numerator) ÷ the modified total direct costs (the denominator) charged to sponsored research awards (including any supporting cost sharing) = the F&A rate. Yale's negotiated F&A rates are posted on the OSP Resources > Frequently Needed Yale Facts website**.**
Federal Award Identification Number (FAIN)	A unique number of federal sponsors are required to include as part of the award document.
Federal Demonstration Partnership (FDP)	The Federal Demonstration Partnership (FDP) is a cooperative initiative among 10 federal agencies and 217 institutional recipients of federal funds for Phase VI. The FDP is a program sponsored by the Government, University, and Industry Research Roundtable of the National Academies. Its purpose is to reduce the administrative burdens associated with research grants and contracts. The interaction between FDP's 300 or so university and federal representatives takes place in FDP's 3 annual meetings and, more extensively, in the many collaborative working groups and task forces that meet often by conference calls in order to develop specific work products. The FDP is a unique forum for individuals from universities and nonprofits to work collaboratively with federal agency officials to improve the national research enterprise. For more information visit the FDP website. For a better understanding of the terms and conditions received through Yale's participation in the FDP, review the Research Terms and Conditions Appendix A Prior Approval Matrix on the NSF Research Terms and Conditions website.
Federal Funding Accountability and Transparency Act (FFATA)	The purpose of this law is to ensure that the public can access information on all entities and organizations receiving Federal funds. The FFATA legislation requires information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, www.USASpending.gov. All types of Federal awards over $25,000 are required to be included on this website. Yale is required to enter information about its subawards in the FFATA Sub-award Reporting System (FSRS).
Federal Pass Through (also known as "Subaward", "Subcontract", or" Subgrant")	A non-federal entity receives a federal award and provides a portion of the award to a subrecipient or subawardee to carry out a specific scope of work in support of the federal award. The mechanism by which the transfer of funding occurs is called a subaward, subcontract, or subgrant.

	Note: Yale can be both a recipient of a federal pass through or issue a federal pass through under a federal award to a subrecipient or subawardee.
Federal Wide Assurance (FWA) Number	For Yale to conduct federally funded research involving human subjects, the University must file an Assurance with the Office of Human Research Protections (OHRP). This Assurance is an agreement with OHRP that Yale will comply with the federal regulations regarding the welfare and safety of human subjects in research. The Assurance is assigned a number that must be indicated with every proposal to any federal agency when human subjects' research is proposed. **Yale's FWA Number is: FWA00002571**
Fellowship	Awards to institutions or individuals with the purpose of continuing professional education, including pre and postdoctoral fellowships. Fellows awarded individual fellowships for the purpose of education and training are not considered employees of the University for the purposes of defining their employment benefits. **IRES Reference:** When using IRES Proposal Tracking (PT), "Fellowship" is identified one of the selections for the field Program Type. The selection of "Fellowship" as a Program Type would mean that the proposal is in support of a fellowship.
Final Financial Report (FFR)	Most sponsors require the submission of a financial report on some regular basis as described in the award document. The financial report identifies the expenditures and obligations for a specific period of performance and reflects the University's official accounting records. If an FFR is due at the close of the award it is called a Final Financial Report (FFR). Unliquidated obligations are not permitted in an FFR.
Floor #	The floor number of the building location where the predominance of the work will take place. This information is required on the Regulatory Form (PD or Transum paper submission).
Fringe Benefits	Non-wage compensation provided to employees in addition to their normal wages or salaries.
Funding Opportunity Announcement (FOA)	A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as a Program Announcement (PA), Requests for Funding (RFA), and Request for Proposal (RFP).
Funding Opportunity Number	The number that a federal agency assigns to its FOA.

G	
Good Clinical Practices (GCP): NIH Policy	This NIH policy establishes the expectation that all NIH funded investigators and clinical trial staff involved in the conduct, oversight, or management of clinical trials should be trained in Good Clinical Practices (GCP). The purpose of the policy is to help assure the safety, integrity, and quality of clinical trials. GCP provides a standard for ensuring clinical trial compliance, implementation, data collection, monitoring, and reporting (e.g., safety data, accrual reports, study status, protocol deviations, unanticipated problems, or final data), and outline the responsibilities of Institutional Review Boards (IRBs), investigators, sponsors and monitors. GCP addresses elements related to the design, conduct and reporting (e.g., safety data, accrual reports, study status, protocol deviations, unanticipated problems, or final data) of clinical trials. Note: Many clinical trial awards from pharmaceutical companies require GCP training. View the NIH notice for Good Clinical Practice Training for Awardees
Grant	An award of financial assistance, the principal purpose of which is to transfer a thing of value (money, property, services, etc.) from a sponsor to a recipient (Grantee) to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). Non-federal sponsors including but not limited to foundations and societies also issue grants. A grant is distinguished from a contract, which is used to acquire property or services for the sponsor's direct benefit or use. **Note:** It is important to review terms and conditions at the time of receipt of an award to confirm that the appropriate Instrument Type was chosen at the time of proposal submission. **IRES Reference:** When using IRES Proposal Tracking (PT), "Grant" is one of the selection available for the field Instrument Type.
Grants.gov	A federal government web portal for use in electronic collection of data (forms and reports) for federal grant-making agencies through the Grants.gov website.
H	
Health Insurance Portability and Accountability Act (HIPAA)	Federal law that sets standards for protecting patient health information and ensuring appropriate security of all protected health information. The standards for protecting patient health information are described on the University's Health Insurance Portability and Accountability Act (HIPAA) website.

