



INTERNATIONAL ALLIANCE OF
RESEARCH UNIVERSITIES

IARU Lexicon of Research Terms

IARU Research Administrators' Network
February 2015

About IARU

The International Alliance of Research Universities (IARU), established in 2006, is a network of ten international research-intensive universities from eight countries across the globe. The members are the Australian National University, ETH Zurich, National University of Singapore, Peking University, University of California, Berkeley, University of Cambridge, University of Copenhagen, University of Oxford, the University of Tokyo and Yale University.

The ten universities share similar values, a global vision and a commitment to educating future world leaders. Central to these values is the importance of academic diversity and international collaboration.

IARU member universities work together to address the major challenges of our time. Sustainable solutions on climate change is one of its key initiatives. As part of their commitment to promote sustainability, the IARU universities have established a Campus Sustainability Program, aimed at reducing the environmental impact of their campuses. IARU successfully organized an International Scientific Congress on Climate Change in 2009 and a Sustainability Congress in 2014. Some of its members also cooperate on major research projects pertaining to aging, longevity and health, global security and sustainable cities.

IARU seeks to add value by providing opportunities to students and staff that would not arise otherwise. The Alliance has developed a set of global education initiatives aimed at cultivating a sense of global citizenship and leadership amongst students. The Global Summer Program, the Sustainability Fellowships and internships offer opportunities to students of the IARU member universities to engage critically as global citizens in an increasingly interconnected world.

IARU promotes institutional joint working on various levels of the member universities, such as inter-university networking, institutional learning and staff development. Projects cover a broad range of topics, ranging from equal opportunities, technology transfer, technology-enhanced learning, research administration, libraries and open access.

IARU Research Administrators' Network

This Lexicon of Research Terms has been developed by the IARU Research Administrators' Network. The network has been established to strengthen the support for the academic community across the IARU universities. The group meets regularly to share best practices and work towards simplifying research administration processes.



IARU Lexicon of Research Terms

This lexicon is designed as an aid to international research collaborations. Where these terms are used in legal agreements it is essential to check the definitions section of the agreement in case there are contract specific meanings.

February 2015

Acquisition Cost of Equipment (USA) – Net invoice price of the equipment, including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it was acquired. Other charges, such as the cost of installation, transportation, taxes, duty or protective in-transit insurance, shall be included or excluded from the unit acquisition cost in accordance with the recipient's regular accounting practices.

Action – is the new EU word for Project. Previously also known as Instrument.

Adverse Event – used in research on human and animal subjects to cover an event which during a research project or trial which is unpredicted and usually merits investigation.

Alternative Dispute Resolution (ADR) – is a term that covers methods of attempting to resolve a dispute without going to court. **Arbitration** and **Mediation** are types of ADR. The inclusion of such a clause may often prevent a party from starting court proceedings without first following the process set out in the agreement.

Annex – documents added to a contract and usually incorporated into the contract also known as Appendix or Schedule or Annexure.

Annexure – see **annex**

APC – Article Processing Charge – a fee paid to a publisher to make an article free at the point of access. In Singapore, we also use the term **Publication Charges**.

Appendix – see **annex**

Application package – A group of specific forms and documents for a specific funding opportunity which are used to apply for a grant. The application package is often referred to as the “proposal”. If the **sponsor** approves the proposal for funding, it will result in an **award**.

Arbitration – This is a method of dispute resolution (see ADR) where a private tribunal rather than the courts of competent Jurisdiction determines the dispute between the parties to an agreement.

ARC (Australia) – Australian Research Council. The main source of funding for projects in Humanities, Arts, Social Science and the Physical Sciences in Australia.

ARMA (UK) – Association of Research Managers and Administrators is a professional association supporting research administrators.

ARRA (USA) – American Recovery and Reinvestment Act of 2009. The economic stimulus package of \$787 billion (Also known as the “Recovery Act”, was signed into law by the President on February 17, 2009; it is the economic stimulus package of \$787 billion. “Making supplemental appropriations for job preservation and creation, infrastructure investment, energy efficiency and science, assistance to the unemployed, and State and local fiscal stabilization, for the fiscal year ending September 30, 2009, and for other purposes”.

