Coral Research & Development Accelerator Platform

Award Terms and Conditions (Award Manual)

Schedule C

Revision: 1
Effective date: August 2022

Foreword

The Global Coral Reef R&D Accelerator Platform (CORDAP) Award General Terms and Conditions (also known as "Manual") is a consolidated source of information for post-award management and monitoring of CORDAP-funded and administered, research funding programs (hereafter, CORDAP Awards). Unless specifically stated otherwise, these guidelines apply to all CORDAP Awards. Each Lead Investigator (PI, or Awardee), Co-Investigator and unfunded-collaborator of CORDAP Awards is responsible for adhering to the procedures, guidelines, terms and conditions contained in it.

Manual Organization

The Manual is composed of seven parts:

Part I. CORDAP
Introduction to CORDAP's function, mission and strategic goals.

Part II. Responsibilities and Obligations
Responsibilities and obligations of awardee, Co-Investigator, unfunded-collaborators,and CORDAP-Platform Central Node.

Part III. CORDAP Awards
Overview of applicable award terms and conditions.

Part IV. CORDAP Award Monitoring Procedures and Guidelines
Guidance on notification and prior approval requirements, expanded authorities, asset management, procurement, reporting requirements, suspension and termination, and award close-out requirements.

Part V. CORDAP Financial Monitoring Procedures and Guidelines
Financial requirements, such as financial management standards, funding mechanisms, currency exchange rates and conversion, cost principles, program income, in-kind and cash contributions, and other financial considerations of CORDAP Awards.

Part VI. Other Award Considerations
Guidance and considerations on the management of data and research results, intellectual property, confidentiality, publications and publicity, research ethics, conflict of interest, research misconduct and safety, government permits, oversight and enforcement, records retention, resolution of disputes, and governing law.

Part VII. CORDAP Reference Information
Appendix A – Guidelines for the Allowability of Costs
Appendix B – Cost Share (Cash and In-Kind Contributions)
Appendix C – Definitions Applicable to CORDAP Research

Terms in the Manual have the meaning given to them in Appendix C - Definitions Applicable to CORDAP

Research.All dates and periods of time in the Manual refer to the Gregorian calendar.

Unless the context otherwise clearly indicates, words used in the singular include the plural and the plural includes the singular.

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Part I. The Global Coral Reef R&D Accelerator Platform (CORDAP)

A. Introduction

The Global Coral Reef R&D Accelerator Platform (CORDAP) supports the coral research and development community from ideas to final proof-of-concept development and testing.

- CORDAP Platform Central Node (PCN) provides overall administrative support to CORDAP, prepares calls, manages the review process, and manages the funds and grant agreements.
- CORDAP PCN is hosted by King Abdullah University of Science and Technology (KAUST). KAUST Research Services, Finance and Legal supports CORDAP PCN activities including contract, finance and grant management audit, and post award support.

CORDAP PCN provides the official organizational framework for CORDAP-funded competitive grant awards (CORDAP Awards). CORDAP PCN works to ensure the scientific integrity, accountability, and effective stewardship of CORDAP's portfolio of awards.

B. CORDAP Mission and Strategic Goals

The Coral Research & Development Accelerator Platform (CORDAP) was launched in 2020 by 17 G20 nations to accelerate global research and development of coral reef restoration and conservation to secure a future for corals and reefs in the face of climate change and other pressures.

By bringing together the best minds worldwide in a transdisciplinary approach, CORDAP will advance the next generation of science and technology needed to improve the survival, conservation, resilience, adaptation, and restoration of both warm-water and deep, cold-water coral reefs.

C. Points of Contact

All queries related to CORDAP funding should be addressed to: funding@cordap.org

Part II. Responsibilities and Obligations

A. Awardee's Obligations

Terms and conditions in the Manual are applicable to all of the following parties, unless otherwise specified: Awardee (Principal Investigator, Lead Investigator, or Grantee), Co-Investigator, and unfunded-collaborator. CORDAP Investigators must perform a substantive role in the conduct of the approved activities and not serve merely as a conduit of funds to another party. Awardee is responsible for directing the post-award technical, administrative, and financial aspects of the award. Awardee is responsible for ensuring that each expenditure and action, affecting the award, is documented with sufficient internal controls procedures in place.

B. CORDAP-Platform Central Node Responsibilities

CORDAP PCN, the Authorized Institutional Representative (AIR) on behalf of CORDAP under CORDAP Awards, handles post-award management, contractual negotiations, and relationships with each Awardee.

Part III. CORDAP Awards

CORDAP Awards are made to a single CORDAP Awardee (i.e., the CORDAP PI). One or more external organizations, other than the CORDAP Awardee, may carry out part of the approved activities as Co-Investigators and/or Unfunded-Collaborators.

A. Acceptance of Awards

When the CORDAP Awardee accepts a CORDAP award, he/she agrees to adhere to the award's terms and conditions and assures the following:

1. Accept full responsibility for the performance and conduct of the award and approved activities that are supported by this award, sound stewardship of award funds, and adherence to all the award terms and condition
2. Comply with all policies and procedures and with the terms and conditions of the award.
3. Have no conflicts of interest, including financial conflicts of interest, or conflicts of commitment with the award
4. Carry out award activities described in the final proposal and ensure proper planning, management and completion of the award within the award term.

Co-Investigator's and unfunded-collaborator's responsibilities are further detailed in a Consortium Agreement and/or other applicable agreement. Once the award is accepted and/or a Consortium Agreement is executed, CORDAP has the right to impose corrective action, suspend, discontinue, and terminate the entire award or any portion thereof at any time[1].

B. Assignments

Awardee may not assign any rights/obligations to a CORDAP Award to another party without prior written consent of CORDAP-PCN. Assistance provided to and under the direction and control of the key personnel by students and laboratory personnel is not considered to be an assignment, e.g., any subcontracting not approved in the final proposal.

C. Award Documents

The Award Documents include the applicable Call for Proposals, Award Notification, Consortium Agreement and a series of schedules with information on the awardee, participants in the award, approved activities, total award amount, award budget, award start and end dates, terms and conditions of the award, and other practical considerations for managing the award (collectively, "Award Documents").

1. Schedules

General terms and conditions applicable to the award are contained in the Award Documents, including the following schedules:

TABLE OF SCHEDULES

Schedules	Award Documents
Schedule A	Final Proposal
Schedule B	Award Budget
Schedule C	Award Terms and Conditions (Manual)
Schedule D	Award Schedule of Reports
Schedule E	Award Financial Report Template
Schedule F	Award Progress Report Template

[1] See Manual, Part IV, Section I, Suspension and Termination.

See also, Manual, Appendix C, Definitions Applicable to CORDAP Research, for schedule descriptions.

2. Hierarchy of Authority

In the event of any inconsistencies among the Award Documents, awardee, award partners and collaborators must comply with the Award Documents in the following order of precedence:

1. Award Notification
2. The applicable Call for Proposals
3. The Consortium Agreement
4. The Award Terms and Conditions (Schedule C) and as amended ("Manual")
5. Award Documents, including all schedules, which are incorporated by reference therein except Schedule C, mentioned above

Awardee, Co-Investigators, and collaborators must comply with all applicable governmental laws and regulations and all current and future respective institutional policies and procedures. These laws, regulations, policies and procedures, are therefore Award Documents.

3. Amendments

CORDAP and/or CORDAP PCN may, at any time, revise or add to its policies, procedures, and Award Documents, including those contained in the Manual. Such changes will be in writing and are incorporated as amendments to the Award Notification. Any such amendment will take effect and be applicable to the award and/or project on the effective date stated in the written notice. Instances in which a Co-Investigator and collaborators are unable to comply with certain revised terms or conditions will be assessed on a case-by-case basis.

D. Award Term

a. An award gives rights to the awardee to commit and expend funds for allowable costs[2] in support of the award, up to the total award amount and in periodic allocations specified in the award budget during the award term.
b. The project term of a Co-Investigator and collaborator must never extend beyond the award term.
c. Costs cannot be committed to the award and/or project prior to the start date or after the end date.
d. The award start date cannot be changed once an award is accepted.
e. If allowed, as per Award Documents, the award end date may be changed as a result of a prior approval request for No-Cost-Extension or Funded-Extension.

E. Co-Investigator and Unfunded-Collaborator

When engaging with external organizations, the CORDAP awardee is responsible for optimizing benefits and minimizing risks to CORDAP. Collaborating organizations can be either unfunded (Co-Investigator, or Unfunded-Collaborator) or funded (Co-Investigator) by CORDAP, depending on what is allowed under the call for proposals. Co-Investigators and collaborators must be identified and their activities must be detailed. CORDAP-PCN approval will be required if, during the award term, an awardee plans to carry out additional or alternative collaborations that would result in a change in the scope, objectives or direction of the approved activities of the award and/or project. Any addition of an unfunded-collaborator that does not change the scope, objectives of direction of the project does not require prior approval. Documents certified and submitted by Co-Investigator and/or unfunded-collaborator, and approved by CORDAP, are binding[3].

1. Ensuring Appropriate Classification of Co-Investigators vs. Contracts

Applicants are responsible for assessing the relationship of each proposed Co-Investigator or contractor (also known as service provided/vendor) to the project, and ultimately for making determinations of the appropriate legal relationships under each agreement it makes for the disbursement of CORDAP award funds during the award and post-award stages.

[2] See Manual, Part V, Section D, Cost Principles and Other Financial Considerations.
[3] i.e., statements of intent to collaborate, statements of work, approved project budgets.

2. Administrative and Other Requirements

a. Consortium Agreement or Other Documentation Required for Co-Investigators

1. The nature of the relationship and allocation of responsibilities and obligations between each Awardee, Co-Investigator, and unfunded-collaborator should be made in writing to facilitate accomplishment of these goals. A Consortium Agreement is required for each award entailing more than one participating institution or entity and signed by the AIRs for all parties to the agreement.
2. CORDAP-PCN is responsible for determining the appropriate legal instrument(s) and/or other documentation that is needed to satisfy the conditions stated above for Co-Investigator and/or unfunded- collaborator and for negotiating all such agreements and securing the necessary documentation.

Applicants must submit a copy of executed agreements to CORDAP-PCN upon request and CORDAP-PCN is responsible for keeping records of all executed agreements.

The provisions of section two (2) generally do not apply to:

a. Contractors that are providing routine goods and services;
b. Co-sponsors of conferences and workshops; and
c. Speakers and attendees at conferences and workshops.

b. Co-Investigator and Unfunded-Collaborator Monitoring

CORDAP Awardee is responsible for securing compliance with all obligations under the Award Documents that are applicable to Co-Investigator and Unfunded-Collaborator. In general, the requirements applying to the awardee also apply to the Co-Investigator and Unfunded-Collaborator.

Co-Investigator and/or Unfunded-Collaborator are responsible for managing and monitoring the Award and/or project research activities supported by the project funds, which are carried out by their key personnel, lower-tier collaborators, and contracted to third parties. This includes ensuring compliance with the Manual Part V, Section D, Cost Principles and Other Financial Considerations and that the Co-Investigator's final invoice(s) and required periodic and final reports are submitted to awardee in sufficient time for collection, review and incorporation of Unfunded-Collaborator's and Co-Investigator's activities and results into awardee's reports to CORDAP.

Part IV. CORDAP Award Monitoring Procedures and Guidelines

A. Notification Requirements

1. Notification Actions

Actions that require Awardees, Co-Investigators, and unfunded-Collaborators to notify CORDAP of their occurrence during an award term include but are not limited to the following:

a. Any significant findings, innovations, or events of particular interest.
b. A problem, delay, or adverse condition that will or may materially affect the project, its objectives, or time schedules.
c. Sabbatical leave, dismissal, suspension, death or other departure of any key personnel.

2. Notice and Acknowledgment

Awardee must send written notice to CORDAP upon the occurrence of any action requiring notification under the award terms and conditions as stated in the AwardsDocuments[4].

B. Prior Approvals

1. Prior Approval Actions

Prior approval of certain technical, administrative and/or financial modifications to the Award Documents is necessary because of the potential significant and material impact of such modifications on an award and/or project. Actions that require prior approval from CORDAP-that are applicable to each award and/or project include but are not limited to the actions specified in the Manual, Part IV, Section D, and CORDAP-Prior Approval Requirements.

The approved statement of work (award and/or project activities) is the programmatic, technical and financial representation of the project. None of the following shall occur without the prior written approval of CORDAP PCN:

a. Deviation from the requirements of the Award Documents;
b. Any significant change in scope and/or objectives of the project;
c. The absence for more than three consecutive months or, change in any one of the awardee's and/or Co-Investigator's key personnel;
d. The transfer or contracting out of any work or research under the project to a third party through a subcontract or collaboration agreement;
e. Re-budgeting from or to any budget category in an amount above 25% per category, per project period, and upon justification, unless otherwise restricted by Award Documents' requirements;

2. Expanded Authority

Generally, prior approval means written prior approval from CORDAP-PCN behalf of CORDAP as the grantor. No re-delegation of expanded authority is allowed.

[4] See Manual, Part III, Section C, Award Documents.

3. Request

a. Requests for Prior Approval (RPAs) must be submitted as follows:
   1. In writing via email, adhering to the submission of the information required by the specific RPA.
   2. In advance of the transaction (not after-the-fact) and in sufficient time to allow for proper review and decision on the request by CORDAP PCN (responsible unit), depending on the nature of the request.
b. Awardees and Co-Investigators are cautioned not to take action, make new commitments or incur new expenditures until they have received the official decision on the prior approval request by the appropriate office.
c. When a revised award and/or project budget is required to be submitted in support of a RPA, it must be in the format required by the responsible office.
d. Awardees and Co-Investigators should have a contingency plan in case the RPA is not approved.
e. Unless waived, in writing, by the responsible office, outstanding reports must be submitted along with the RPA.