Human Subject Protection Program (HRPP)	Yale maintains an integrated program (HRPP) to monitor the protection of human research participants and provide training in the ethical conduct of research. The HRRP maintains Institutional Review Boards (IRBs) to provide the ethical review and oversight of its human research endeavors. Visit the HRPP website.
Human Subjects Exemption	There are eight criteria by which human subject research is determined to be exempt from federal regulations. When requested in a proposal, the appropriate exemption number corresponding to one or more of the exemption categories of research that qualify for an exemption coverage should be provided to the sponsor. **Note:** Only the IRB can determine if the human participant research is exempt. View guide: 100 GD. 9 Guidance on Exemption from IRB Review
I	
Indirect Costs	See "F&A Facilities and Administration Costs".
Institutional Animal Care and Use Committee (IACUC)	Yale University's IACUC is responsible for reviewing all protocols involving live vertebrate animals, ensuring compliance with federal regulations, inspecting animal facilities and laboratories, and overseeing training and educational programs. The overall role of the IACUC is to ensure the humane care and use of animals. Sponsored awards may not be released, or expenditures applied, to any award where IACUC approval is not in place and has not been reviewed for congruency against the IRB protocol. Additional information visit the IACUC website. Sponsored projects proposals that answer "Yes" to use of animal subjects will be required to insert Yale's Animal Welfare Assurance number in a sponsor's application form.
Institutional Animal Care and Use Committee (IACUC) Approval Date	If a proposal includes animal research, IACUC approval is required. Some sponsors (federal and non-federal) may require the IACUC approval date at the time of proposal submission. Most federal granting agencies (and some non-federal sponsors) however, permit the grantee (Yale) to indicate "pending" if IACUC approval has not yet been obtained. If this is the case and if completing a SF424 application, the "Yes" Box for IACUC pending would be checked. If the proposal is selected for funding Yale is required to provide the sponsor with the IACUC approval date prior to receipt of the award. **Note:** IACUC approval requirements apply to subrecipients as well. If only the subrecipient is using animals in the proposed research, the

	information in Yale's proposal to the sponsor would include that of the subrecipient. See "Institutional Animal Care and Use Committee"
Institutional Base Salary (IBS)	The annual compensation paid by the University for an employee's appointment, whether that individual's time is spent on research, teaching, patient care or other activities. The IBS does not include bonuses, one-time payments or incentive pay. Also excluded from the IBS is salary paid directly by another organization including but not limited to the West Haven Veterans Administration Hospital or Howard Hughes Medical Institute and income that an individual is permitted to earn outside of their University responsibilities such as consulting. View policy 1311 Institutional Base Salary for Sponsored Projects
Institutional Review Board (IRB) Approval Date	If a proposal includes the use of human participants, IRB approval is required. Some sponsors may require the IRB approval date at the time of proposal submission. Most federal granting agencies however, permit the grantee (Yale) to indicate "pending" if IRB approval has not yet been obtained at the time of proposal submission. If this is the case and if completing a SF424 application, the "Yes" Box for IRB pending would be checked. If the proposal is selected for funding Yale is required to provide the sponsor with the IRB approval date prior to receipt of the award. **Note:** IRB approval requirements apply to subrecipients as well. If only the subrecipient is using human participants in the proposed research, the information in Yale's proposal to the sponsor would include that of the subrecipient. See "Human Subjects Protection Program"
Integrated Research Enterprise Solution (IRES)	Yale's integrated web-based solution to manage the research enterprise. This solution currently includes proposal, award, and conflict of interest information. Visit the IRES website.
Intergovernmental Personnel Act (IPA) Mobility Program	An example of an IPA assignment is when a Veterans Administration (VA) employee is on assignment to Yale and working on a NIH award. This type of assignment is restricted in duration and must comply with NIH policy and the Act. Visit the IPA website. It should be noted that some VAs have a foundation through which a temporary assignment may occur. An agreement between Yale and a VA Foundation is called a Joint Personnel Agreement (JPA).