Arts and Humanities Research Council (UK) – the main funding agency for arts and humanities research in the UK.

Audit Certificate – is also known as Certificate on Financial Statement (CFS). Mandatory if a beneficiary (partner) has received more than a certain amount of EU funding per project. In Framework Programme 7 a CFS is mandatory for contributions above 375.000 € In Horizon 2020 a CFS is mandatory for contributions above 406.205 €

AURIL (UK) – Originally the Association of University Research and Liaison Offices for the UK with most universities as members. AURIL has a broad remit embracing research funding, research policy, regional economic development, engagement, industry liaison and technology transfer.

Authorised signatory – this is the individual or individuals who are authorized to sign contracts on behalf of an institution. There is no easy answer for this in the world of universities. In some institutions it may be very tightly controlled in others it may be highly delegated. In others it can be determined by the scale of the project or the partners’ status. Very few universities publish an easily accessible authority of delegations. It is recommended that contact is made with the office supporting externally funded research in a university and ask for guidance. (USA) The US government uses the term Authorized Organizational Representative, or AOR, to refer to this individual.

AUTM (USA) – Association of University Technology Managers is the main membership organization supporting technology transfer professionals headquartered in the USA but with a global membership.

Award – Awards refer to the funding and funding instruments, including grants and other agreements in the form of money or property in lieu of money, from a sponsor to an eligible recipient. The term does not include: technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; and contracts which are required to be entered into and administered under federal procurement laws and regulations.

Background Intellectual Property Rights – IPR which exists outside of a project which is brought into a project in order to advance knowledge. The ownership of Background IPR should not be affected by the contract but licences will need to be provided to other parties in order to enhance the collaboration. Background IPR is previously also known as Pre-existing know-how or Upstream.

Boilerplate clauses – a term used to describe the more generic or standard clauses that appear in most legal agreements, often at the end. They may also be known as **General Provisions**. They include matters like **Entire Agreement**, **Jurisdiction**, **Waiver**, **Severability**, Amendment and Governing Law clauses.

CAGE Code (USA) – Commercial and Government Entity Code. A five-character code which identifies companies doing, or planning to do business with the federal government and is assigned through the SAM.

Catalog of Federal Domestic Assistance (CFDA) (USA) – An online database of all federal programs available to state and local governments, federally-recognized Indian tribal governments, territories and possessions of the United States, domestic public, quasi-public, and private profit and nonprofit organizations and institutions, specialized groups, and individuals.

Catalog of Federal Domestic Assistance (CFDA) Number (USA) – The identifying number that a federal program is assigned in the Catalog of Federal Domestic Assistance (CFDA).

CC-BY – a form of Creative Commons Licence through which you can share, copy, distribute, transmit, remix a work for **commercial purposes** as long as you attribute the research.

CC-BY-NC – a form of Creative Commons Licence through which you can share, copy, distribute, transmit, remix a work for **non-commercial** purposes as long as you attribute the work.

Chancellor – the honorary head of some universities often in the UK and Australia. In the US, this is often the title of the operational head of a university and is equivalent to President.

Chief Investigator – The lead researcher on a research project in Australia. In some countries such individuals may also be known as a Principal Investigator.

Closeout (USA) – Process by which the awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency. In Singapore, we use the terms **Completed** or **Closure**.

Collaboration Agreement – this is an agreement used to record the legal relationship between partners involved in the same project. The funder is not usually a party to the contract and tends to have a contract for funding with one of the partners (often known as the Coordinator). This agreement may also be known as a Multi-Institutional Agreement (for example, in Australia) or a Consortium Agreement (Europe).

Collaborator – (see also Partner). A collaborator is a legal entity which is a party to a major multi-partner research project. Collaborators may be jointly responsible for the performance of the project with all other Collaborators. Collaborators tend to be parties to Consortium agreements. A Collaborator should be distinguished from a Sub-contractor.

Cooperative Agreement (USA) – An award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the **sponsor** and the recipient in carrying out the activity contemplated by the award.

Consideration – This refers to what each Party gives to the other for entering the **contract**; the benefits exchanged between the parties. The benefit exchanged does not have to be monetary, but it must have a value. In English Law, Consideration is required for an agreement to be legally binding. Agreements executed as Deeds under English Law do not require consideration.