4. Review

CORDAP's responsible unit will review all RPAs in light of the then existing facts and circumstances, which include butare not limited to the following:

a. CORDAP research priorities.
b. Available CORDAP funding.
c. The timing of the request in relationship to the award end date.
d. The overall objectives in the final proposal.
e. The scientific and technological progress and financial performance of the award.
f. Awardee's compliance with award terms and conditions, including the quality and submission of required reports.
g. The primary performance site where the work will be performed.
h. Any new or significant changes in research ethics compliance protocols and approval requirements.
i. Evidence of past and optimization of future collaborative relationships and activities.
j. The impact on the approved activities, new objectives, the research field, inventions and discoveries, etc., if the request is denied.
k. Changes to the award budget, including whether there will be scientific/technical benefits to be gained by the reallocation of the award funds.
l. Any other relevant documentation and/or justification that CORDAP deems appropriate in order for an informed and sound decision to be made.

5. Decision

After receipt of all required documentation in support of the RPA, CORDAP will typically make one of the following decisions:

a. Approved as requested, or in part;
b. Conditionally approved, pending submission of additional required documentation (e.g., outstanding reports or revised award and/or project budget); or
c. Denied, with the possible appropriate consequences of denial including suspension, discontinuance, or termination by CORDAP of the award and/or project, in accordance with the terms and conditions of the award.

C. Guidance on Specific Actions for Prior Approvals

1. Deviation from or for Waiver of Award Terms and Conditions, Restrictions or Limitations in Award Documents, or Procedures, or Guidelines

a. Request

RPAs for deviation from or for waiver of award terms and conditions, restrictions or limitations in the Award Documents, or procedures, or guidelines must be submitted in advance to CORDAP and include the following:

1. Written justification for the deviation or waiver.
2. State the rationale for the deviation request and the unusual circumstances that justify it.
3. Address why the deviation is necessary to accomplish the project goals or financial stewardship of the project, or how it will advance CORDAP's mission and coral restoration.

b. Review

See review criteria for RPAs stated in Section B.4.

2. No-Cost Extension

A No-Cost Extension (NCE) extends the award term beyond the original awardend date to complete award and/or project activities without additional CORDAP funds. CORDAP, at its discretion, may approve in writing a request by the awardee for an NCE.

Requests for an NCE must include the following:

1. The requested duration of the NCE beyond the award end date.
2. A written justification based on the scientific/technical need to extend the award term.
3. The following financial information: (i) award expenditures to date and (ii) projected expenditures for extension period (if requested).

The mere existence of award funds remaining at the end of the award is not sufficient justification, by itself, for approval of an NCE request.

a. Review

In addition to the review criteria for RPAs stated in Section B.4, after receiving all required documentation, RPAs for NCE will be reviewed with the following considerations:

1. The end of the award term is approaching.
2. No term or condition of the award explicitly prohibits the extension.
3. No additional funds are required from CORDAP.
4. There is a scientific/technical need to continue originally approved activities.
5. The approved activities will not change.
6. Additional time beyond the established award term is required to ensure adequate completion of the approved activities.

3. Change in Scope, Objectives, or Direction

In general, PIs and Co-Is are free to manage their awards/projects to best achieve the objectives, including alternative methodologies or approaches. Changes to the following, however, require the submission of an RPA[5]:

1. The scope of the project's scientific and technological topics under study.
2. The objectives stated in the final proposal.
3. The direction of the project that would have impact on the project outcomes stated in the final proposal.

a. Request

RPAs to change the scope, objectives or direction must include the following:

1. A bulleted list of the approved award and/or project objectives.
2. A description of the proposed change(s).
3. A written justification for the change, including the following:
    a. The reasons for the change(s).
    b. The primary performance site for the proposed work.
    c. The impact of the proposed change(s) on:
        i. achievement of the approved objectives and, if applicable, on achievement of new objectives; and
        ii. key personnel.
4. Unless waived by the responsible office, a proposed revised award budget.

b. Review

The RPA will be reviewed in light of the review criteria stated in Section B.4.

[5] See Manual, Part IV, Section D, CORDAP-Prior Approval Requirements, and Section E, CORDAP Expanded Authorities (EA) for Prior Approval and Notification Requirements

4. Change in CORDAP PI or Co-I

CORDAP's decision to fund a proposed award and/or project is based, in large part, upon its evaluation of the qualifications and commitment of the named PI and Co-I's (Co-Investigators and/or unfunded-collaborators). Once funded, CORDAP expects the key personnel to provide the level of effort that was stated in the final proposal andaward budget throughout the award term. Sometimes during an award and/or project, the need may arise to request a change of the PI or Co-I. RPAs to change a CORDAP PI or Co-I are required in the following situations:

a. Need to substitute a CORDAP PI or Co-I for relinquishment of active direction of an award/ project.
b. Departure of any CORDAP PI or Co-I from his/her respective institution.
c. Absence of a CORDAP PI or Co-I from his/her respective institution for more than 90 days.
d. Reduction of 25% or more of committed effort by the CORDAP PI or Co-I devoted to a project.

When the CORDAP PI leaves his/her organization for another organization, prior approval must be sought for the CORDAP Award to be transferred or assigned to the departing PI's new organization.

a. Request

RPAs to change the CORDAP PI and/or Co-Investigator's Co-I should be submitted to CORDAP-PCN at least thirty (30) days in advance of the anticipated change and must include the following:

1. CV of the proposed replacement.
2. A letter singed from the AIR of the PI or Co-Investigator endorsing the replacement of the PI or Co-Investigator.
3. A written justification explaining why the award and/or project should continue, including the impact on the project scope, objectives or direction, award budget, and post-doctoral fellows and students.
4. A proposed revised award budget.

b. Review

In addition to the review criteria for RPAs stated in Section B.4, RPAs to change the CORDAP PI or Co-I will bereviewed based on the following criteria:

1. The qualifications and commitment of the proposed replacements.
2. The infusion of contributions not already mentioned in the award budget.
3. The infusion of new collaborators not already mentioned in the final proposal.
4. The strength of the justification for why the project should continue.

5. Transfer or Contracting of Technical Work to a Third Party Not Included in the Final Proposal

The intent to contract or otherwise transfer project work to a third-party organization should be disclosed in the proposal at submission. After an award has been issued, if it becomes necessary to introduce new Co-Investigator(s)and/or unfunded-collaborator(s) to the award and/or project, or otherwise contract or transfer a portion of the scientific/technical work to a third party not included in the final proposal, awardee must submit a RPA to the responsible office[6].

a. Request

RPAs must be submitted, in writing, to CORDAP-PCN, as soon as the proposed third party has been identified and always in advance of engaging the third party covered by this section. The RPA must address thefollowing:

1. The reasons for the request; and
2. The reason for selecting the third party, including the following
    a. The proposed statement of work with deliverables and timeframes; and
    b. A description of the third party's qualifications/expertise he/she will bring to the project.
3. A Statement of Intent to Collaborate, either as Co-Investigator and/or unfunded-collaborator; and
4. A proposed revised award budget, which includes a proposed project budget for the third party.

[6] See Manual, Part IV, Section D, CORDAP-Prior Approval Requirements, and Section E, CORDAP Expanded Authorities (EA) for Prior Approval and Notification Requirements.

b. Review

In addition to the review criteria for RPAs stated in Section B.4, CORDAP-PCN will examinethe following:

1. The qualifications of the proposed third party and the nature of the work to be undertaken;
2. The reasons for requesting the third party, post-award;
3. The infusion of contributions by the third party; and
4. The reasonableness of the proposed project budget.

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D. CORDAP-Prior Approval Requirements

For any RPA requiring CORDAP approval, Awardee, Co-Investigator, or Unfunded- Collaborator must submit the required documentation to CORDAP-PCN for review.

F. Property Management Standards

These standards apply to CORDAP award-funded assets and consumables.

1. Acquisition and Tagging

a. Assets owned by Awardee, or Co-Investigator, but purchased using CORDAP award funds, must be tagged to indicate that they have been purchased using CORDAP funds in the institution's records.

2. Ownership and Use

This section applies to CORDAP Awardee and Co-Investigator, including any lower-tier Co-Investigator.

Acquisition costs in USD	Assets/consumables purchased with CORDAP funds, or in-kind and/or cash contribution of Co-Investigator and/or Unfunded-Collaborator, or other source of funding.
=/> $5,000 but <$80,000 with useful life of one year or more	Title vested with PI, or Co-Investigator at acquisition
$80,000 or more and a useful life of one year or more	If allowed, ownership will be dictated by the Award Documents or the Consortium Agreement

Deviations from these ownership designations must be approved, in writing, by CORDAP.

As long as CORDAP continues to support the award and/or project for which the asset was purchased, the awardee must use the asset on the award, unless it is no longer needed.

Any income from receipt of fees during the award term on CORDAP funded assets is program income and must be treated as such for the duration of theaward[7].

3. Maintenance, Insurance, Property Inventory and Disposition of Funded Assets

CORDAP Awardee and Co-Investigators must implement and comply with suitable maintenance procedures to keep award-funded assets in good condition and at their optimum utilization. Awardee and Co-Investigators must have a property management system that ensures, at a minimum, sufficient safeguards against the loss, damage, or theft of award-funded assets.

[7] See also, Manual, Part V, Section D, Cost Principles and Other Financial Considerations, and D.2, Program Income.

G. Procurement of Goods and Services

PIs and Co-Investigators must comply with their own institutional policies and procedures relating to procurement of goods and services. PIs and Co-Investigators are responsible for all contractual, financial, and administrative issues arising out of procurements they make under the award and/or project

H. Reporting Requirements

CORDAP requires Awardees to submit periodic reports, describing the technical and broader progress, financial expenditures, andother important results of the award and/or project.

1. Reporting Frequencies and Deadlines

a. Periodic Reports

Periodic reports provide a cumulative compilation of technical progress in comparison to the final proposal and/or project's objectives and/or cumulative actual financial expenditures, contributions and program income in comparison to the award budget for a period of time or at the end of an award. The reporting period for periodic reports is set by the Reporting and Payment Schedule in the award agreement. Periodic reports must be submitted to CORDAP-PCN within thirty (30) days after the end of the reporting period.

b. Final Reports

Final reports are required after the expiration, discontinuance or termination of an award and/or project. Final reports cumulatively summarize for the entire award term all work, expenditures, contributions, and program income[8].

Final reports must be submitted to CORDAP-PCN within ninety (90) days after the end of the award term, or as otherwise specified.

Co-Investigator reporting requirements should be outlined in the Consortium Agreements.

2. Types of Reports and Submission

a. Financial Reports

CORDAP requires Awardee to submit financial reports that are based on their official accounting records including expenditures, contributions and income.

b. Progress Reports

Progress reports help CORDAP-assess whether a particular award is progressing according to the final proposal's objectives. The CORDAP Awardee is responsible for submitting the progress reports. The progress report must reflect the awardees and Co-Investigators' efforts and must be prepared using CORDAP Templates The following information must also be included in progress reports:

i. Intellectual Property Information

Any intellectual property generated by the award, and any corresponding technology transfer arrangements executed, planned, or underway for said intellectual property must be reported. CORDAP as grantor maintains all disclosures related to intellectual property as confidential information.

ii. Periodic Effort

Acceptance of the award funds means acceptance of the effort reporting obligation and Awardee's and Co-Investigator's commitment to expend the effort proposed in the award budget.

iii. Coral Restoration Development Information

The impact of award outcomes on coral restoration, including policy development and improvement in social/environmental conditions, must be reported. Awardees must submit any other reports CORDAP may reasonably request.

[8] See also, Manual, Part IV, Section J, Award Close-out Requirements.

c. Submission of Reports

All required reports must be submitted, via CORDAP-Online grant management system.

3. Certification of Reports

By submitting award progress reports, CORDAP PI certifies that the information in each report is correct and complete. Final financial reports must be signed by the CORDAP PI and AIR.

4. Review and Decision

CORDAP-PCN monitors the technical, administrative, and financial aspects of CORDAP awards and reviews submitted reports, paying particular attention to proof of scientific and technical progress and financial management and proper handling of challenges. Reports are reviewed by CORDAP-and are either “accepted,” “accepted with condition”, or “rejected”. CORDAP may impose special conditions on the management or recommend the suspension, discontinuance or termination of an award and/or project. CORDAP reserves the right to deny or reverse any costs charged to the award that are not reasonably auditable.

I. Suspension and Termination

1. Suspension

CORDAP may, at any time, at its sole discretion, suspend activities of an award or any part thereof, during the award term by giving the awardee written notice, specifying the activities to be suspended and the effective date of the suspension (suspension notice). Awardee must cease all suspended activities on the effective date of the suspension but may continue to perform unsuspended activities, if any; the awardee must not start any new activities.

2. Termination

CORDAP, at any time, at its sole discretion, may modify, suspend, or terminate an award, in whole or in part, during the award’s term. CORDAP will provide thirty (30) days’ written notice to awardee, which will include written notice of the effective dateof termination and award close-out instructions. Awardee must cease all activities on the effective date of termination[9].

3. Reasons for Suspension or Termination

Reasons for sponsor’s decision to suspend or terminate an award or any part thereof include, but are not limited to the following:

1. Awardee’s and/or Co-Investigator’s departure or dismissal from employment with respective institution, if not replaced (with a person approved by the grantor) within two (2) months after the date ofthe first notice informing CORDAP of such departure or dismissal.
2. Awardee’s delinquency in submitting required reports.
3. Awardee does not show acceptable progress towards the objectives of the award.
4. Awardee and/or Co-Investigators do not comply with the terms and conditions of the award.
5. Awardee and/or Co-Investigators do not comply with governmental laws and regulations.
6. Awardee’s and/or Co-Investigator’s management practices fail to provide adequate stewardship of awardfunds.
7. Awardee’s and/or Co-Investigator’s research misconduct or other unethical or illegal activity by awardee’skey personnel.
8. Any other reason, at CORDAP sole discretion, that would indicate that continued funding or continuing the award would not be in the best interest of CORDAP.

[9] See also, Manual, Part IV, Section H, Reporting Requirements, and Section J, Award Close-out Requirements.

9. The awardee and/or Co-Investigators becomes insolvent, if a request/resolution is made to terminate awarded activities, if anadministrator/administrative receiver/receiver is appointed to be responsible for the whole or any part of the assets of the awardee, or if awardee makes arrangements with its creditors.

A party may suspend or terminate the agreement upon written notice to another party if such other party breaches any provision of the agreement and the breach has not been resolved (if the party is able to do so) within thirty (30) days after receipt of written notice specifying the breach.