	Note: IPA assignments are not specific to the NIH. Agencies such as the National Science Foundation (NSF) often permit an NSF employee to work at a university or permit a university employee to work at NSF via an IPA.
J	
Just-In-Time (JIT)	The Department of Health and Human Services procedure that allows the submission of certain elements of a new or competing renewal application to be deferred until after the review of a proposal, but before award. Typical documents requested include Other Support pages, verification of compliance approvals such as human and animal subjects protocol approvals, and verification of human subjects education.
K	
Key Personnel or Senior/Key Personnel	The PD/PI and any other individual who contributes 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 senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. "Senior/key personnel ***must*** devote measurable effort to the project whether or not salaries or compensation are requested." "Zero percent" effort or "as needed" are ***not*** acceptable levels of involvement for those designated as Senior/Key Personnel. ***Note:*** Key personnel or Senior/Key Personnel should not be confused with responsible personnel. Not all key or senior/key personnel are responsible and vice versa. It is the responsibility of the PI to make these determinations. See “Responsible Individuals”
L	
Late Award Account	Allows the charging of expenses to a sponsored project prior to the receipt of an award document (e.g., grant document, cooperative agreement, or fully executed contract) but not before the anticipated start date of a sponsored project (unless the sponsor specifically allows for pre-award costs). See “At Risk Account”
Letter of Intent/Pre-Application	A statement in summary form of the intent of an investigator to request funds from a sponsor prior to the submission of a full

	application. A letter of intent/pre-application may be used to determine the applicant's eligibility and how well the project can compete with other applications and to eliminate proposals for which there is little or no chance of funding. Letters of Intent/pre- applications are written by the proposed principal investigator and normally do not require signoff by the Office of Sponsored Projects (OSP). Consultation, however, with OSP and the Business Office is advised to assure that no commitments have been made that may bind the institution in future proposals. **IRES Reference:** When using IRES Proposal Tracking (PT), "Letter of Intent/Pre-application" is one of the selections available for the field Proposal Type.
Limited Submission	A funding opportunity where the sponsor limits the number of applications from an eligible institution. Competitions internal to Yale are usually required for selection of candidates. For information regarding the process for review and approval of limited submissions. Visit the OSP Limited Submissions website.
Location	Where the predominance of the work takes place. This is required information on the Regulatory Form (PD or Transum paper submission).
M	
Mandatory Cost Sharing	A type of cost sharing that is either required by the terms and conditions of an award or by federal statute and requires Yale to contribute toward the project as a condition of receiving the award. See "Cost Sharing
Master Record	In the IRES Proposal Tracking (PT) module, the Master Record is the main proposal tracking record, also known as a Parent Record
Modified Total Direct Costs (MTDC)	The total expenses to which the Facilities & Administration (F&A) rate is applied to determine the amount of F&A costs that can be charged to each sponsored award. The MTDC is considered modified since Yale is not permitted to recover F&A on tuition, patient care costs, equipment, capital expenditures, rentals of off-site facilities, and the amount of a subaward in excess of $25,000 on federal awards unless other restrictions apply.
Modular Budget	An NIH term that is applicable to certain research grant applications requesting $250,000 or less per year for direct costs. Detailed categorical information is not submitted with the application. Consortium/contractual F&A costs are not factored into the direct

	cost limit.
Multiple PD/PI	When submitting an application involving multiple PD/PIs, the contact PI should, in most cases, be listed as the PD/PI. Each PD/PI must be assigned a role including those at subaward sites.
N	
New (Proposal)	An application that is being submitted to a sponsor for the first time. **IRES Reference:** When using IRES Proposal Tracking (PT), "New" is one of the selections available for the field Proposal Type.
No Cost Extension (NCE)	An extension of a proposal period without additional funding from the sponsor. A No Cost Extension occurs in the last year of an award. **IRES Reference:** When using IRES Proposal Tracking (PT), "No Cost" Extension is one of the selections available for the field Proposal Type.
Non-Competing Continuation	Generally, a Public Health Services term. A non-competing continuation is considered to be the next year of continued support within a project period for a funded sponsored award. A progress or technical report is usually required by the sponsor from the Principal Investigator or Project Director before an award is made. The amount of the non-competing continuation is based on prior award commitments usually indicated in the original award document. **IRES Reference:** When using IRES Proposal Tracking (PT), "Non-Competing Continuation" is a Proposal Type.
Non-Key Personnel or Other Personnel	Individuals determined by the PI who do not contribute in a substantive, measurable way to the scientific development or execution of a sponsored award. Individuals identified as non-key or other personnel may include students, technicians, engineers, chemists, and consultants.
Notice of Award (NoA)	This term is specific to agencies under the U.S. Department of Health and Human Services (DHHS). The NoA is the legal document issued to the receiving organization (grantee) that indicates an award has been made and that funds may be requested from the designated HHS payment system or office. A NoA, showing the amount of Federal funds authorized for obligation and any future-year commitments, is issued for each budget period in the approved project period (see "Project Period and Budget Period" below). Until an awarding office has issued a NoA for the initial budget period, any costs incurred by the applicant for the project are incurred at its own risk. A revised NoA may be issued during a budget period to affect an action resulting in a change in the period or amount of support or other change in the terms and conditions of award. An