Consortium Agreement – this is an agreement used to record the legal relationship between partners involved in the same project. The funder is not usually a partner to such agreements. This agreement may also be known as a Collaboration Agreement or Multi-Institutional Agreement.

Contract – a transaction between two parties in which each becomes obligated to the other with reciprocal rights to demand performance of what is promised by each party. (USA) A legal instrument used to procure goods or services under specific terms between the **sponsor** and recipient.

Contract Research Agreement (CRA) – A legal agreement entered into between two or more parties. However, a CRA is specifically applicable for contracted research projects, also known as fee-for-service projects, where one party, typically an industry partner, is funding all costs required to conduct the project and expects to own all intellectual property and reports from the research.

Cost sharing or matching (USA) – The portion of project or program costs not borne by the **sponsor**.

Creative Commons – a not-for-profit organization that offers a suite of licences to make copyright available under different terms of use. Often used for Open Access publications. The exact licence terms require to be checked given the different versions that are available.

Crown Copyright – refers to Copyright owned by the UK Government.

Declaration of Helsinki – An international ethical code first issued in 1964 by the 18th World Medical Assembly in Helsinki, Finland. The Declaration contains 12 basic principles. The FDA will not accept foreign data unless the studies in which such data are generated are conducted in compliance with the Declaration of Helsinki.

Deed – a type of agreement. Under English Law unlike a Contract, it does not require **Consideration** to pass from one Party to another to be legally binding and enforceable. Under English Law special formal requirements must be met when entering a Deed. A Deed needs to be: (i) signed and witnessed; (ii) inscribed with the words “signed, sealed and delivered”; and (iii) copies exchanged between the Parties.

Delegation of authorities – this is the policy document which sets down who is Authorized Signatories for what documents on behalf of an institution. Some institutions make such documents public.

Deliverables – A project management term for the quantifiable goods or services that will be provided upon the completion of a project. **Deliverables** can be tangible or intangible parts of the development process, and are often specified functions or characteristics of the project.

Deputy Vice-Chancellor – an academic management position in many UK and Australian Universities. Reporting direct to a Vice-Chancellor. DVCs are often responsible for particular areas e.g. Research or Staff or Education or Infrastructure. (see also PVC)

Direct Costs to the project – are all direct costs that can be verified as relevant to the project through precise figures like invoices, payroll slips, airplane tickets, consumables etc. See also Indirect Costs.

Direct Research Costs – are all direct costs that can be verified as relevant and required in order to carry out the project and work toward achievement of the milestones and deliverables.

Disallowed Costs – Charges to an award that the sponsor determines to be cannot be charged to the grant or contract, in accordance with the applicable sponsor cost principles or other terms and conditions contained in the award. In Singapore, we use the term **Non-Fundable**.

Data Universal Numbering System (DUNS) (USA) – A unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B).

Effective Date – this can have two separate meanings. First, the date on which a research project starts or secondly the date on which an agreement comes into effect which may precede the actual project start date.

Embargo period – the period during which a research article is not available on open access.

Entire Agreement – this refers to a clause which is often used in research contracts to confirm that no other documents or representations made before contracting are part of the agreement. (USA) This clause is sometimes referred to as an “integration clause” because any other writings exchanged by the parties that are associated with the agreement are considered to be integrated into the final agreement.

EPSRC (UK) – Engineering and Physical Sciences Research Council (UK)

EC – The European Commission is the main administrative body of the European Union and European Parliament – the “EU Civil Service”

Equipment (USA) – Under US governmental rules, “equipment” is tangible nonexpendable personal property, including exempt property, charged directly to the award and having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, lower limits may be established.

ERA (Australia) – Excellence in Research in Australia. This is the mechanism for comparing research quality across Australian Universities. It is based on a mixture of metrics (e.g. citations) in the physical sciences and peer review in the humanities. The exercise takes place every 3 to 4 years.