4. Payment of Costs during Suspension or After Termination

Generally, CORDAP is not liable for any costs incurred with respect to any activities during the period of suspension or after the effective date of termination.

a. In the case of suspension, during the period of suspension, CORDAP may, at its sole discretion, agree to pay costs that cannot be canceled, avoided, mitigated, or assigned.
b. In the case of termination, CORDAP may, at its sole discretion, pay Awardee costs that are necessary, reasonable, allocable, and allowable under the award documents after the effective date of the termination if, in the determination of the CORDAP, the costs resulted from obligations that were (i) properlyincurred by the Awardee before the effective date of termination; (ii) not in anticipation of the termination; and (iii) cannot be canceled, avoided, mitigated, or assigned.
c. In no event will CORDAP reimburse or otherwise be accountable for costs in excess of the award amount.

5. Force Majeure

If the performance/obligations by either party under the award and/or project (except payment obligations) is delayed or prevented by circumstances beyond his/her reasonable control[10] and one party notifies the other party within thirty (30) days of such circumstance, that party will not be in breach of the award because of that delay in performance. However, if the delay in performance is more than ninety (90) days, the other party may terminate the award with immediate effect by giving written notice.

6. Rights Preserved

The discontinuance or termination, in whole or in part, of the award agreement will in no way prejudice the right of action of CORDAP with respect to any antecedent breach of the award terms and conditions.

7. Survival

All provisions of the award terms and conditions or the award documents that by their terms require performance survive, following discontinuance, termination or expiration of the award.

J. Award Close-out Requirements

1. Awardee's Responsibilities

Awardee and Co-Investigators must cease all spending against award funds and all project activities effective on the date stated as end date of the award in the Award Documents.

2. Final Award Close-out Notification

Upon receipt and acceptance of all the required award close-out documents and reports from the Awardee, CORDAP will issue a final award close-out notification to the awardee that alladministrative actions have been completed, all project deliverables have been received, all final payments have been made in full and all CORDAP obligations have been settled. The close-out notification may stipulate that awardee remains obligated to satisfy any compliance requirements that extend beyond the award term, in accordance with the award terms and conditions.

3. After Award Close-out

The close-out of an award does not cancel any of the following awardee and CO-Investigator obligations:

a. Record retention requirements; or

[10] Unusual and natural consequences of external forces (e.g., but not limited to, explosions, fire, earthquakes, droughts, tidal waves and major floods, or hostilities [including war and civil war], acts of foreign enemies, military bodies or coup d'état).

b. Intellectual Property obligations; or
c. Confidentiality obligations; or
d. Financial accountability and audit requirements, including CORDAP's right to disallow costs based on a post-close-out audit or other review of the award and to recover from awardees and Co-Investigators awardfunds that are due as late corrections, refunds, adjustments, omissions and other transactions.

Part V. CORDAP Financial Monitoring Procedures and Guidelines

A. Financial Management Standards

1. Awardee must keep methodical and complete records on the receipt and expenditure of all award funds, authorizations, obligations, unobligated balances, assets, outlays, income and interest and these records must be retained in accordance with the Manual, Part VI, Section I, Records Retention Requirements.
2. Awardee must account for its costs of performance, in accordance with the Award Documents.
3. Awardee must demonstrate effective control over and accountability for all award funds and assets purchased using award funds. Awardee must adequately safeguard assets and ensure they are used exclusively for the award.
4. CORDAP, or its authorized representatives, may at all reasonable times with reasonable advance notice:conduct audits of the facilities where research or activities related to the project are being conducted; meet with the research team; and view any materials, equipment or supplies purchased from project funds. Any costs incurred by CORDAP in connection with such visits and audits shall be at CORDAP's expense. Site visits and audits will be conducted during normal business hours and scheduled in co- operation with awardee's and Co-Investigator's. Failure to provide access will constitute breach ofthe requirements of the Award Documents.
5. CORDAP, or its authorized representatives, may request financial or other documentation in advance of an award starting to ensure solvency of the institution.

B. Funding Mechanism

The funding mechanism to Awardees is determined by CORDAP. It typically follows a fixed lump sum payment schedule based on the approved budget, and upon receipt and acceptance by the awardee of all required reports and deliverables for the reporting period as per the Award Agreement. The final financial report is based on actual cost reimbursement and will consolidate the budget for the whole project period.

C. Currency

All Budgets, awards and funding requests, payments, and financial reports must be in United States dollars ($).

D. Cost Principles and Other Financial Considerations

1. Costs

Only allowable, allocable, reasonable and necessary costs are chargeable to CORDAP funded Awards and reimbursable by CORDAP. Unallowable costs must be charged to an institutional non-award account. The list in Appendix A, General Guidelines for the Allowability of Costs, is not comprehensive and intends to cover common types of costs incurred by CORDAP awardees and Co-Investigators. The omission of a specific item of cost in Appendix Adoes not mean the cost is either allowable or unallowable. The allowability of costs should be based on how similar or related items of costs are consistently and coherently treated.

a. Applicable Award Documents

All costs must be consistent with the requirements of the Award Documents.

b. Types of Costs

1. Direct Costs
   Costs that can be identified precisely and must conform to limits/exclusions set in the call for proposals and the terms and conditions of the award.
2. Indirect Costs[11]
   Costs incurred during the award period, but which cannot be identified as being specifically related to a particular award.

[11] Indirect costs are also known as overheads and facilities & administrative (F&A) costs.

a. For awardees and Co-Investigators, indirect costs shall be calculated using the CORDAP Modified Total DirectCosts base (CORDAP MTDC).

The following direct cost categories shall be excluded from indirect cost calculation:

i. Equipment and capital expenditures over $5K,
ii. Rental costs,
iii. Student tuition fees, scholarships and fellowships, and
iv. External services.

b. PIs and Co-Investigators may charge a maximum of:

- 20% of the direct research costs if the applicant based in a low- or middle-income country
- 10% of the direct research costs if the applicant based anywhere else.

The OECD List of low and middle-income countries will be used.

These rates apply unless the applicable call for proposals specifies a different indirect cost rate or cost base, in which case the call for proposals shall take precedence.

c. Cost Principles

1. Costs can be deemed allowable costs, conditionally allowable costs, or unallowable costs as per the applicable call for proposals and/or the Manual.
2. The approval of costs in the proposal budget does not mean that the costs will be approved by CORDAP asrequested or that they are automatically reimbursable, without further CORDAP post-award scrutiny.
3. CORDAP reserves the right to deny or reverse any cost charged to an award and/or project that is deemedto be unallowable, unnecessary, and/or unreasonable, and to make any financial adjustments, including disallowing costs, to capture and recover amounts due to CORDAP.

d. Allowability of Costs

For a cost to be an allowable charge against CORDAP Awards, the cost must be allocable, reasonable, consistently treated, and necessary. See also, Manual, Appendix A, General Guidelines for the Allowability of Costs

e. Period of Availability of Funds

Only allowable costs that are obligated during the award term are allowed to be charged to an award and/or project. Costs may not be obligated after the award end date. All obligations must be liquidated within sixty (60) days after the award end date, if not otherwise stated in the call for proposals.

f. No Commingling

Award funds must not be commingled with funds from other sources, other than funds received by awardee in the form of applicable credits or program income. Applicable credits and program income are considered award funds and must be treated as such[12].

g. Cost Transfers and Accelerated and Delayed Expenditures

CORDAP assumes expenditures to be consistent with the final proposal and may question/limit expenditures that donot meet this assumption.

[12] See Manual, Part V, Section D, Cost Principles and Other Financial Considerations, Subsection *j.* Separate Accounts.

i. Accelerated and delayed expenditures

Awardee should refrain from accelerated or delayed expenditures. Management of the award in this manner may result in awardee's incapacity to implement the project within the award budget and award term. CORDAP reserves the right to request explanation from awardee regarding rate of expenditures

h. Currency Exchange Rates

For awardees and/or Co-Investigators using a currency other than US dollars, the exchange rate for establishing the awardee's or Co-Investigator's project funds shall be determined by the awardees or Co-Investigator's approved institutional USD exchange rate in existence onthe date of submission of the proposal to CORDAP "budget rate". The award budget will be set by CORDAP. The currency exchange rate used for reporting actual expenditures in all financial reports and for calculating requestsfor funds in arrears will be the official exchange rate on Oanda (http://www.oanda.com/) in existence on the first day after the end of a reporting period.

Awarded amounts will not be altered as a result of currency fluctuations.

i. Taxes

The payment of value-added tax (VAT), sales tax, and withholding tax is allowed if required under government regulations or institutional policies and procedures. If at any time any such tax that has been charged to an award becomes recoverable or is otherwise reimbursed to awardee, the awardee must return any funds recovered to CORDAP within thirty (30) days of receipt.

j. Separate Accounts

Awardees and Co-Investigators may maintain project funds in a central bank account, provided they are able to track all project funds in a separately identifiable account within their official financial system. In the event that an awardee and/or Co-Investigator is not able to provide a separately identifiable account for project funds within its financial accountingsystem, or otherwise decides not to utilize its central bank account, the awardee and/or Co-Investigator must maintain a separate bank account for the project funds.

k. Payments

Payments must be in amounts necessary to meet current award and/or project needs and aligned with satisfactory performance and accepted reporting on the approved activities under the award and any sub-projects.

1. Limitations on payments. Awardee will, in no event, retain or spend award funds for costs that are not necessary, actual, allocable, allowable, and reasonable to complete the award.
2. Reimbursements. Subject to awardee's compliance with all obligations under the award, CORDAP mustreimburse awardee for his/her actual, reasonable, necessary, allocable, consistently treated, and allowable costs of satisfactory award and/or project performance incurred during the award term.
3. Except as set forth in the award budget, each awardee, Co-Investigator, and unfunded-collaborator (if applicable), bears its own costs and expenses, including travel costs and employee compensation, inconnection with their award and/or project.

2. Program Income

a. Program Income Defined

Program Income includes, but is not limited to, gross income from:

1. Interest earned on advanced funds;
2. Currency exchange conversion gains;
3. Facility rental fees;
4. Fees for services performed;
5. Registration fees or publication sales; and
6. The sale of commodities/items produced under an award.

Program income does not include income received in connection with royalties and license fees, applicable credits or interest earned on any applicable credits, or the proceeds from the sale of award-funded equipment.

b. Use of Program Income

Program income is considered award funds and must be used as such. Program income must be used in a manner that is allocable, allowable and reasonable to the project and spent on approved activities. Costs that are unallowable on the main award budget are also unallowable when spending program income. Unless otherwise specified by CORDAP, program income is to be added to the award budget (additive method).

c. Spending Priority of Program Income

Unless otherwise specified by CORDAP policies and procedures, program income must be spent after

the contributions and main award funds.

d. Accounting for and Reporting Program Income

CORDAP at its sole discretion has the right to adjust payment disbursement based on program income. During each reporting period, awardee and Co-Investigator must report all program income, program income spent, and remainingprogram income in all financial reports.

e. Disposition of Unspent Program Income

Unless otherwise specified by CORDAP, the program income funds remaining at the end of the award term should be returned to CORDAP, along with any other unspent award funds.

Part VI. Other Award Considerations

A. Good Data Management Practices

Awardee, Co-Investigators, and unfunded-collaborators have the responsibility to protect the security, integrity and availability of award-generated data from unauthorized generation, access, modification, disclosure, transmissionor destruction. Unless otherwise stated in the Award Documents or by CORDAP policies and procedures, the CORDAP PI, Co-Investigators, and unfunded-collaborators are the data custodians for data generated or collected at their respective institutions. The data custodian has primary responsibility and accountability for classifying, collecting, using, sharing, formatting, recording, documenting, protecting, storing and archiving data generated or collected under an award.

Good Data management practices include the following:

1. Research data shall be produced using sound scientific techniques and processes;
2. Research data shall be correctly recorded (e.g., in laboratory notebooks) in accordance with good scientific practices by the people conducting the research;
3. Research data shall be examined appropriately, in accordance with good scientific practices;
4. Research data and the research results shall be stored securely and be easily accessible;
5. Data trails shall be kept to allow individuals to demonstrate easily and to reconstruct key decisions made during the research activities, presentations made about findings/conclusions reached in respect of the research; and
6. The research records shall clearly show the date of inventions.

B. Sharing and Return of Research Results

CORDAP may, at its sole discretion, require awardee, Co-Investigator, and unfunded-collaborator to execute a data sharing agreement prior to the release of any research results for publication or to any third party for the purpose of identifying ownership of the research results to be shared and the procedures to be followed. Awardee is urged to consult with their respective Technology Transfer Office about the sharing of research results prior to their release. No party to the award and/or project will transmit, assign, distribute, market, sell, rent, lease, share, or use, internally or externally, research results for any purpose without the mutual and written permission of CORDAP andawardee.

C. Intellectual Property

1. CORDAP Intellectual Property Policy applies to all IP generated from CORDAP funding.
2. Terms and conditions will be based on the type of Co-Investigator and unfunded-collaborator and on the nature of the activities.
3. Under the Consortium Agreement, the Co-Investigator must be in the position to accept the following standard terms and conditions relating to IP generated through a CORDAP-funded Award (Please refer to Appendix C, Definitions Applicable to CORDAP Research).

Some of the requirements include:

a. Reporting project IP made solely by the Co-Investigator to CORDAP.
b. Granting a free license for all commercial and non-commercial coral restoration use, including free license to any background IP the project relies on.
c. The parties will jointly own project IP that is created, conceived, or reduced to practice (a) jointly by Co-Investigator personnel and CORDAP personnel; (b) solely by Co-Investigator personnel with morethan incidental use of CORDAP's facilities; or (c) solely by CORDAP personnel with more than incidental use of Co-Investigator's facilities ("Joint IP").
d. Entering into an Intellectual Property Management Agreement with respect to joint IP.

(Note: Extensive intellectual property terms and conditions related, but not limited to Awardee IP, Co-Investigator IP, and joint IP are detailed in the Consortium Agreement.)