	awarding office generally will not issue a revised NoA to reflect a recipient's post-award rebudgeting. The NoA sets forth pertinent information about the grant, including, but not limited to, the following: • Grant identification number ("grant number") • Statutory authority for the award and any applicable program regulations • Name of recipient organization • Name of the PI/PD(s) • Approved project period and budget period start and end dates • Amount of Federal funds authorized for obligation by the recipient • Amount of matching or cost sharing (if applicable) • Amount of anticipated future-year commitments (if applicable) • Names of the cognizant awarding office, Program Officer or Official, Grants Management Official, and Grants Management Specialist • Applicable terms and conditions of award, either by reference or inclusion • The HHS-assigned EIN, which must be used by the Office of Sponsored Projects in order to request payment
O	
Office of Animal Research Support (OARS)	OARS is the administrative office that supports the Yale animal research community and ensures protocol compliance; evaluates, reviews, and approves animal activities; investigates animal welfare concerns; and recommends program revisions to the Institutional Official (who oversees research administration). Visit the Animal Research website.
Off-Campus	Applies to sponsored projects activities performed on premises not owned by the University at locations sufficiently far from the campus to prohibit the normal use of University facilities and services. Working from home is not considered to be off-campus.
Office of Sponsored Projects (OSP)	The Office of Sponsored Projects is the Institutional central unit with delegated authority to commit the University by formal contract or other arrangement to the terms and conditions of a sponsored award (grants, contracts, cooperative agreements, clinical trials, service agreements, confidentiality disclosure agreements, material transfer agreements, etc.). OSP is also responsible for overall award management (both administrative and financial), effort reporting, cost transfer oversight, and billings and collections.
On-Campus	Sponsored projects activities performed on premises owned or rented by the University at locations that permit the normal use of University

	facilities and services. Visit the OSP website.
Other Significant Contributor	Individuals identified in a NIH/PHS proposal who commit to contribute to the scientific development or execution of the project, but do not commit any specified measurable effort (i.e., person months or percentage of effort) to the project. These individuals are typically presented at effort of “zero person months” or "as needed." Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs). Consultants should be included ifthey meet this definition. **IRES Reference:** In IRES, “Other Significant Contributor” can be selected as a Role for individuals identified in the proposal. Remember, if selecting this role for the named individual it must meet the above stated requirements.
Other Support	A document submitted as part of an application that includes all financial resources, whether Federal, non-Federal, commercial or institutional. Training awards, prizes, or gifts are not included. Other support includes all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc. The Other Support information provided to a sponsor assists the sponsor in the identification and resolution of potential overlap of support. Overlap, whether scientific, budgetary, or commitment of an individual’s effort greater than 100 percent or 12 person months, is not permitted. *The goals in identifying and eliminating overlap are to ensure that sufficient and appropriate levels of effort are committed to the project; that there is no duplication of funding for scientific aims, specific budgetary items, or an individual’s level of effort; and that only funds necessary to the conduct of the approved project are included in the award. Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salary) are requested in an application but are already provided for by another source. Commitment overlap occurs when a person’s time commitment exceeds 100 percent or 12 person months, whether or not salary support is requested in the application. While information on other

	support is only requested for Senior/Key Personnel (excluding consultants), no individuals on the project may have commitments in excess of 100 percent. * Scientific overlap occurs when: (1) substantially the same research is proposed in more than one application or is submitted to two or more different funding sources for review and funding consideration, or (2) a specific research objective and the research design for accomplishing that objective are the same or closely related in two or more applications or awards, regardless of the funding source. * *When an individual holds a joint VACHS/Yale appointment involving support for research activities, information from each appointment must be included separately in the Other Support documentation. Support from each funding source should be clearly and separately delineated so that the separate appointments can be considered independently when determining any potential overlap.* *Each appointment must be listed separately and enough information on the type of appointment; (e.g., full time academic or 6/8 VA) must be included so that an assessment of an individual's commitment can be made. Within each appointment, appropriate sources of research support providing the standard detailed information cited above must be included.* Note that when an individual has multiple appointments, it is possible that the combined effort can result in excess of 12 calendar months (not from any one institution, but a combination of multiple appointments). In all cases, an individual's combined total professional effort must meet a test of reasonableness. See "Total Professional Effort" and "VA MOU"
Overhead	See "Facilities and Administration Costs"
P	
Patent Policy Acknowledgment & Agreement (PPAA) Form	Yale's policy requires that all individuals named in a proposal must complete a Patent Policy Acknowledgment & Agreement form. Access the PPAA form via the University's Workday Learning system. By completing the form, the individual agrees to: • Abide by the Yale University Patent Policy, including any amendments to it adopted from time to time, and will execute any assignments or other documents necessary to comply with its terms. • If in the course of the research conducted under University auspices, as defined by the Patent Policy, s/he will provide to the Yale Office of Cooperative Research a written disclosure of the invention, s/he will and hereby assigns to Yale rights in that