ERA (Europe) – European Research Area. The European Research Area is composed of all research and development activities, programmes and policies in Europe which involve a transnational perspective including all European, Member States and Regional programmes. Together, they enable researchers, research institutions and businesses to increasingly circulate, compete and co-operate across borders. The aim is to give them access to a Europe-wide open space for knowledge and technologies in which transnational synergies and complementarities are fully exploited

ERC (Europe) – The European Research Council. This is a subset of the major funding programme of the European Union – Horizon 2020 – which is dedicated to fundamental research.

ESRC (UK) – Economic and Social Research Council is the main funding agency for research in economics and the social sciences in the UK.

FDA – United States Food and Drug Administration.

Force Majeure – An event or effect that can be neither anticipated nor controlled. The term includes both acts of nature (e.g. floods, hurricanes) and acts of people (e.g. riots, strikes and wars).

Foreground Intellectual Property Rights – the IPR which is created during a project and incorporating results from a research project.

Funding Opportunity Announcement (USA) – A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program. Funding opportunity announcements can be found at Grants.gov/FIND and on the Internet at the funding agency's or program's website.

Fundable Items – Items that are charged to an award that the sponsor determines as chargeable to the grant or contract, in accordance with the applicable sponsor cost principles or other terms and conditions contained in the award.

General Provisions – see **Boilerplate Clauses**

Grant (USA) – An **award** of financial assistance, the principal purpose of which is to transfer a thing of value from a **sponsor** to an institution to perform a research project. US governmental **sponsors** distinguish **grants** from **contracts**, and use the latter instrument to acquire property or services for the sponsor's direct benefit or use.

Grant Agreement – An agreement between a legal entity and the European Union or the relevant funding body enabling funding from Horizon 2020 including the description of work to be done by participants and by participating legal entities from any third countries involved. Previously known as Contract.

Grants.gov (USA) – A web portal operated by the US government for use in electronic collection of data (forms and reports) for federal grant-making agencies through the Grants.gov site.

Goods and Services Tax – Value-added tax levied on the supply/provision of goods and services in Singapore. This is governed by the Goods and Services Tax Act (Chapter 117A).

Global Patent – there is no such thing as a global patent. Patents are secured by nation state.

Head of Institution – the head of a university is titled very different in different countries and includes Vice-Chancellor, President and Rector. (USA) Most commonly in the US, the head of a university has the title of President or Chancellor. The titles may be split between campus and system offices. For example, the head of the University of California system is a President but the head of the University of California, Berkeley is a Chancellor.

HERDC (Australia) – Higher Education Research Data Collection The main mechanism for distribution of resources to underpin research in Australia. Funding is awarded based on returns which include number of publications, patents, external research income and several others.

HEFCE (UK) – Higher Education Funding Council for England is the main oversight and funding distribution mechanism for government block grants to underpin teaching and research in England. HEFCE also oversees the Research Excellence Framework on behalf of the whole of the United Kingdom.

Indirect Costs – Are costs incurred in direct relationship to the project, but they cannot be directly or precisely attributed to the project. For example house rent, heating/cooling, telephone, computer etc. Indirect Costs are also often known as Overhead.

Indirect Research Cost (IRC) – is levied to meet the additional costs incurred by the University in accepting externally-funded research projects, no matter where the research is conducted. The University incurs substantial IRC expenses from the provision of general resources and facilities such as utilities, space and core scientific equipment. In addition, the university provides support in IT, library, finance management, human resource, grant administration, and research governance (such as intellectual property management, safety compliance, research ethics and animal welfare), all of which incur costs.

Intellectual Property – this the “stuff” produced by researchers and includes ideas, publications, knowhow etc.

Intellectual Property Rights – these are the legal rights which relate to Intellectual Property. There is some similarity between different countries in terms of legal rights but there are significant differences as well. Care needs to be exercised in making assumptions between countries. See also **Results**.

International Patent Classification (IPC) – established by the Strasbourg Agreement 1971, provides for a hierarchical system of language independent symbols for the classification of patents and utility models according to the different areas of technology to which they pertain.

Jurisdiction (USA) – this term is commonly used in two contexts: subject matter jurisdiction and territorial jurisdiction. Subject matter jurisdiction is the ability of a court or some other tribunal (such as an arbitrator or arbitration panel) to hear and resolve a dispute. Territorial jurisdiction refers to the territory or location over which a court or government has power.