D. Confidentiality

1. Award Documents (inclusive of the Manual and Consortium Agreements) must define confidential information related to an award and/or project and must address its disclosure and protection. The party receiving confidential information ("receiving party") is expected to do the following:
    a. Use reasonable means to protect the confidentiality of confidential information, which are at least as diligent as the means used to safeguard its own confidential information;
    b. Use such confidential information solely for the purpose of carrying out approved activities;
    c. Not disclose such confidential information to any third party except authorized representatives of a party engaged to assist in carrying out the project and who are bound to protect the confidential information at least to the extent the parties are bound under the Award Documents, or as authorized in writing by the disclosing party; and
    d. Not disclose such confidential information to any person within its own organization who does not have a need to know in order to carry out the approved activities of the award.
2. Confidential information does not include the following:
    a. Information that is known at the time of disclosure, or later becomes known, to the general public, other than as a result of a breach of Award Documents;
    b. Information that can be shown by competent written evidence to have been known by the receiving party before its receipt from the disclosing party;
    c. Information received by the receiving party, without any obligations of confidentiality, from a third party who has the legal right to disclose it;
    d. Information that is independently developed by the receiving party without the use of the disclosing party's confidential information, as shown by competent written evidence;
    e. Information that is disclosed pursuant to the requirement of any law or regulation or the order of any court of competent jurisdiction, and the receiving party has informed the disclosing party, promptly after being requested to make the disclosure, of the requirement to make the disclosure and the information required to be disclosed; or
    f. Information that is approved for release in writing by an authorized representative of the disclosing party.
3. Unless agreed otherwise by CORDAP, the expectations stated in Section D remain in effect for five (5)years after expiration, discontinuance or termination of the award and/or project.

E. Publications and Publicity

1. Publications

a. Each Awardee, Co-Investigator, and unfunded-collaborator is expected to disseminate their results in appropriate professional, scientific, and academic journals, or otherwise make publicly available scholarly works of any research under this award in results of the work conducted under the award.

b. Support from CORDAP under the award must be acknowledged as follows:

> "The research reported in this publication was supported by funding from Global Coral R&D Accelerator Platform (CORDAP) under award number----."

Award number is to be provided by CORDAP PCN

c. CORDAP's Open Access Policy requires:

    1. Publications, and underlying data, will be immediately, freely and openly accessible to all
    2. There should be no barriers to the re-use and dissemination of CORDAP funded publications
    3. CORDAP will pay necessary reasonable open access fees.
    4. Research data and software should be Findable, Accessible, Interoperable & Reusable (FAIR).

d. Consistent with the reasonable interests of CORDAP in the preservation or perfection of IP rights, Awardee,Co-Investigator, and unfunded-collaborator, in accordance with the CORDAP Intellectual Property Policy, are urged to consult with their respective Technology Transfer and Innovation Office prior to submitting materials for publication or presentation, to ensure that no intellectual property rights are compromised by public disclosure.

2. Publicity

If an Awardee, Co-Investigator, and unfunded-collaborator desires to publish any media or release any publicity or

public relations materials of any kind concerning or relating to the award or work performed under the award, such materials must first be submitted to CORDAP-PCN for review and authorization. All requests for releases of publicity or public relations materials must be submitted to CORDAP-PCN in writing, in advance of release. Awardee, Co-Investigator and unfunded-collaborator have the right to issue public announcements and public relations materials regarding a general announcement and materials relating to the award, including publishing the name of other parties of the award, the title of the award, and such other non-confidential information relating to the award in internal documents made available to the public that merely identify the existence of the award and Award Documents.

3. Use of Logos and Trademarks

CORDAP has the sole ownership and right to register and display trademarks and domain names using the name and logo of CORDAP. No awardee, Co-Investigator, and unfunded-collaborator may use or alter the CORDAP name, trademark, insignia, or logo to designate or endorse any goods or services without prior approval from CORDAP.

F. Research Ethics, Conflicts of Interest, Research Misconduct, and Research Safety

1. Awardee

Each awardee is primarily responsible for safeguarding the rights and welfare of animal and human subjects and for ethical research conduct and safety under CORDAP Awards at each participating awardee, Co-Investigator's andunfunded-collaborator's performance sites. Each awardee is responsible for overseeing the appropriate submission of protocol requests and notification to CORDAP for approvals, certifications, and pertinent documentation. By accepting an award, the awardee confirms that all approvals related to research ethics have been obtained, in compliance with their organization's policies and procedures. By accepting an award, awardee implicitly agrees to adhere to all CORDAP policies, terms and conditions.

2. Awardee, Co-Investigator and Unfunded-Collaborator

a. Research Ethics and Conflicts of Interest

Awardee, Co-Investigator and/or unfunded-collaborator are primarily responsible for safeguarding the rights and welfare ofanimal and human subjects used in its research and avoiding, disclosing and managing actual, potential and apparent conflicts of interest (including financial conflicts of interest) for overseeing the timely submission of protocol requests, ethical approvals and notification to awardee of certifications and pertinent documentation.

When awardee, Co-Investigator accepts CORDAP funding, or unfunded-collaborator agrees to participate in research activities with awardee, the confirmation that all approvals related to research ethics and the use of animals and human subjects have been obtained is implicit and that conflicts of interest (including financial conflicts of interest) have been disclosed and are being managed or have been eliminated, in compliance with its institutional policies and procedures. CORDAP has the right to request evidence of approvals and awardee, Co-Investigator and/or unfunded-collaboratormust agree to supply the requested evidence prior to commencing any activities related to the award.

If any research is to be carried out in a third country, the Applicant's Organization must ensure that all activities are carried out in the spirit of their own organization and national regulations, and complies at all times with the relevant laws and regulations in the host country.

CORDAP funded activities carried out in any jurisdiction or community area must be carried out with the free, prior, and informed consent (FPIC) of the affected communities.

b. Research Misconduct

Awardee, Co-Investigator and/or unfunded-collaborator must have institutional policies and procedures in place to identify,report, and investigate research misconduct. To the extent that legal reporting is not prohibited by law in the jurisdiction applicable to the project, awardee, Co-Investigator and/or unfunded-collaborator must report to CORDAP-PCN, in writing, promptly after such allegations are received, any determination that research misconductremedial action, and the identification of any proposed or published research affected and any allegations of research misconduct that, if true, would cast doubt on the validity and accuracy of the Co-Investigator's and/or unfunded-collaborator's project results.

c. Conflict of Interest

Awardee, Co-Investigator and/or unfunded-collaborator shall identify and manage actual and potential conflicts of interest in accordance with its established policies and procedures. Awardee, Co-Investigator and/or unfunded-collaborator shall specifically refrain from engaging in situations with suppliers/contractors that represent a conflict of interest or provide the appearance of a conflict of interest. Dealings with family members or others, where a personal relationship exists, can give the appearance of a potential conflict of interest and should be avoided. At no time shall awardee, Co-Investigator and/or unfunded-collaborator, or its students or employees procure goods or services for personal use or accept gifts, gratuities, entertainment or other favors that might influence or have the appearance of influencing procurement decisions. Any unresolved conflicts of interest that have or may have a significant effect on the conduct of the project shall be promptly reported to the awardee, Co-Investigator's and/or unfunded-collaborator's conflict of interest committee or equivalent body, and to CORDAP-PCN in writing together with proposed actions to eliminate or mitigate the effect of the conflict.

d. Research Safety

Awardee, Co-Investigator and/or unfunded-collaborator must have in place adequate policies and procedures to ensure that the research under the project is conducted safely and in accordance with all applicable health and safety laws,regulations, and good practices, including but not limited to, laws, regulations, and good practices applicable to radiation safety, infectious and hazardous materials, and medical and biological waste.

G. Government Permits, Activities Abroad and Compliance with Export Control Regulations

1. Each awardee, Co-Investigator, and unfunded-collaborator is responsible for obtaining any required permits and/or permissions prior to undertaking the proposed activities, for awards that include activities requiring permits from appropriate government authorities.
2. Awardee, Co-Investigator, and unfunded-collaborator must comply with the laws, regulations and customs of any country where research activates are to be conducted. Concerns include:
    a. requirements for free, prior, and informed consent (FPIC) to conduct research or surveys;
    b. special provisions for the participation of foreign scientists and engineers;
    c. special visas for persons involved in research or studies;
    d. environment requirements involving the disposal of wastewater, including sanitary/industrial sewage, oily water; hazardous waste, including but not limited to motor oils, fuels, paints, lubricant, solvents, asbestos, polychlorinated biphenyls (PCB), and any other scope of work by-products that may have adverseenvironmental impact; and
    e. customs, export and asset control legislations and regulations, as they may be amended from time to time, concerning the import export or re-export of goods or services, including software, processes, or technical data ("Items").
3. Prior to commencing any award activities, PIs (awardee, Co-Investigator , and unfunded-collaborator) are responsible for reviewing awardee's research activities to determine whether its research is potentially subject to any national or international governmental export control regulations;re-evaluating export control determinations before changing the scope or adding new personnel to the project in order to ascertain whether such changes alter the initial determinations; and obtaining applicable export control determinations far enough in advance to obtain an authorization.
4. Awardee, Co-Investigator, and unfunded-collaborator shall use all reasonable endeavors to obtain any legal/regulatory and ethical licenses, approvals necessary to permit them to carry out the project, as required by their internal procedures and the applicable laws where they are working on their project.They shall use reasonable endeavors to ensure that their respective employees and students (if applicable) involved in the project:
    a. observe regulations and ethical licenses, consents and approvals;
    b. keep comprehensive and precise records of all research, development, achievement and work carried out related to the project and of all project IP, research results and observations/conclusions; and
    c. comply with the Good Data Management Practices.

H. Audits

Awardee and/or Co-Investigator agree to cooperate fully with any audits conducted to confirm that adequate policies and procedures are in place to ensure proper financial management of award funds and compliance with CORDAP's policies and procedures. Audit reports made by institutionally authorized entities and publicly available are fully accepted by CORDAP.

I. Records Retention Requirements

Awardee and Co-Investigator must retain all records (electronic retention is accepted) relating to the award for a period of at least five (5) years after the award term or acceptance of final reports, whichever is later, inclusive of any extensions thereof, or for such longer period(s) as may otherwise be required by applicable law or awardee institutional policies on the retention and disposition of records. Records that relate to audits, appeals, litigation, arbitration, or the settlement of claims arising out of the performance of the award must be retained until the later of (i) final disposition of such audits, appeals, litigation, arbitration, or claim; or (ii) five (5) years after the award term, or the acceptance of final reports, whichever is later.

Records that relate to patent applications must be kept for a period of time equal to the life of the patent.

This section applies to paper and electronic storage of any related information, including faxes, paper documents' copies, images, and any other electronic media in a system that is reliable and able to maintain the integrity of the information. When storing images of paper documents electronically, the system must also assure complete and accurate illustration of the original, including all official approvals.

J. Informal Resolution of Disputes

CORDAP encourages the informal resolution of disputes arising out of or relating to an award and/or project and the Award Documents, or any breach of them. Awardee, Co-Investigator, and unfunded-collaborator must use their best efforts to negotiate in good faith to resolve all such disputes. If any such dispute cannot be settled amicably through ordinary negotiations by the AIR at awardee and the AIR at Co-Investigator, and/or unfunded-collaborator (if applicable), either party may give the other party notice that it wishes to refer such dispute to the executive officersof the parties. If such dispute is not resolved this way, then such dispute will be finally settled under the rules of arbitration specified in the Consortium Agreement.

K. Governing Law

Unless expressly stated otherwise in a written agreement, or if the parties choose to remain silent on governing law in the written agreement, the terms and conditions of awards will be construed according to the laws of England and Wales.

Part VII: CORDAP Reference Information

The following appendices represent the overarching procedures and guidelines that encompass CORDAP-fundedCORDAP Awards.

Appendix A – General Guidelines for the Allowability of Costs
Appendix B – Cost Share (In-Kind and Cash Contributions)
Appendix C – Definitions Applicable to CORDAP Research

Some of the guidelines and definitions in the appendices to this Manual are based on documents from the following organizations:

- NIH (National Institutes of Health)
- NSF (National Science Foundation)
- NCCU (North Carolina Central University)

Appendix A: General Guidelines for the Allowability of Costs

Effective Date: July 2022
Revision No.: 1

The following are guidelines to consider in analyzing whether a cost can be directly charged to an award:

1. The cost must be ALLOCABLE.
2. Is the cost incurred only to advance activities under the award?
3. Does the cost benefit the award and other activities of the institution in a way that can be approximated through using a reasonable method?
4. Is the cost related to the general operation of the organization? If yes, then the cost cannot be charged as a Direct Cost.

The cost must be REASONABLE.

1. Is the cost generally considered as ordinary and necessary for the organization's operation or needed to perform activities under the award?
2. What requirements are imposed by government laws and regulations, institutional policies and procedures, generally accepted sound business and accounting standards and practices, and arms-length bargaining?
3. How does the cost compare to market prices for similar goods and services?
4. Did the cost involve significant deviations from common practices of the organization?
5. Is the extent of the actions taken with respect to the incurrence of the costs consistent with established organizational policies and practices applicable to the work of the awardee or awardee organization generally, including the award?

The cost must be CONSISTENTLY TREATED as either direct cost or indirect cost.

1. Does the cost result in a direct benefit to the CORDAP project?
2. Is it necessary to the overall operation of the organization? If yes, then the cost cannot be charged to the award.
3. Can it be accurately and easily traced to CORDAP Awards?
4. Does it benefit more than one CORDAP Award? Please consider the proportional benefit or interrelatedness rules.
    a. Proportional benefit rule
       If a cost benefits two or more awards or activities in proportions that can be determined without undue effort or cost, the cost should be allocated to the award based on the proportional benefit.
    b. Interrelatedness rule
       If a cost benefits two or more awards in proportions that cannot be determined because of the interrelationship of the work involved, then the costs may be allocated or transferred to benefitted awards on any reasonable basis. Reasonable methods of allocating common use scientific items and supplies may include proportional benefit, specific anticipated use per award, committed effort to be charged to each award, lab square footage, high correlation to another lab cost that is clearly allocated, and modified total direct cost proportions (i.e., relative size of non-salary budget, excluding equipment, tuition and any subcontracts). For example, the cost of acquiring relatively large quantities of low-cost supplies for a laboratory, where the use of the supplies by each individual project is roughly proportional to the size of the project, might be allocated among projects on the basis of total project budgets.
5. Is the cost normally charged as indirect cost? If yes, then the cost cannot be charged as a direct cost to the award.
6. Has the proportional benefit been calculated?