	invention as provided by the Patent Policy and s/he will cooperative with that Office in the preparation of any patent applications. • No consulting or other agreement with any third person or organization which grants rights that are in conflict with the PPAA, nor will s/he knowingly enter into any such agreement.
Person Months	Person months is the metric for expressing the effort (amount of time) PI(s), faculty, and other personnel devote to a specific project. To calculate person months, multiply the percentage of your effort associated with the project times the number of months of the appointment (calendar or academic). For example: 25% of a 9-month academic year appointment equals 2.25 (AY) person months (9 x .25= 2.25) 10% of a 12-month calendar appointment equals 1.2 (CY) person months (12 x .10 = 1.2) 35% of a 3-month summer term appointment equals 1.05 (SM) person months (3 x .35= 1.05). **Note that one summer month is equivalent to one ninth of the individual's academic year salary NOT one twelfth of the academic year salary.** Additional information: • NIH Frequently Asked Questions: Usage of Person Months • Guide 1316 GD.01: Effort Percent/Calendar Month Conversion Tables
Phases I, II, III, IV	See "Clinical Trial Phases"
PD/PI	See "Project Director and Principal Investigator".
PI Initiated Clinical Trial	A clinical trial that does not have an external sponsor although an external entity may provide the drug or device to complete a study. See "Clinical Trials".
PI Status Request	In order to be a PI or PD, an individual must fulfill certain requirements of the University and the sponsor. University policy requires that the PD/PI be employed full-time by the University and hold an appointment as assistant professor, associate professor, professor, research scientist/scholar, or senior research scientist/scholar. Exceptions to this policy require the approval of the Provost, or as appropriate, the dean of the relevant professional school. (In some cases, the Provost or dean may delegate approval to the department chair.) 1310 FR.04 PI Status Request Form and Instructions

	Policy 1310 Principal Investigator Eligibility Requirements on Sponsored Projects
Postdoctoral Associate	Employees of the University who are appointees funded from Yale administered research grants or contracts in order to provide essential services related to the research.
Postdoctoral Fellow	Individuals who have received a doctoral degree (or equivalent) and are engaged in a temporary and defined period of mentored, advanced training to enhance the professional skills needed to pursue their own chosen career path. Their sponsored project responsibilities can range from lab work to data analysis. Postdoctoral fellows are not Yale employees. They may be funded either from training grants to the University or directly from a designated sponsor.
Pre-Application	See "Letter of Intent"
Pre-Award Account	See "At Risk Account"
Predominant/Building Location	Normally the primary location of the applicant organization and/or the building where the predominance of work on a proposal will take place. If off campus, provide the name of the institution as well as the building and site. If an institutional training grant, provide the location of the principal investigator. Building location is essential for the purpose of determining and calculating F&A costs.
Primary Agency	See "Sponsor"
Principal Investigator (PI)/Project Director (PD)	The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI. Policy 1310: Principal Investigator Eligibility Requirements for Sponsored Projects At Yale in order to be a PD/PI the individual must be employed full-time by the University and hold an appointment as assistant professor, associate professor, professor, research scientist/scholar, or senior research scientist/scholar. Individuals (including Managerial and Professional staff) not meeting the criteria to be a PI may submit

	a PI Status Request (see PI Status Request).
Program Announcement (PA)	A type of funding opportunity announcement which: Identifies areas of increased priority and/or emphasis on particular funding mechanisms for a specific area of science; Usually accepted on standard receipt (postmarked) dates on an on-going basis; and Usually remains active for three years from date of release unless the announcement indicates a specific expiration date or the NIH Institute/Center (I/C) inactivates sooner. See "Funding Opportunity Announcement". View NIH Grants & Funding Standard Due Dates
Program Income	Gross Income earned by a recipient of an award that is directly generated by a supported activity or earned as a result of an award. For example, materials developed on a grant and sold during the course of the grant. The income from the sale of the materials in general would be applied to the grant offsetting the expenses incurred to create the materials. There are four alternative treatments of program income (see below) from which a sponsor may choose and may impose on the grantee. Generally, federal granting agencies apply the "additive" alternative to Institutions of Higher Education unless there is a concern with the recipient or activity and the agency wishes to impose special terms and conditions, or the program requires a different program income alternative. Sponsors may require a different use of program income if a grantee has deficient systems; if the PD/PI has a history of frequent, large annual unobligated balances on previous grants; or if the PD/PI has requested multiple extensions of the final budget period of the project period. Regardless of the alternative applied, program income may be used only for allowable costs in accordance with the applicable cost principles and the terms and conditions of the award. Each award will indicate the allowable treatment of program income. **Additive Alternative**: Added to funds committed to the project or program and used to further eligible project or program objectives. **Deductive Alternative**: Deducted from total allowable costs of the project or program to determine the net allowable costs on which the Federal share of costs will be based. **Combination Alternative**: Uses all program income up to (and including) $25,000 as specified under the additive alternative and any amount of program income exceeding $25,000 under the deductive alternative.