Know how – this term is often used rather loosely in legal agreements and in general refers to 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) that is not in the public domain. In terms of legal agreements it is important that this term only relates to information that can be recorded in physical form. The term should not encompass intangible information and thoughts. See also **Results**.

Lambert Agreements – refers to a suite of agreements to cover industrial research collaborations developed with government and higher education support. A decision guide has been developed and several different versions to cover single, multiple party agreements and different IPR arrangements. Information is available on the UK IP Office website.

Legal Entity – any natural person, or any legal person created and recognised as such under national law, European Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations.

Letter of intent / Memorandum of Understanding – A written statement detailing the preliminary understanding of parties who plan to enter into a contract or some other agreement; a non-committal writing preliminary to a contract.

Locarno Classification (LOC) – established by the Locarno Agreement (1968), is an international classification used for the purposes of the registration of industrial designs.

Material Transfer Agreement (MTA) – A form of non-exclusive licence for the transfer of research reagents or other research tools (tangible intellectual property). It is most commonly used for the exchange or transfer of biological materials or chemical entities from one party to another but may be used for the transfer of other types of research materials as well, e.g. software, engineering prototypes, etc. An MTA defines the rights of the provider and the recipient with respect to the materials and any derivatives resulting from the use of the said materials.

Mediation – this is a form of **Alternative Dispute Resolution** where an independent person meets with the Parties to help them formulate their own solution to solve their conflict. Mediation is often seen as a more informal and less expensive way to resolve a dispute than going to court. It can be useful for using an expert to resolve a conflict rather than a legal practitioner.

Member States – the term used by the European Union to refer to its member countries

Metadata – Data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords, and similar information.

Multi-Institutional Agreement or MIA – a contract between parties involved in a collaborative research project also known as a Collaboration or Consortium agreement. The funder of the research is not usually a signatory to such agreements.

NHMRC (Australia) – National Health and Medical Research Council The main source of research funding for Medical Sciences in Australia

NIH (USA) – National Institutes of Health

NCURA (USA) – National Council of University Research Administrators. It is an association, established in 1959, that seeks to advance the field of research administration “through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial, and respected community.”

NSF (USA) – National Science Foundation

Non-disclosure agreements – Contractual legal obligations agreed between or amongst two or more parties in which some or all of the parties agree that certain types of information that pass from one party to the other in the course of their discussions or that are created by one or more of the parties during the discussions will remain confidential and the parties agree not to disclose such confidential

information to other external parties who is/are not part of the discussions. Sometimes this type of agreement is also called a confidential disclosure agreement (CDA).

Nuremberg Code – a code established in 1947 for the ethical conduct of research involving human subjects.

One-line item budget – A budget in which the Grantor authorises the Principal Investigator and/or host Institution to utilise the grant as they see fit in order to achieve the project deliverables. On the other hand, **Line item** budgets are managed according to approved budget items as specified in the award. Depending on the terms and conditions of the award, PI may be required to submit a request for budget changes to the Grantor or host institution for variations to the budget.

Open Access – this term is becoming increasingly common and is used to cover the availability of research publications for free over the internet. Gold Open Access refers to the author making a payment to a publisher in order that readers can download for free. Whilst Green Open access covers publications where the publisher agrees to make it available on-line without payment. The Sherpa-Romeo Database is a useful source of information on the open access status of publications.

Ostensible Authority – this is a term used to describe someone whom a third party could reasonably assume had the authority to sign agreements but who does not have such authority. Such authority can be deemed from titles e.g. Director, Head etc. which seem to impart authority. When seeking a signature on an agreement it is appropriate to check who has authority to sign or to use very clear titles like Vice-Chancellor.

ORCID – an open non-profit organization that provides a unique and persistent identifier to researchers

Overhead – see **Indirect Costs**

Party – a signatory to a contract

Partner – (see also Collaborator). A Partner is a legal entity which is a party to a major multi-partner research project. Partners may be jointly responsible for the performance of the project with all other Partners. Partners tend to be parties to Consortium agreements. A Partner should be distinguished from a Sub-contractor. In many jurisdictions a partnership has a specific legal meaning and can often be subject to specific legislation. It is normal in agreements for research that specific reference is made to ensure that legislative obligations relating to Partnerships do not apply simply because the term Partner is used. In EU also known as Beneficiary or participant.