For a cost to be NECESSARY, the cost must be directly related to and necessary to carry out the approved activities under CORDAP Awards.

For costs **not** covered in this Appendix A, do the following:

1. Find an analogous cost to which the cost could be reasonably compared for a decision on allowability.

2. Follow the principles of allocability, reasonableness, and allowability to determine the cost is allowable.
3. If after analysis, the conclusion is that the cost is an unallowable cost, the cost must not be charged to the award or to the institution's indirect cost pool.
4. If, after analysis, the conclusion is that the cost should be an allowable cost, present written justification for including the cost in the proposal budget or, if after award, seek CORDAP-PCN for prior written approval for charging the cost to the award by presenting a justification which includes a description of the cost, the rationale for allowability, and documentation of the research to be conductedor conducted.

The following definitions apply to both awardee and Co-Investigators (if applicable):

Item	Costs
Advertising	Allowable only for recruitment of staff, trainees, or study participants; procurement of goods and services; disposal of scrap or surplus equipment and materials.
Alteration and renovation	Unallowable
Animals	Allowable; subject to awardee's institutional policies on research ethics, misconduct, and safety.
Audiovisual activities	Allowable; production costs and/or costs of finished audiovisual product. An awardee with in-house production capability should determine whether it would be more efficient and economical to use that capability or subcontract.
Audit costs	Allowable; reasonable charges related to audits and/or site reviews performed by or on behalf of CORDAP may be treated as a direct cost when the audit's scope is limited to a single CORDAP award, or when it includes more than one project but the costs can be specifically identified with and allocated to each project on a proportional basis, and this practice is followed consistently by the awardee. Reasonable charges related to audits performed by an independent audit firm may be treated as direct costs under CORDAP Awards and prior approval requirements will apply. Otherwise, audits costs should be treated as indirect costs.
Bad debts and debt service charges	Unallowable
Bank charges and fees	Unallowable
Bid and contract proposal costs	Unallowable
Bonding	Allowable
Books and journals	Unallowable as direct cost
Building acquisition	Unallowable
Capital equipment	See equipment
Child care costs	Unallowable
Civil penalties (e.g. negligence or recklessness of awardee)	Unallowable
Communications	Unallowable; local and long-distance telephone calls, telegrams, express mail and postage usually are treated as indirect costs.
Conference support costs	Allowable; but specific terms and conditions of the call for proposals will apply.
Compensation for employee services	Allowable; reasonable salaries, wages and fringe benefits of employees actually working on an award may be directly charged to the award as long as the total compensation paid to the individual employee conforms to the established

	policies of the institution, unless otherwise specified by the call for proposals. See also salary and wages.
Compensation of students	Allowable; provided both the following conditions are met: The individual is performing activities necessary to the award; and During the academic period, the student is enrolled in an advanced degree program at affiliated institution, and the activities of the student inrelation to awarded project are related to the degree program. Charges for tuition remission, stipends and payments made for educational assistance (e.g. scholarships and student aid) are allowable, in accordance with institutional policies, unless otherwise specified by the call for proposals.
Construction	Unallowable
Consultant services	Allowable; if included in the final proposal. Otherwise, CORDAP-PCN prior approval is required. Payments must be comparable to the normal or customary fees charged and received by the consultant for comparable services, especially on non-government contracts and grants. Authorization for consulting fees paid to individuals serving as both employees and consultants of the same party must be documented in writing, on a case-by-case basis, by the Authorized Institutional Representative of the awardee organization, collaborators organization, or contractor (or his/her designee) incurring the costs. Authorization must include a determination that the required conditions are present and that there is no conflict of interest, in accordance with organizational policies and procedures.
Consumables	Allowable; if directly relevant to approved activities.
Contingency funds	Unallowable; contributions set aside for events whose occurrence cannot be foretold with certainty as to time, intensity, or assurance of their happening are unallowable (e.g., provision for future losses or charges).
Currency exchange	Gains are allowable and treated as program income, added to the award, and reported as such. Currency losses in excess of the approved collaborator's project funds are not allowable.
Customs and import duties	Allowable
Depreciation or use allowances	Unallowable
Donor costs	Unallowable
Drugs	Unallowable
Dues or membership fees	Unallowable
Entertainment and hospitality costs	Allowed as per call for proposals; with the exception of gambling, goods or services for personal use, and any related incidental costs to those costs categories which are never allowable.
Equipment	Allowable; but subject to the terms and conditions of the call for proposals and the award. General purpose office equipment is unallowable as a direct cost. After award, prior approval may be required to purchase equipment.
Fines and penalties	Unallowable
Fringe benefits	Allowable; as part of overall compensation to employees in proportion to the amount of time and effort devoted to the project, provided being usual practices in the organization.
Fundraising costs	Unallowable
Hazardous waste disposal	Allowable; however, usually treated as an indirect cost.
Honoraria	Unallowable; when the primary intent is to confer distinction on or to symbolize respect, esteem, or admiration for.

	Allowable; provided that honorary payments are made on a special and non-routine basis to an individual who is not an employee of the respective institution (e.g. visiting personnel) to recognize outstanding achievement, demonstrate respect or esteem for the individual's status or position, or to acknowledge the contributionof gratuitous services to CORDAP. These services, may include, but not limited tovisitor lecturers, instructors, editing and other contributions to publications, assistance for research and speaking engagements, related to academic and research activities. The payment of an honorarium may not be used as a meansof paying compensation for professional services.
Hospitalization	Unallowable
Incentive costs	Unallowable
Indemnification	Unallowable
Independent research costs	Unallowable; including awardee's proportionate share of indirect costs.
Insurance	Unallowable
Interest owed	Unallowable
Internal service organizations	See user fees
Invention, copyright, patent costs	Unallowable; including trademark or licensing costs.
Leave	Allowable; for employees as a fringe benefit.
Legal services	Unallowable
Liability costs	Unallowable
Library services	Unallowable as a direct cost
Lobbying	Unallowable
Maintenance and repair	Allowable; for costs incurred for necessary maintenance, repair or upkeep of CORDAP Awards equipment. Unallowable; are those costs incurred for improvements, which add to the permanent value of the award-funded equipment or appreciably prolong their intended useful life in excess of one year, which are to be treated as capital expenditures.
Meals	Allowable; where specifically approved as part of the final proposal, provided that such charges are not duplicated in participants' per diem or subsistence allowances, if any. Award funds may be used when meals are an integral and necessary part of a meeting or conference (i.e., a working meal). The cost of meals served at a meeting or conference for which the primary purpose is the dissemination of technical information, is allowable. Recurring business meetings, such as staff meetings, costs of meals are unallowable. In all cases, the cost of any meal must meet a test of reasonableness.
Meetings and conferences	Costs of meetings and conferences, the primary purpose of which is the dissemination of technical/scientific information, are allowable. This includes costs of meals, transportation, rental of facilities, speakers' fees and honoraria, and other incidental items, in accordance with established institutional policies and any conditions and restrictions in the applicable call for proposals and Award Documents.
Memberships, subscriptions and professional associations	Costs, even if necessary to the award, of institutional memberships in business, technical, and professional organizations are generally unallowable, unless otherwise stated by the call for proposals, following established institutional policies. Costs, if necessary to the award, of the institution's subscriptions to professional and technical periodicals are allowable. Costs of membership in any civic or community organization are unallowable.

	Costs of country club or social or dining club/organization membership are unallowable.
Moving	Unallowable
Nursery items	Unallowable
Overtime	See salaries and wages/overtime premiums
Parking fines/traffic penalties	Unallowable
Paternity/maternity leave costs	Unallowable
Patient care costs	Unallowable
Pension plan costs	Allowable; for institutions of higher education and non-profit organizations, such costs must be incurred according to the established policies of the organization consistently applied regardless of the source of funds. The organization's policies must meet the test of reasonableness; the methods of cost allocation must be equitable for all activities; the amount assigned to each fiscal year must be determined in accordance with generally accepted accounting principles, and the cost assigned to a given fiscal year must be paid or funded for all plan participants within six (6) months after the end of that fiscal year.
Personal telephone calls	Unallowable
Pre-award (pre-agreement) costs	Unallowable as any other cost prior to the award and/or project start date
Professional development	Costs for attendance at courses, conferences, and workshops for professional development are generally unallowable, otherwise specified by the call for proposals.
Profit or fee	Unallowable; except, in accordance with normal commercial practices, a profit/fee may be paid to a contractor under CORDAP Awards, providing routinegoods/services to the awardee.
Project management/coordination	Generally, unallowable as a direct cost. May be allowable in exceptional circumstances with sufficient written justification, and if allowed under the applicable call for proposals and included in the funded proposal.
Public relations	Allowable; as direct costs only those specifically required by the award or for costs of communicating with the public and the press about specific activities or accomplishments under CORDAP Awards. Such costs should be treated as indirectcosts if they benefit more than one award at the organization or if they benefit other work of the awardee organization.
Publications	Allowable; charges for documenting, preparing, publishing in professional journals, including author fees; disseminating and sharing research findings and supporting materials are allowable, if such costs are actual, allowable and reasonable to advance the objectives of the award; are charged consistently (by the journal) regardless of the source of support; and all other applicable rules on allowability of costs are met. The costs of reprints and publishing in other media also are allowable.
Real property	Unallowable; this includes new buildings, building modifications and renovations.
Redundancy/reduction-in-force	Unallowable
Registration fees (conferences, symposia, scientific meetings/events)	Allowable; if the event for which the fees are required is necessary to accomplish project objectives.

Rental or lease of facilities and equipment	Allowable; subject to the limitations below. Rental costs are allowable to the extent that the rates are reasonable at the time of the decision to lease in light of such factors as rental costs of comparable property, if any; market conditions in the area; the type, life expectancy, condition, and value of the property leased; and available alternatives. Because of the complexity involved in determining the allowable amount under certain types of leases, each awardee is encouraged to consult CORDAP before entering into leases that will result in direct cost charges to the award. In general, the rental costs for facilities and equipment applicable to each reporting period should be charged to that reporting period. Rental costs under "less-than-arms-length" leases are allowable only up to the amount that would be allowed under institutional policies and procedures.
Research ethics compliance costs	Unallowable as a direct cost
Research patient care	Unallowable
Reserve funds	Unallowable
Sabbatical leave costs	Allowable; subject to CORDAP prior approval. Sabbatical leave costs may be directly charged to an award to the extent that the individual is actually working on the award as reflected in the financial reports during the period of sabbatical leave and the compensation costs are otherwise reimbursable under established organizational policies applicable to all employees, regardless of the source of funds. and under the Manual, Part IV, Section D “Cost Principles and Other Financial Considerations.” Sabbatical leave paid by an individual's employer, in combination with other compensation (e.g., partial salary from a CORDAP-funded award), may not exceed 100% of that individual's regular salary from his/her home organization.
Salaries overtime premiums	Unallowable
Salaries and wages / bonuses/incentive payments, merit/performance increases, cost-of-living	Allowable; if allowable in the call for proposals, as part of a total compensation package, provided such payments are reasonable and made according to a formally established institutional policies and procedures, and are consistently applied regardless of the source of funds.
Salary and wages /sabbatical leave	See sabbatical leave
Salaries and wages/personal services	Allowable; compensation for personal services covers all amounts, including fringe benefits, paid currently or accrued by the organization for employee services rendered to CORDAP Awards. Compensation costs are allowable to the extent that they are reasonable, conform to the established institutional policies, are consistently applied regardless of the source of funds, and reasonably reflect the percentage of time actually devoted to the award and/or project. Direct cost salary is exclusive of fringe benefits and indirect costs. Salary and wage amounts charged to CORDAP Awards for personal services must be based on an adequate payroll distribution system, and based on consistentlyapplied institutional policies and procedures.

	Administrative support salaries/costs are unallowable as direct costs. The above does not apply to consultant payments or to contracts for routine goods/services.
Salaries and wages/ support from multiple awards	Allowable; provided the working time is divided across multiple awards, in order to never overcome the threshold of cumulative 100% of individual contractual working time. Institutional salaries caps will apply.
Service charges	See user fees
Severance/redundancy pay	Unallowable
Subject costs	Unallowable
Supplies	See consumables
Suspension or termination costs	Unallowable; otherwise stated in the call for proposals. In no event, will grantor reimburse costs in excess of the award amount.
Taxes	Unallowable; as to personal, employer, corporate, and all other tax liabilities not expressly indicated as allowable in the Award Documents. Allowable; as to the payment of VAT, sales tax and withholding tax, if required under government regulations and institutional policies; provided that if at any time, the VAT, sales tax or withholding tax that has been charged to an CORDAP award and/or project becomes recoverable or is otherwise reimbursed to awardee, awardee must return to grantor any funds recovered attributable to thetax.
Training costs	Allowable; for post-doctoral training or fellowship awards and training to use equipment purchased under CORDAP-funded Awards.
Transportation of property	Allowable; for freight, express, cartage, postage, and other transportation services relating to goods either purchased, in process, or delivered, including instances when equipment or other property is moved from one investigator to another. In a change-of- awardee situation, the cost of transportation may be charged to the award at either the original or the new organization, depending on the circumstances and funds availability in the related active award account.
Travel /employees and CORDAP-sponsored business visitors	Allowable; as a direct cost by awardee and CORDAP-sponsored business visitors,subject to any limitations stated in the call for proposals and Award Documents. Applicant and awardee should consult the related institutional policies to determine how to budget for travel costs and to report the expenditure of award funds on travel costs under specific mechanisms and for certain types of travelers. If allowable, in all cases, travel costs under a CORDAP Awardsare limited to those allowed by respective established institutional policy. Airfare. In the case of air travel, the lowest reasonable commercial airfares should be used. Awardees are strongly encouraged to take advantage of discount fares for airline travel through advance purchase of tickets if travel schedules can be planned in advance (such as for national meetings and other scheduled events). Normally, CORDAP will only pay for economy/second class airfares. Airfare change and rebooking fees are eligible for reimbursement. Excess luggage costs are not eligible for reimbursement unless necessarily incurred transporting materials needed for thework that is the subject of an award. Laundry services charges are not allowed. Patient care in any facility for medical, mental health or dental services are not allowed. Wherever possible and reasonable, public transport should be used by awardees. Taxi fares and car hire charges may be reimbursed where other public transport is not reasonable or possible.