	Matching Alternative: Used to satisfy all or part of the non-Federal share of a project or program.
Progress Report/Technical Report	A periodic, usually annual, report written by the PI and usually submitted by Yale depending on the sponsor's requirements. This report is used by the sponsor to assess progress and, except for the final progress report of a project period, to determine whether to provide funding for the budget period subsequent to that covered by the report.
Project Period	The total time for which support of a project has been programmatically approved; however, it does not necessarily constitute a commitment by the sponsor to fund the entire period. For NIH, the total project period is comprised of the initial competitive segment, any subsequent competitive segments resulting from a renewal award(s), and extensions.
Project Role	The designated role of each individual identified in a proposal. **IRES Reference:** In IRES, the following Project Roles are available: • PD/PI • Co-PD/PI • Faculty • Post-Doctoral Fellow • Post-Doctoral Associate • Other Professional • Graduate Student • Undergraduate Student • Technician • Consultant • Other (Specify)
Proposal Title or Project Title	The full title of a proposed application. Program titles are utilized for keyword searching as well as within multiple Yale publications. It is important that this information be entered correctly into IRES. **IRES Reference:** In IRES, the field "Project Title" is equivalent to Proposal Title.
Proprietary/Privileged Information (Intellectual Property)	Applicants are discouraged from submitting information considered proprietary unless it is deemed essential for proper evaluation of the application. However, if the application contains information that the applicant organization considers to be trade secrets, information that is commercial or financial, or information that is privileged or confidential, the pages containing that information should be identified as specified in the application instructions. When such information is included in the application, it is furnished to

	the Federal government in confidence, with the understanding that the information will be used or disclosed only for evaluation of the application. The information contained in an application will be protected by the sponsor from unauthorized disclosure, consistent with the need for peer review of the application and the requirements of the FOI and Privacy Acts. However, if a grant is awarded as a result of or in connection with an application, the Federal government has the right to use or disclose the information to the extent authorized by law. This restriction does not limit the Federal government's right to use the information if it is obtained without restriction from another source. For information regarding what constitutes an invention and related questions, contact the Office of Cooperative Research at 203 436 8096 or 203-785-6209, or email ocr@yale.edu .
PubMed	Provides access to citations from biomedical literature. It includes over 17 million citations from MEDLINE and other life science journals for biomedical articles back to the 1950s, along with links to full text articles and other scientific resources. These citations are indexed with a PMCID, a series of numbers. The PMCID is the number that must be cited on applications, proposals or reports as part of compliance with NIH's Public Access Policy. Applications, proposals and reports must include evidence of compliance with the NIH Public Access Policy for all applicable papers that are authored by the Principal Investigator (PI) or arose from the PI's NIH funds.
R	
Recipient	An organization receiving financial assistance directly from an awarding agency to carry out a project or program.
Renewal (also known as Competing Continuation) Proposal	Sponsored research awards are normally broken into project periods (the full term of an award) and budget periods (annual installments). A renewal proposal requires submission of a proposal by a principal investigator (PI) to a sponsor for review and/or action to continue beyond the previously committed project period. **IRES Reference:** In IRES, "Competing Continuation" is equivalent to Renewal. Renewal is one of the selections available for the field Proposal Type.
Request for Application (RFA)	A type of funding opportunity announcement which: Identifies a more narrowly defined area for which an agency has set aside funds for awarding grants; Usually has a single receipt (received on or before) date specified in the RFA announcement; and

	Usually reviewed by a scientific review group convened by the issuing awarding agency. See “Funding Opportunity Announcement”
Request for Proposal (RFP)	A type of funding announcement opportunity which Solicits contract proposals. An RFP usually has one receipt date, as specified in the RFP solicitation. See “Funding Opportunity Announcement”
Request for Quote (RFQ)	See “Funding Opportunity Announcement”
Research	A systematic investigation including design, development, systems or methods, improvement of prototypes, new processes, testing and evaluation, designed to develop or contribute to generalizable knowledge. Research may include patient-oriented research, including epidemiologic and behavioral studies, outcomes research, and health services research conducted with human subjects (or on material of human origin such as tissues, specimens, and cognitive phenomena. Clinical trials though considered to be research are identified separately in IRES as “clinical trial”. See “Clinical Trials”. **IRES Reference:** When using IRES Proposal Tracking (PT) “Research” is used as one of the selections for the field Program Type. The selection of “Research” would mean that the proposal is in support of basic research.
Research Misconduct	Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results are actions considered to be research misconduct. Each is defined as follows: • **Fabrication** is making up data or results and recording or reporting them. • **Falsification** is manipulating research materials, equipment, or processes, or changing or omitting data or results such that research is not accurately represented in the research record. • **Plagiarism** is the appropriation of another person’s ideas, • processes, results, or words without giving appropriate credit. **Note:** Research misconduct does not include honest error or honest differences of opinion. In order for Yale to be eligible for PHS funding it had to establish an assurance with the Department of Health and Human Services’ Office of Research Integrity (ORI) stating that Yale has developed and will comply with an administrative process for responding to allegations of research misconduct in PHS-supported research that complies with the PHS regulation. Yale maintains its assurance by filing the Annual Report on Possible Research Misconduct.