	Domestic travel is travel performed within the awardee's own country. Foreign travel is defined as any travel outside of the awardee's own country.
User fees/charge backs	Allowable; for costs for services and materials from stock rendered by internal service organizations (i.e., labs access, lab equipment access, printing service, copying service, etc.) as direct costs, if directly related to the award and are in accordance with an established institutional policy for charging such fees and service charges.
Visa costs	Unallowable; except for key personnel and business visitors in support of legitimate, allowable project activities.

Appendix B: Cost Share (In-Kind and Cash Contributions)

A. In-Kind Contributions

When discussing Cost-Share, in-kind contributions are as important as cash contributions, and helps with determining an organization's real and significant contributions to a project.

If Cost-Share is encouraged in a Call, describe what the in-kind contribution (good or service) is, in-kind contributions should not be quantified in terms of equivalent cash value.

Typical activities that qualify as In-Kind contributions

- Manpower cost rates (i.e., professionals, experts, etc.),
- Use of specialized equipment or facilities,
- Volunteering

Activities that Do Not Qualify as In-Kind Contributions

- The passive attendance at training courses, meetings, seminars, (i.e., attendance with no input as an audience member or group);
- The provision of pre-existing data/expertise/knowledge tools (not generated during the award term), which are publicly available free of charge; and
- The provision of any paid goods or services that have a purchase date within the award term. These items are, in that case, cash contributions.

B. Cash Contributions

1. Cash Contribution Defined

Cash contribution is defined as the value of third-party cash contributions and the portion of the costs not borne by CORDAP awards. Cash and/or in-kind contributions may be required under the call for proposals (mandatory contributions) or may be voluntarily committed (voluntary contributions) to an award and/or project by the Awardee and/or unfunded-collaborators and/or Co-Investigators.

2. Binding Commitment to Make Contributions

Where contributions are included in a proposal, the commitment of funds is binding and is subject to audit.

3. Criteria for Contributions

To be allowable under an award and/or project, all contributions must meet the following criteria:

- They must be verifiable;
- They must not be included as contributions for any other CORDAP award and/or project;
- They must be necessary and reasonable for the accomplishment of approved activities;
- They must be not paid by CORDAP under another award and/or project;
- They must be included in the award budget and financial reports; and
- They must conform to the eligible costs stated in the applicable call for proposals.

The contributions may be made in the form of either direct or indirect costs. When direct cost items are contributed to the project, however, any indirect costs related to that item may not be charged to the project. Those indirect costs may, of course, be counted as part of the contribution. If Co-Investigator and/or unfunded- collaborators wishes to provide in-kind or cash contribution in the indirect cost budget category, it should merely reduce its claim for indirect costs to which it would be otherwise entitled, indicating the difference as cost sharing.

4. Method of Providing Contributions

Except when made from another CORDAP award and/or project or when prohibited by CORDAP policies and procedures or by another sponsor, and unless the award agreement states otherwise, contributions to an CORDAP award and/or project may be made from any source and may be counted as cost sharing toward an CORDAP award and/or project only once. Thus, contributions towards other projects may not be counted as contribution toward projects supported by CORDAP.

Organizations will not be required to obtain prior approval from CORDAP for the manner in which contributions are to be provided. The contributions may be in any allowable budget category or combination of categories.

5. Contributions Records and Reports

Awardees and Co-Investigators must maintain records of all award costs that are claimed as a contribution to an award and/or project. Such records are subject to audit. Cash contributions must be reported in all financial reports. See also, Manual, Part VI, Section H, Audits; and Part VI, Section I, Records Retention Requirements.

6. Spending Priority for Contributions and Return of Contributions at the End of an Award

Unless the award agreement states otherwise, the priority for spending and for the return of contributions made to an award budget must be in accordance with CORDAP policies and procedures, and guidelines.

Appendix C: Definitions Applicable to CORDAP Research

Effective Date:
Revision No:

Term	Definition
Additive method	Program income generated/earned during the award is allowed to be added to the award budget.
Administrative review	CORDAP PCN staff reviews, after submission, a proposal and proposal budget for completeness and responsiveness to the applicable call for proposals and adherence to submission guidelines.
Advance payment	A payment made to an awardee before predetermined payment schedules.
Affiliate	Any entity that is directly or indirectly controlled by, controlling, or is under common control with such entity, where "control" is defined as the ownership of at least fifty percent (50%) of the equity or beneficial interests of such entity, or the right to vote for orappoint a majority of the board of directors or other governing body of such entity.
Affordable Price	The lowest sustainable, competitive price for the product(s) and/or technologies within a particular country, which covers the cost of raw materials, manufacturing and/or development, distribution and operational overheads, and includes a reasonable margin to help ensure the economic sustainability of the production and distribution of the product(s) and/or technologies.
Allocable costs	A cost is allocable to a particular cost category if the goods or services involved are chargeable or assignable in accordance with benefit provided or other equitable relationship.
Allocate	To assign costs to one or more cost categories, in reasonable and realistic proportion to the benefit provided or other equitable relationship.
Allowable costs	Costs that are allocable, reasonable and necessary, and given consistent treatment through application of generally accepted accounting principles appropriate to the circumstances; and any limitations or exclusions as to types or amounts of cost items set forth in CORDAP policies, procedures and guidelines and in Award Documents.
Amendment	A written, approved change in (1) CORDAP funding; (2) modification (including expansion)of approved activities under an existing award and/or project; or (3) any of the terms andconditions of an existing award. The amendment may require formal written modificationof the executed award terms and condition, depending on the nature of the action or transaction that is changed, in accordance with the provisions related to amendments inthe Award Documents.
Annual report	See periodic report
Applicable credit	A receipt or negative expenditure that offsets or reduces direct or indirect cost items, such as purchase discounts, rebates, allowances, recoveries or indemnities on losses, and adjustments of overpayments and erroneous charges.
Applicant	An organization(s) that, as a legal entity with a named individual, apply for an award.
Application-oriented theme	Theme focused on practical applications.
Applied research	Original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective[13].
Approved activities	see approved statement of work
Approved proposal	The final written application for funding submitted by an applicant and approved by grantor and any revisions and amendments approved by grantor. See also final proposal.
Approved statement of work	The steps, actions and tasks through which the purposes of an award and/or project are carried out, and all milestones and deliverables identifying/measuring achieved performance objectives.

Asset	An item of tangible or intangible property is considered an asset and is capitalized, if it meets all of the following asset criteria: The asset should have future economic benefits attached to it or increase the capacity or efficiency of an existing asset; and

[13] OECD Frascati definition, Frascati Manual 2002

	The asset should have a useful life of more than one year; and The asset cost can be measured reliably; and The asset cost should not be frequently recurring (e.g., more than once in a fiscal year); and The asset cost must meet the minimum asset capitalization threshold, i.e. valued in excess of US$5,000. An asset can either be a single item or a combination of integral parts that are interdependent in the performance of a single operating function in a system.
Award PI	The recipient of an award i.e. Awardee, or CORDAP principal investigator for CORDAP-funded awards.
Authorized Institutional Representative (AIR) or authorized signatory	The individual(s) named by an applicant or awardee organization, who are authorized to sign, act for and to bind the applicant or awardee contractually, and who assume responsibility for compliance with contractual obligations. The CORDAP Platform Central Node (PCN) shall act as CORDAP's Authorized Institutional Representative.
Award	The provision of funds by a sponsor to an organization or individual to carry out approved activities based on a final proposal with the expectation of an outcome or something of value that benefits grantor under the Award Notification. See also grant.
Award Notification	The correspondence sent by grantor to awardee, identifying the subject matter of the award, the funding to be provided to awardee under the award, the award term, the Authorized Institutional Representatives and other information pertinent to the award as it may be amended from time to time in writing under the award. The Award Notification incorporates by reference all other Award Documents and legally binds grantor and the awardee.
Award amount	The amount of award funds provided by grantor to an awardee, as stipulated in the Award Notification.
Award budget	The approved proposal budget that specifies the plan for financial expenditures for the projected reasonable, allocable, necessary, and allowable costs required to carry out the work under an award or project, including subsequent revisions and amendments approved by grantor.
Award Documents	The Award Notification with all its schedules including the Manual of Award Administration and Consortium Agreement(s), where applicable, that stipulate the terms and conditions of the award and with which an awardee, unfunded-collaborators (if applicable), and Co-Investigators agree to comply.
Awardee	CORDAP PI, who receives an award, as identified in the Award Notification who is legally responsible and accountable for theperformance and financial aspects of the award and for monitoring Co-Investigators.
Award end date	The date signifying the end of the award term after which no costs can be charged to the award/project.
Award funds	Money allocated by grantor to an awardee or Co-Investigator to support approved activities and costs of an award and/or project.
Award IP	see foreground intellectual property
Award number	A unique identifier for an award.
Award start date	The date as specified in the Award Notification, signifying the commencement of the award term.
Award term	The total period of time established in the Award Notification for which grantor supports an approved award/project; however, it is not necessarily a commitment to fund the entire award term. The award term comprises the initial term and any subsequent periods of time resulting from award renewal/extensions.
Background intellectual property (Background IP)	Intellectual property that is provided by one party to the other for use in the project and that has been developed prior to the effective date of the agreement. Typically, each party must assure to the other party that it has the rights to provide the Background IP to the project, and each party is permitted to use it solely for the project for which it is provided.

Basic research	Experimental, theoretical, or field work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view.
Calendar days	Days in the Gregorian calendar. Months, dates, and time periods in any agreement and award and/or project are to be construed accordingly.
Call/call for proposals	The document made available to the targeted research community by which a sponsor makes known its intentions to award grants/research contracts, usually as a result of competition for award funds. Also known as program solicitation, and request for applications.
Carryover	The reallocation of unliquidated obligations and unobligated balances from one award or project year to another to cover the allowable costs of a subsequent project period(s).
Change in scope	Awardee request to change significantly the approved direction, specific aims, objectives, or purposes of the approved activities as identified in the final proposal, and generally, in accordance with award terms and conditions. Requires prior written approval of grantor.
Close-out	The process at the end of an award and/or project during which the awardee submits any required final reports, which are accepted by the sponsor.
Co-Investigator (Co-I)	A person named in a proposal with multiple investigators and approved by the sponsor who shares the authority and responsibility for carrying out the scientific and technical aspects of an award and/or project but does not have overall fiscal and administrative responsibilities but they, nevertheless, must comply with the terms and conditions of the award.
Collaboration agreement	A legal instrument through which an award is carried out by an awardee with unfunded-collaborators that, at a minimum, defines each party's responsibilities, rights and obligations.
Collaborator (Co-Investigator/unfunded-collaborator) IP	All foreground intellectual property that is created, developed or invented solely by employees or students of an unfunded-collaborator, or Co-Investigator, external to CORDAPat their facilities.
Collaborator invention	Each project invention created, conceived, or reduced to practice by unfunded-collaborators and Co-Investigators personnel.
Commercialization	The transformation of scientific research, discoveries and/or technologies into forms of products, materials, software, processes or services that are made available to the public. This is not limited to forms of commercialization of project sponsorship, technology licensing, collaboration, joint venture or start-up.
Common ground theme	Theme focused on a phenomenon from multiple views with a common core of knowledge.
Competing proposal	A new or renewal proposal that must undergo initial merit review.

Concept Note

Confidential information	Information embodied in oral, written, digital, biological, chemical, or other tangible form, that is deemed confidential and/or proprietary by the disclosing party. Typically, grantor requires that confidential information be marked with a “Confidential” or “Proprietary” restrictive legend, or if in intangible form (i.e. oral or visual), be identified as confidential or proprietary at the time of disclosure and in writing within ten (10) days thereafter as confidential or proprietary. The limitations on disclosure by the receiving party of the disclosing party’s confidential information typically do not apply to any information that falls into one of the following categories: is known at the time of disclosure, or later becomes known, to the general public, other than as a result of a breach of the Award Notification or the Subaward Agreement; can be shown by competent written evidence to have been known by the receiving party before its receipt from the disclosing party; is received by the receiving party, without any obligations of confidentiality, from a third party who has the legal right to disclose it;

[14] OECD Frascati definition, Frascati Manual 2002

	is independently developed by the receiving party without the use of the disclosing party's confidential information, as shown by competent written evidence. is disclosed pursuant to the requirement of any law or regulation or the order of any court of competent jurisdiction, and the receiving party has informed the disclosing party, promptly after being requested to make the disclosure, of the requirement to make the disclosure and the information required to be disclosed; or is approved for release in writing by an authorized representative of the disclosing party.
Conflict of interest	A competing personal interest could affect, or could appear to affect, an individual's judgment or could cause the individual's impartiality to be questioned (e.g., during merit review, financial conflict of interest, research conduct). Conflicts of interest (actual or potential) may arise in the objective review process or in other activities or phases of the grant life cycle.
Consortium Agreement	A legal instrument through which an Award is carried out by an Awardee with Co-Investigator's and/or unfunded- collaborators that, at a minimum, defines each party's responsibilities, rights and obligations.
Consumables	All personal property, excluding equipment, intellectual property, and debt instruments, charged directly to the award and acquired for the purpose of carrying out the award. These items are consumable, perishable or short-lived, and are subject to material change.
Co-Principal Investigator (Co-PI)	A person named in a proposal with multiple PI's and approved by the sponsor, who shares responsibilities with other PIs, in directing and conducting the overall scientific, fiscal and administrative aspects of the award and/or project, and for complying with the terms and conditions of the award.
Co-sponsors	Individuals who and organizations that are merely underwriting the costs of an award.
Consultant	Individual providing professional advice/services for a fee, who is not an employee of the engaging party.
Contractor	A dealer, distributor, merchant or other seller providing goods or services (i.e., supplies, expendable materials, or services), that are required for the conduct of award activities. Also known as a vendor.
Contribution (whether cash/in-kind)	The value of verifiable third-party contributions to a specific award and/or project and the portion of project costs not borne by the sponsor. Contributions could be either in-kind or cash.
CORDAP PCN	
Cost analysis	The element-by-element examination of the estimated or actual cost of contract performance to determine the probable cost to the contractor, awardee, or, in the case of a proposal budget, an applicant, with the goal of forming an opinion on whether the proposed costs are in line with what is necessary, reasonable, allowable, and allocable for the economical/efficient performance of the contract or awards.
Cost reimbursement	A method of funding under which the recipient of award funds is required to finance its award-related operations with its own working capital with payments being made by grantor to reimburse the recipient for actual, allowable costs in cash disbursements supported by adequate documentation.
Data	Recorded information and research results, regardless of the form or media on which it may be recorded, and includes, without limitation, writings, reports, films, sound recordings, pictorial reproductions, drawings, designs, or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data.
Deliverables	Outputs produced as a result of a project (i.e., goods, services, information, a report, a document, a prototype, data or a database, hardware or software, a publication, process or quality improvements, new or improved products, or any other building block of a project).
Deviation	A departure from standard policies, procedures or guidelines or terms and condition under an award.