	Some PHS sponsors require the date Yale filed its misconduct in science assurance with ORI. **The original date was 03/06/1996.** On an annual basis, Yale is required to file a Misconduct Assurance Report. Visit the OSP Resources > Frequently Needed Yale Facts website to view the most current annual report date. Yale's policy addressing Academic Misconduct can be viewed on the Provost's website: Dealing with Allegations of Academic Misconduct.
Responsible Individuals	Both the Public Health Service and the National Science Foundation (as do some non-federal sponsors) have a conflict of interest disclosure requirement. Therefore, at the time of proposal submission, PIs are required to identify all individuals who they consider to be responsible for the conduct, design, or reporting of the proposed research. **Note:** A PI may identify someone as a Responsible Individual who is not considered Senior/Key Personnel. See "Senior/Key Personnel" and "Conflict of Interest"
Responsible Personnel	Individuals identified by the PI as having the responsibility for the design, conduct, or reporting of the research. See "Senior/Key Personnel"
Resubmission	An application resubmitted to a sponsor after an applicant who did not succeed in getting funded, revises it and resubmits. A resubmission may be a previously submitted new or competing continuation application. Additional details on resubmission policies can be found on individual sponsor websites. The NIH will accept only a single Amendment (A1) to the original application (called a resubmission application). **IRES Reference:** When using IRES Proposal Tracking (PT), "Resubmission" is one of the selections available for the field Proposal Type.
Room #	The room number of the building location where the predominance of the work will take place.
S	
Salary Over the Cap	Salaries of individuals identified in a proposal with an institutional base salary that exceeds a sponsor-imposed **salary cap** (e.g., the National Institutes of Health legislatively mandated cap, American Cancer Society) must be identified and must be accounted for. Additional information: • Policy 1306 Cost Sharing on Sponsored Projects • Procedure 1315 PR.03 Salaries Above a Sponsor Imposed Rate Cap

	and Other Program Salary Limitations • See “Cost Sharing”
Scope of Work	The aims, objectives, and purposes of a proposal; as well as the methodology, approach, analyses or other activities; and the tools, technologies, and timeframes needed to meet the objectives of an award. This includes the research or training plan included with the original application, along with any approved modifications.
Senior/Key Personnel	All individuals who contribute in a substantive, measurable way to the scientific development or execution of a sponsored award, whether or not salaries are requested. Will usually be the principal investigator and/or individuals determined to be “responsible” by the principal investigator.
Short Title	The short title, limited to 30 characters, is an abbreviated title of a project as determined by the Principal Investigator in order to better manage his/her awards.
sIRB (Single Institutional Review Board): NIH Policy	The National Institutes of Health (NIH) Policy on the *Use of a Single Institutional Review Board of Record for Multi-Site Research* establishes the expectation that all sites participating in multi-site studies involving non-exempt human subjects research funded by the NIH will use a single Institutional Review Board (sIRB), identified by the grantee at the time of proposal submission, to conduct the ethical review required by 45 CFR Part 46. This policy is intended to enhance and streamline the process of IRB review and reduce inefficiencies so that research can proceed as expeditiously as possible without compromising ethical principles and protections for human research participants. Additional resources • NIH sIRB Policy • sIRB Costs
Sponsor	The name of the agency or entity that will be providing funds directly to Yale. If Yale University is a subawardee/subrecipient on a proposal from another institution, the name of that institution should be identified as the sponsor and the sponsor of the award to that institution is considered the primary agency. See the list of federal sponsor information on the last page of this document.
Sponsor deadline	The date by which a proposal must be submitted to a sponsorin order to be considered for funding. The date usually can be found within the application guidelines for a particular program.

Sponsor ID	Usually the sponsor's funding opportunity number, if applicable. It is extremely important that this data element be entered in IRES to assist in proposal tracking.
Standard Form 424 (SF424) Series Forms	When submitting a proposal/application via Grants.gov the standard government-wide grant application forms must be used. The series of forms include: • SF-424 (Application for federal Assistance cover page) • SF-424A (Budget Information Non-Construction Programs) • SF-424B (Assurances Non-Construction Programs • SF-424C (Budget Information Construction Programs) • SF-424D (Assurances Construction Programs). In addition, named attachments including Project Narrative and Budget Narrative may be included.
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. A stipend is not considered compensation for the services expected of an employee. View NIH stipend levels notice: NOT-OD-20-070.
Subaward/Subcontract/Subgrant	A legal instrument by which a recipient of an award provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant/contract-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include the procurement of property or services needed to carry out the project or program. The term does include consortium agreements.
Subprojects	A Yale portion of a project within an overall Yale project. Large program project grants or center grants will have multiple subprojects budgeted and identified. Subprojects should not be confused with a subaward (see "subaward"). However, a subaward issued to Yale may have multiple subprojects at Yale with multiple Yale PIs in order to complete the scope of work identified in the subaward. **IRES Reference:** When using IRES Proposal Development (PD) subprojects are a component of the budget.
Subrecipient (also known as "Subawardee" or "Subgrantee")	The legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided.
Summer Month	See "Person Months"