Direct costs	Those costs that can be identified specifically with a particular award or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Direct costs allocated to a particular award/project are reimbursable by CORDAP if they are allowable, reasonable, and necessary under the Award Documents.
Disallowed costs	Charges to an award that grantor determines to be unallowable, in accordance with its applicable laws, regulations, policies, procedures, and award terms and conditions.
Disclosing party	A party to an award that discloses its confidential information to a receiving party.

Effort	The proportion of personnel time spent on any award activity expressed as a percentage of full-time equivalent. See FTE.
Effort reporting	The process of reporting actual effort expended on an award and/or project, whether compensated or not, for the purpose of verifying that the committed effort in the proposal and the salaries and wages charged are reasonable and aligned with the actual effort expended.
Eligible costs	Costs that are allowable under a funding program opportunity as stipulated in the call for proposals.
Eligible proposal	A proposal that has passed CORDAP Administrative Review and, as a result, is eligible for merit review.
Equipment	Tangible nonexpendable property charged directly to an award having a unit acquisition cost of less than $5K.
Evaluation	A process whereby the programmatic and business management performance aspects of a funding program, an award and/or an project are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources. The assessment of these documents s to a determination of whether award status is in alignment with project objectives as determined in the original proposal and the current direction of CORDAP initiatives.
Experimental development	Systematic work, drawing on existing knowledge gained from research and/or practical experience, which is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed. (Taken from OECD Frascati definition, Frascati Manual 2002).
Export control regulations	Regulations used by governments to control the export or re-export of information, military or dual use items, or technological items for reasons related to national economic, security and foreign policy, usually based on international treaties on arms regulations such as the Australia Group (biological and chemical weapons), the Nuclear Suppliers Group (nuclear weapons), the Wassenaar Arrangement (conventional weapons) and the Missile Technology Control Regime.
Externally funded research	Research that is undertaken with a stipulated amount of funding obtained from a third party under a negotiated agreement or under a grant issued on a sponsor's pre-announced terms to carry out a specific piece of research within a defined period of time.
External reviewer	An external subject matter expert who reviews a proposal, report or award and/or project by mail (e.g., via email, web portal, or courier mail). Also known as "Ad Hoc Reviewer" or "Mail Reviewer".
External services	Professional services performed under procurement contracts by external consultants and/or independent contractors, who are not employees of an applicant's organization (i.e., services for consultants, auditors, lawyers, maintenance contracts).
Fabricated equipment	An item of equipment or a scientific instrument which is constructed, assembled or built from individual parts by research personnel, including internal or external shop staff based on unique research specifications, and is not permanently fixed to a building or structure. The total estimated cost of this item is more than USD$ 5,000 and has an estimated initial useful life of at least one (1) year. It is tangible and capable of specific identification and continuous control through tagging and periodic physical inventory. Components connected together in a system (physically or virtually) are not fabricated equipment.
Fabrication	Making up data or results and recording or reporting them.
F&A costs	F&A stands for Facilities and Administrative Costs. See indirect costs and MTDC.
Falsification	The manipulation of research materials, equipment, or processes, or changing or omitting data or results such that research is not accurately represented in the research record.
Final proposal	The approved proposal and any subsequent modifications approved by grantor.

Final report	The written accounting of approved activities and expenditures during the award term, submitted by the awardee to grantor after the expiration of the award term by a date specified by grantor, or by the awardee in the case of a Co-Investigator's final report.
Financial report	An accounting of expenditures and obligations incurred during the award term, which must reflect the awardee's official accounting records.
Foreground intellectual property	The preferred term for all forms of intellectual property that are first made or reduced to practice in the performance of research that is carried out with award funds, together with all rights of action in relation to the infringement of any of the same. Also known as award intellectual property.
Full Time Equivalent (FTE)	A measure of workload taking into consideration the number of total hours worked divided by the maximum number of compensable hours in a full-time schedule as defined by institutional policy, and represented as a percentage of full-time employment, which directly correlates to remuneration/salary.
Funded extension	An extension of the award term to complete approved activities under an award and/or project with an increase in sponsor funds to support on-going award-related activities, including, if prior approved, activities that are new to the award and/or project.
Funding period	The intervals of time into which a project is divided for the purpose of requesting funds for payment to an awardee to cover allowable costs incurred under the award and/or project.
Funding program	A grant or gift program offered by a sponsor that provides financial support for scholarly, professional, research, and innovation projects or activities.
Gift	Any item of value given by a donor, generally with no constraints or the obligations of grants (e.g., accounting and reporting requirements) and, with the exception of recognition and disposition of the funding in accordance with the donor's wishes, the donor expects nothing of significant value in return.
Grant	A pledge of support generally providing money for specified purposes to an eligible recipient conditional upon meeting of specific qualifications as to the use, maintenance of specified standards, or a contribution by the grantee or other grantor(s). Grants do not include procurement contracts or other forms of financial assistance (e.g. loans).
Grantor	An agency or organization that provides funding to an eligible organization to support research or educational activities in the form of a grant award. See also sponsor.
Human subject	A human being about whom an awardee's employees or agents who are conducting research, obtain data through intervention or interaction or obtain private, sensitive information for research purposes. Research involving human subjects extends to the use of human organs, tissues, and body fluids and to graphic, written, or recorded information derived from individuals.
Impact	The direct or indirect effects or consequences of an award and/or project that would not have occurred in its absence.
Indirect cost	Costs that are incurred for common or joint objectives and therefore, cannot be identified readily and specifically with a particular project, an instructional activity or any other institutional activity. Also known as Indirect Costs and Facilities and Administrative (F&A). See also Modified Total Direct Costs MTDC.
Indirect cost rate	A composite rate applied as a ratio or percentage of a project's direct costs.
In-kind contribution	Non-cash contribution to an award and/or project.
Inputs	The resources available and necessary to carry out approved activities under an award and/or project.
Institution	A higher education or research institution but may also be used generically to refer to any other legal entity. See also organization.
Intangible property	Property that does not have physical existence. The term includes copyrights, patents, and other intellectual property generated or developed under awards. It also includes copyrights for which assignments of rights are acquired under awards; patents and other intellectual property for which ownership is acquired under awards; loans, notes, and other debt instruments (even if considered tangible for some purposes); lease agreements; and stock and other instruments of property ownership.
Intellectual Property (IP)	All (i) inventions (whether patentable or unpatentable and whether or not reduced to practice), and all improvements thereto, (ii) patents, patent applications, and patent disclosures; (iii) trademarks, service marks, trade names, domain names and logos, and

	all goodwill associated therewith; (iv) works of authorship, copyrights, whether registered or unregistered (including copyrights in software), “moral” rights and applications for copyright registrations; (v) confidential and proprietary information, or non-public processes, procedures, trade secrets, designs, drawings, specifications, technology, know-how, techniques, algorithms, databases and data collections, formulas, concepts, developments, improvements, marketing plans, ideas and technical data and information, all software; (vi) all moral and economic rights of authors and inventors, however denominated; (vii) divisions, continuations, renewals, reissuances, and extensions of the foregoing (where applicable); (viii) to the extent not covered by the foregoing; and (ix) any similar or equivalent rights to any of the foregoing, throughout the world.
IP and inventions report	The document that details the inventions and/or patentable results of work created or developed under an award, generally required by a sponsor.
Intellectual Property Management Agreement (IPMA)	A legal instrument between research parties that defines their respective rights and obligations with respect to legal protection, expenses and licensing of joint intellectual property.
Intellectual Property Rights (IPR)	Any and all rights recognized in any jurisdiction in the world relating to the Intellectual Property, including but not limited to (a) patents, utility model rights, plant variety rights, and design rights (including any related applications, divisions, continuations, registrations, reissues, re-examinations, extensions and renewals); (b) copyrights, works of authorship, and moral rights; and (c) trade secrets, and know-how, together with applications for any of the above, and all rights of action in relation to the infringement of any of the above.
Interdisciplinary research	Mode of collaborative research that requires two or more researchers of different disciplines to study a common problem whose solution is beyond the scope of a single discipline or area of research with the goal to exchange knowledge among the different disciplines.
Internal controls	The process of providing reasonable assurance about the achievement of an entity’s objectives with regard to reliability of financial reporting, effectiveness and efficiency of operations, and compliance with applicable laws and regulations and international auditing standards. This process is designed, implemented and maintained by those charged with governance, management and other organizationally-designated personnel.
Intervention	Genetic, ecological, and environmental techniques designed to increase persistence and resilience of coral in an altered/impacted environment. Additional Context: This term applies specifically to interventions that target coral organisms, while active and passive restoration include other reef management actions.
Invention	Any art or process, machine, manufacture, design or composition of matter, or any new and useful improvement thereof, or any variety of plant, which is or may be patentable under the patent laws of the country.
Investment Type	An investment/project classification that specifies the essential attributes and defines the types of activities and output associated with that investment/project.
Joint Intellectual Property (Joint IP)	IP that is created, conceived, or reduced to practice (a) jointly by the Parties, including unfunded-collaborators (if applicable); (b) solely by Co-Investigators, and unfunded-collaborators (if applicable), Co-Investigator Personnel with more than incidental use of awardee’s facilities; or (c) solely by awardee Personnel with more than incidental use of Co-Investigator’s, and collaborator’s (if applicable), facilities.
Just-in-Time (JIT)	The deferred submission of certain components of and/or supporting documentation for a proposal for which funding is recommended until after the merit review stage is complete but prior to final award.
CORDAP Field of Use	All fields of CORDAP’s academic activities, and includes academic research, and technology development and exploitation.

Key personnel	The PI's, Co-Investigators, Unfunded Collaborators and other personnel who are identified in the Award Documents as being central to the scientific development or execution of a project in a substantive, measurable way, regardless of whether they receive salaries or compensation under anaward.
Know-how	All unpatented technical information (including, without limitation, information relating to inventions, discoveries, concepts, methodologies, models, research, development and testing procedures, the results of experiments, tests and trials, manufacturing processes, techniques and specifications, quality control data, analyses, reports and submissions) whether or not it is in the public domain.
Lead Investigator(PI, Awardee)	The individual when named in a proposal with multiple investigators and approved by the sponsor, who has primary responsibility for directing the overall scientific, fiscal and administrative aspects of an award and/or project, for complying with the terms and conditions of the award, including the submission of required reports to the Sponsor.
Mail review	The process of an external reviewer reviewing a proposal, award and/or project, or report submitted for an award and/or project using email, online web portal, or courier mail services.
Mandatory general contribution	A cash and/or In-Kind Contribution allocated to an award budget that is required by the sponsor under the call for proposals for an unspecified item of cost that serves as in-kind or cash contributions to an award and/or project.
Mandatory specific contribution	A cash and/or in-kind contribution allocated to an award budget that is required by the sponsor under the call for proposals for a specific item(s) of cost that serve(s) as in-kind or cash contributions to an award and/or project.
Merit review	The merit-based process that involves the consistent application of standards and procedures that produce fair, equitable, and objective examinations of proposals based on an evaluation of scientific or technical merit or other relevant aspects of the proposal. The review is performed by experts in the field of endeavor for which support is requested. Also known as merit review.
Monitoring	The process of becoming aware of programmatic and business management performance based on regular meetings, teleconferences, email correspondence or data gathered through reports, audits, site visits, and other sources.
Multidisciplinary research	Mode of collaborative research that requires two or more researchers of different disciplines to study a common problem but have separate questions to research and answer based on their individual disciplines.
MTDC	Modified Total Direct Costs. MTDC is the base to which indirect cost (F&A) rates are applied. MTDC excludes: Equipment and capital expenditures over $5K; charges for patient care; rental costs; student tuition fees; scholarships and fellowships; subcontracts.
No commingling of funds	The separate accounting of award funds in the accounting systems of awardees and Co-Investigators to ensure that award Funds are not combined with funds from other funding sources.
No-Cost Extension (NCE)	An extension of award term to complete approved award activities without additional sponsor funds.
Noncompliance	The failure to adhere to the Terms and Conditions of an award that results in breach of the Award Documents, or of applicable local or national regulations and laws.
Obligation	The amount for which the awardee has made binding commitments for orders placed for assets and services, contracts and sub-awards, and similar transactions during a reporting period that will require payment during the same or a future period (e.g., encumbrances, commitments, set aside).
Obligated funds	The cash that the awardee has committed based on awardee's institutional policy on encumbering or committing funds, which are for the purchase of goods or services