Supplement (Proposal)	A formal request for additional funds either for a current operating year of a sponsored award or for a future year. A formal request for supplemental funding may be administratively approved by the sponsor or may be subject to a peer review. **IRES Reference:** When using IRES Proposal Tracking (PT), "Supplement" is one of the selections available for the field Proposal Type.
System for Award Management (SAM)	The System for Award Management (SAM) combines federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. This consolidation includes the functionality from the following systems: • Central Contractor Registry (CCR) • Federal Agency Registration (Federer) • Online Representations and Certifications Application • Excluded Parties List System (EPLS) SAM houses information on all federal grant programs available to state and local governments, federally recognized Indian tribal governments, territories and possessions of the United States, domestic, public, quasi-public and private profit and nonprofit organizations and institutions, specialized groups, and individuals. The overarching benefits of SAM include streamlined and integrated processes, elimination of data redundancies, and reduced costs while providing improved capability.
T	
Total Professional Effort (VACHS/Yale Joint Appointments)	Investigators with joint appointments with the Veterans Affairs Connecticut Healthcare System (VACHS) and Yale must have a valid Memorandum of Understanding (MOU) that specifies (at both the Yale and VACHS) the title of the investigator's appointment, distribution of compensation, the responsibilities of the proposed investigator, and the percentage of effort available for research at each institution. The MOU must be signed by the appropriate officials at Yale (DBO and OSP) and VACHS and must be updated with each significant change of the investigator's responsibilities or distribution of effort and, without a significant change, not less than annually. The joint VACHS/Yale appointment of the investigator constitutes 100 percent of his or her ***total professional responsibilities and identified in the form of effort***. However, NIH will recognize such a joint appointment only when a university and an affiliated VA hospital are the parties involved. A grant application from Yale may request the university's share of an investigator's salary in proportion to the effort devoted to the research project. The institutional base salary as contained in the

	individual's university appointment determines the base for computing that request. The signature of the AOR of the submitting university on an application to NIH that includes such an arrangement certifies that: 1. the individual whose salary is included in the application serves under a joint appointment documented in a formal MOU between the Yale and VACHS; and 2. there is no possibility of dual compensation for the same work or of an actual or apparent conflict of interest. Under the above-described arrangement, there is no involvement of a VA-affiliated non-profit research corporation, which is eligible to apply for and receive NIH grants in its own right as a non-profit organization. The limitations on the payment of Federal salaries apply.
Training Grants	Awards designed to support the research training of scientists for careers in the biomedical and behavioral sciences, as well as help professional schools to establish, expand, or improve programs of continuing professional education. Training awards may be either an institutional training grant or individual fellowship. **IRES Reference:** When using the IRES Proposal Tracking (PT) module, "Training" is used as one of the selections for the field Program Type.
Transfer	An application or award that is being transferred to another institution or from another institution to Yale.
Tuition and Fees	An allowable graduate student cost on institutional training grants. View NIH Institutional Training Grant information.
V	
VA Memorandum of Understanding (VA MOU)	Do any of the individuals expected to participate in the research have a Yale/VA joint appointment? If so, a Memorandum of Understanding (MOU) must exist between Yale and the VA for that individual. The purpose of the MOU is for the two organizations to agree to the time committed to Yale supported research. A fully executed MOU is **required** by the NIH at the time of proposal submission for each individual having a joint appointment and included in the NIH proposal. Yale policy requires that a current MOU must be in place prior to the submission of any sponsored proposals (including Federal and non-Federal grants, contracts, cooperative agreements, clinical trials, etc.). The MOU must be renewed/updated not less than annually, even if there is no significant change in the individual's responsibilities or distribution of effort. In addition, MOUs must be updated whenever there is a significant change (25% or greater) in the individual's responsibilities or distribution of research effort as reported on the

	MOU. Additional information: • Guide 1411 GD.01 VA Memorandum of Understanding Requirements • Form 1411 FR.01 Memorandum of Understanding
Voluntary Committed Cost Sharing	See “Cost Sharing”
Voluntary Uncommitted Cost Sharing	See “Cost Sharing”
Veterans Affairs Connecticut Healthcare System (VACHS)	A location where sponsored awards to Yale may be performed by faculty holding a joint appointment with the VA and Yale. Sponsored research conducted at the VA by a faculty member with a joint appointment must have a Memorandum of Understanding (MOU) in place. See “VA Memorandum of Understanding”

Federal sponsor information: grant opportunities, terms and conditions, guides and handbooks:

- Air Force – Office of Scientific Research
- Army Research Office
- Department of Commerce
- Department of Education
- Department of Energy
- Environmental Protection Agency
- Office of Naval Research
- National Aeronautics and Space Administration
- National Endowment for the Arts
- National Endowment for the Humanities
- National Institutes of Health
- National Institutes of Health: Information for Research Administrators
- National Oceanic and Atmospheric Administration
- National Science Foundation