	allowable under an award, which may include, but is not limited to purchase orders, contracts, or salary commitments.
Organization	A company, government, academic or research institution, not-for-profit, or any other type of legal entity.
Outcomes	The accurate and visible positive and negative results of an award and/or project compared to its intended purpose, goals and objectives.
Other support	All non- award financial resources that are available as direct support to a proposed or awarded CORDAP award and/or project, including but not limited to, grants, contracts, orother awards excluding training awards, prizes, or gifts.
Outputs	The measurable results produced by the activities performed or conducted under an award and/or project (e.g., inventions, publications, patents) as a means of monitoring project progress. See also deliverables.
Overlap of support	Other Support duplicating research or budgetary items already funded by other funds from CORDAP or other sponsor. See other support.
Panelist	A reviewer who sits on a review panel for the review of proposals, reports, awards, projects, and funding programs
Patent	A new, novel, and non-obvious invention qualified to receive protection under the country patent law; may take many forms.
Patent prosecution	The process of writing and filing a patent application and pursuing protection for the patent application with the patent office.
Performance measure	A timely, specific, relevant, and concise quantitative value or qualitative characteristic used to observe and document progress and actual results compared to targeted results (i.e., outputs and outcomes).
Performance monitoring	The process of collecting and analyzing data from reports, audits, site visits, desk reviews, desk audits, and other sources to ascertain the awardee's adherence to award terms and conditions and to measure an award and/or project's performance of an award processes or activity against expected results.
Performance objective	A specific, measurable, reasonable, attainable, and time-sensitive clear and concise statement explaining what the award and/or project is intended to achieve (i.e., the ultimate result) and consists of five basic parts: the goal, measure, baseline, target and timeframe within which the target is to be achieved.
Performance site	The location(s) where the approved activities described in the proposal will be conducted.
Periodic report	The written accounting of award and/or project scientific and related activities and financial expenditures covering an award period, submitted by the awardee to grantor within certain date specified by grantor after the end of the award period.
Personal property	Property of any kind, tangible and intangible, other than real property (i.e., buildings and land).
Personnel	Under a research agreement, with respect to a party or Co-Investigator and/or unfunded-collaborator individuals who are employees, agents, fellows, students, post-doctoral fellows or faculty of such party.
Plagiarism	The appropriation of another person's ideas, processes, results, or words without giving appropriate credit. The term does not include honest error or honest differences of opinion.
Pre-application (Concept Note)	A non-binding proposal in summary format of the applicant's intent to request CORDAP funds (e.g., Pre-Proposal or Concept Note) and may be used by CORDAP to determine the applicant's eligibility and how well the proposed project can compete with other proposals; to eliminate the submission of prospective Proposals for which there is littleor no chance for funding; and to allow CORDAP to estimate the potential review workload and plan for the identification of Reviewers.
Pre-award cost	An allowable cost under the award, paid from a non- award funding source prior to the award start date and at the applicant's own risk, in anticipation of receiving award funds.
Price analysis	The process of deciding if the asking price for a product or service is fair and reasonable, without examining the specific cost and profit calculations the contractor used in arriving at the price. It is basically a process of comparing the price with known indicators of reasonableness. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, analysis of previous prices paid;

	comparison of contractor's price with the in-house estimate; comparison of quotations or published price lists from multiple contractors; comparisons with established and approved price lists; and market prices, together with discounts.
Principal investigator (PI)	Individual(s) named in the proposal and approved by the sponsor, who is responsible for directing the overall scientific, fiscal and administrative responsibility for conducting the award and/or project, for complying with the terms and conditions of the award, including reporting requirements to the sponsor.
Prior approval	The advance written approval from grantor or its designee (i.e., Authorized Institutional Representative) to modify technical, administrative or financial aspects of an award and/or project as stated in the award terms and conditions.
Priority Areas	Topic areas the CORDAP considers 'high need' at a particular point in time.
Procurement	The acquisition, by purchase, lease, or barter, of goods or services via a purchase order or a formal contract document for the direct benefit or use of the acquiring entity.
Procurement contract	A written instrument under an award or consortium agreement used to acquire by purchase, lease, or barter, goods or services for the direct benefit or use of CORDAP. The same term maybe used to describe a contractor relationship between an awardee and another party under an award (to acquire routine goods/services).
Program income	The gross income that is earned under or directly generated by an award.
Progress report	A written accounting by an awardee to the sponsor or a Co-Investigator to the awardee ofan award's or project's programmatic or scientific progress and performance during a reporting period that is used to monitor and evaluate the technical performance of an award and/or project.
Project	Approved activities as defined in the final proposal, subject to any modifications stated in any Award Documents.
Project description	See Scope of work
Project funds	Award funds awarded by grantor for a project; by an awardee to a Co-Investigator, by a Co-Investigator to a lower-tier Co-Investigator to support approved activities and costs.
Project Intellectual Property (Project IP)	Intellectual property arising from performance of the project that is (a) patentable invention (whether or not reduced to practice), and all improvements thereto, (b) a patent, patent application, or patent disclosure, or (c) commercializable software. Project IP includes any other intellectual property that is necessary to register or protect Intellectual Property rights in any of the foregoing. The phrase "patentable invention" is interpreted pursuant to international patent laws of the United States of America.
Project period	The interval of time into which a project is divided for budgeting and reporting purposes. A project period has to align with the CORDAP financial year.
Project term	Not the same as project period – the term is the whole duration of the project.
Proposal	A request for financial support of a project or activity submitted to a sponsor on specified forms and in accordance with sponsor instructions.
Proposal budget	The statement of forecasted expenditures aligned with anticipated project activities divided into Funding Periods that are established by grantor.
Questioned costs	A cost that is questioned by the auditor because of an audit finding, which (1) resulted from a violation or possible violation of a provision of a law, regulation, award terms and conditions, or institution's written policies, procedures, guidelines and principles governing the use of award funds, including funds used to match award funds; (2) where the costs, at the time of the audit, are not supported by adequate documentation; or (3) where the costs incurred appear unreasonable and do not reflect the actions a prudent person would take under the circumstances.
Real property	Land, including land improvements, structures, and appurtenances (e.g., easements, mineral rights) thereto. Real property does not include movable machinery, equipment, and supplies or intangible property (e.g., Intellectual Property).
Reasonable cost	A cost where the nature of the goods or services acquired or applied, and the amount involved therefore, reflects the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.
Receiving party	A Party to an award that receives confidential information from a disclosing party.
Reciprocal theme	Theme focused on a phenomenon from multiple, reciprocal views where understanding one view is severely limited without the insights from other themes.

Registered address	The address (and in the case of a registered company, the company registration number) that is registered with the government registrar as the official address of any legal entity.
Reimbursable costs (RC)	Allowable costs repaid to an awardee for the cost of allowable activities, that have been previously approved by grantor, and that have been initially paid from institutional or other non-award funds.
Reporting period	The intervals of time into which a project is divided for reporting purposes.
Research	The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. (Taken from OECD Frascati definition, Frascati Manual 2002.)
Research misconduct	The fabrication, falsification, or plagiarism in proposing, performing, or reporting research, or in reporting research results. 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. The term does not include honest error or honest differences of opinion
Research results	Any information or data, including know-how, raw data, and other intellectual property generated by CORDAP awardee and/or Co-Investigator's, and unfunded-collaborators (if applicable) personnel under an award and/or project, respectively; but does not includeproject intellectual property.
Research theme	Major topics or research areas that are the primary organizational units of research activities conducted under the auspices of a CORDAP award.
Research thrusts	The main or essential areas of topics of research undertaken within an encompassing theme.
Resubmission	A proposal that has been previously submitted but was not funded and is being submitted again for new funding consideration.
Reviewer	An expert, qualified by training or experience in particular scientific or technical fields, or as authorities knowledgeable in the various disciplines and fields related to the proposals under review, to evaluate and give expert advice on the scientific and technical merit of the proposals.
Review criteria	The factors considered by reviewers and panelists against which eligible proposals are evaluated for the purpose of identifying proposals that are recommended for funding approval.
Review Panel	A constituted group of panelists. Also known as Review Committee, Peer Review Panel, Panel Of Experts, or Review Committee.
Revision	A Proposal that proposes a change in (1) CORDAP funding; (2) modification in (including expansion of) the activities under a proposal or approved activities under an existing award and/or project; or (3) the terms and conditions of an existing award.
Schedule of reports and disbursements	One of the Award Documents issued by grantor that stipulates when reports are due to be submitted to CORDAP and when payment disbursements will be made.
Scholarly works	Books, articles, and submissions (including presentations and board displays) to professional, scientific, or academic journals, publications (including to video publication and internet-based publication) or professional gatherings.
Scope of work	A scientific description of work and activities to be carried out under an award and/or project as defined in the Final Proposal, including any milestones or deliverables, along with any approved modifications. Also known as project description or statement of work.
Segregation of duties	Assigning different people the responsibilities of authorizing transactions, recording transactions, and maintaining custody of assets. Segregation of duties is intended to reduce the opportunities to allow any person to be in a position to both perpetrate and conceal errors or fraud in the normal course of the person's duties.
Senior personnel	Personnel other than a PI who are identified in the final proposal and who participate in a project and in a substantive, measurable way, regardless of whether they receive a compensation under the award and/or project.

Sensitive personal data	Data that pertains to a person's physical or mental health, medical conditions, sexual orientation, criminal record, financial details, racial, cultural or ethnic origins, political opinions, religious or other beliefs, personal identifiers (e.g. private addresses, identity card or passport numbers), and data derived from work on or using human tissue (including those relating to genetics).
Sequential oriented research theme	Theme organized along real sequential events and primarily develops a model covering an entire process.
Service agreement	A procurement contract under a sponsored project award or sub-award, and a procurement subcontract under an awardee's or Co-Investigator's contract. Such contractsare used to implement purchase transactions under extramural grant or cooperative agreement awards when non-standard, noncommercial services are required to supportthe university performance under the prime sponsored project award. They may either be cost-reimbursement or fixed sum. They are distinguishable from purchase contracts that are used by the Purchasing Department for commercial goods/services.
Sideground Intellectual Properly (Sideground IP)	Intellectual property that is provided by one party to the other for use in the project and (a) is developed after the effective date; (b) does not arise from research conducted as part of the approved activities; and (c) does not arise from the use of the other party's confidential information that is protected from disclosure as part of the agreement. More often, Sideground IP is included in the definition of Background IP. Typically, each party must assure the other party that it has the rights to provide the Sideground IP to the project, and each party is permitted to use the Sideground IP contributed by other party solely for the research project for which it was provided.
Site visit	A meeting between an awardee or Co-Investigator and grantor or its designee to assessthe business capacity of an Institution and/or the technical progress and business management practices of an Institution with respect to an award and/or project.
Software	Computer software programs, databases and applications (in both source code and object code form) and related documentation.
Sole intellectual property	All project intellectual property that is created, conceived, or reduced to practice solely by personnel of a research party. Also known as awadree IP, Co-Investigator IP, or unfunded-collaborator IP (if applicable).
Sponsor	An organization that provides funding to an individual or organization to supports research, and/or educational activities.
Statement of work	See scope of work
Subaward	An award of financial support in the form of money or property in lieu of money, made under an agreement between an awardee and an eligible Co-Investigator or by a Co-Investigator to a lower-tier Co-Investigator. Subawards are sometimes referred to as subcontracts, sub-grants, or subagreements. Sub-awards do not include (1) technical assistance that provides services rather than money; (2) loans or loan guarantees, (3) interest subsidies or insurance; (4) direct payment of any kind to individuals; or (5) procurement contracts.
Subaward Agreement (consortium agreement)	A legal instrument by which an awardee agrees terms and conditions of research collaboration with an eligible Co-Investigator (or a lower-tier transaction from a Co-Investigatorto a lower-tier Co-Investigator) to perform a substantive portion of an award and/or project.
Co-Investigator	A party to a Consortium Agreement with an awardee or with a lower tier Co-Investigator andwhich is accountable to the awardee or Co-Investigator for the use of the award funds.
Subcontract	An award instrument that is subordinate to a contract "(prime contract") and assigns some of the obligations ("flow down requirements") of that prime contract to another party, usually to supply defined materials, or non-standard, noncommercial services.
Subcontractor	A party to which a subcontract is given with a fixed price.
Subproject	Approved activities under a Consortium Agreement.
Supplies	See consumables
Supplement (or supplemental funding)	A request for (or the award of) additional funds during a current award term to provide for an increase in costs due to unforeseen circumstances. All additional costs must be within the scope of approved activities.
Suspension	The temporary withdrawal of an awardee's or Co-Investigator authority to continue approved activities and to obligate award funds by a sponsor, pending either awardee's corrective action or a decision by the sponsor to terminate the award.

Technical report	See progress report
Terms and conditions	Integral part of the Award Documents which specifies the policies, procedures, and principles for a particular call for proposals with which all parties must comply during the life cycle of their award.
Termination	The permanent withdrawal by a sponsor or the voluntary relinquishment of an awardee's or Co-Investigator authority to continue approved activities at any time prior to the expiration of the award term.
Total project value	The total allowable costs and amounts to satisfy in-kind or cash contributions requirements (i.e., in-kind and/or cash contributions) project to be spent or incurred by the awardee to carry out approved activities under an award and/or project.
Transdisciplinary research	Mode of collaborative research that requires two or more researchers of different disciplines to study a common problem and the interaction between disciplines is so significant that a new hybrid (transdisciplinary) field becomes clearly defined.
Transformative research	Mode of research that involves ideas, discoveries or tools that could potentially radically challenge and change our understanding of an important existing scientific or engineering concept or educational practice or leads to the creation of a new paradigm or field of science, engineering, or education.
Translational research	Mode of research that moves promising basic research results into applications for development and commercialization.
Unallowable cost	Any cost which, under the provisions of any pertinent law, regulation, policies, procedures, guidelines, or terms and conditions of an award cannot be budgeted, incurred or included in prices, cost reimbursement, or settlements under an award.
Unfunded-collaborator	An organization named and approved under a final proposal or is subsequently approved, that performs a role in the conduct of the approved activities, which is unfunded.
Unliquidated obligations	For reports prepared on a cash basis, the amount of obligations incurred by the award that has not been paid; or for reports prepared on an accrual basis, the amount of obligations incurred by the awardee for which a commitment has not been recorded.
Unobligated balance	That portion of the award funds authorized by a sponsor for expenditure by the awardee that has not been committed or committed by the awardee.
Unobligated funds	Award funds not spent or committed during the award term.
Vendor	See contractor.
Voluntary general/specific contribution	In-kind and/or cash contributions voluntarily committed to an award and/or project by awardee faculty and/or Co-Investigators, and unfunded-collaborator (if applicable) to covergeneral budgeted items in the proposal.
Waiver	The express or written relinquishment of a right or interest.

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