Patent Rights – Means patents, patent applications, or provisional patent applications, and any extensions, divisionals, continuations, continuations-in-part, re-examinations, reissues or supplemental protection certificates thereof, granted or filed anywhere in the world.

Payment Schedule – defines the dates at which payments are made by one party to another. It can be either customised or parameterised.

Personal Property – Property of any kind except real property. It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities.

Post-print – Is the author's final version of an academic publication – after it has been peer-reviewed and revised into its final form by the author. Additional changes may occur during the proofing process, post-prints are not considered “the version of record”.

PraxisUnico (UK) – the professional association focused on technology transfer professionals in the UK but delivering services open to all countries.

Pre-print – refers to the author's manuscript version of an academic publication that is submitted to a publisher before peer review.

President – the title given to the head of a University in many universities in the USA and also elsewhere.

Prices & Payments – Total approved price or grant awarded by the Grantor for the project or service. Also referred to as **Agreed Price**.

Principal Investigator (PI) – The lead researcher on a research project in some countries. Needs to be handled with care as the PI is not the lead researcher in Australia. In EU the PI is also often called Coordinator.

Program Income (USA) – Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award.

Project Commencement – The official start date of the project.

Project Costs (USA) – All allowable costs, as set forth in the applicable federal cost principles (see Sec. 74.27), incurred by a recipient and the value of the contributions made by third parties in accomplishing the objectives of the award during the project period.

Project Period / Project Duration – Means the total number of days, months and/or years from the Project Commencement date to the date the PI is expected to complete the project.

Property – Real property, equipment, intangible property and debt instruments.

Proprietary (proprietary) Information – Means information that is disclosed by the disclosing party to the receiving party relating to the project which is owned by, licensed to, or received from a third party under obligations of confidentiality by the disclosing party; marked with the legend “Proprietary” by the disclosing party; and is not publicly available.

Protocol – the design or plan of an experiment used particularly in clinical trials and animal research.

Pro Vice-Chancellor (PVC) – an academic management position in many UK and Australian Universities. Often reporting direct to a Vice-Chancellor but can report to a Deputy Vice-Chancellor. PVCs are often responsible for particular areas e.g. Research or Staff or Infrastructure.

Real Property – Land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.

Recitals – also known as **Whereas** sections – these refer to background information that sets the scene for the agreements they are not usually considered to be a legally binding part of the agreement but help provide context. But they can be considered by a court when interpreting the Agreement if there is any ambiguity in the clauses and words used in the Agreement.

Rector – the title given to the head of a University in some Universities (primarily European)

Remedies – The field of law dealing with the means of enforcing rights and redressing wrongs.

Research Collaboration Agreement (RCA) – A legal agreement entered into between two or more parties to work together and contribute resources towards a common research inquiry; drawing synergies from one another's expertise and experiences in specific fields. Typically, collaborators do not provide funding to each other but they contribute significantly in-kind, in the forms of manpower, specialised expertise, materials, use of existing equipment, etc. Any intellectual property (IP) that arises from the collaboration is expected to be shared jointly between the parties, based on the inventive contributions provided by the parties.

Research Excellence Framework (UK) – The REF is the main mechanism for distributing block grant funding to support research in the United Kingdom. The exercise takes place every five years or so and involves a very significant peer review exercise benchmarking all universities who wish to be involved. The different countries in the UK (Scotland, England, Wales and Northern Ireland) all utilize the results in different ways to allocate national funding.

Research Compliance Approvals – Required approvals from relevant research compliance authorities before research activities can start. E.g. laboratory-based research requires clearance from the NUS Office of Safety & Health & Environment to identify the safety and health risks associated with the project; research that involves human subjects requires clearance from the NUS Institutional Review Board; and, those involving animals from the NUS Institutional Animal Care and Use Committee.

Research Integrity – is the professional practice of research in line with moral and ethical codes. In simple terms it means acting honestly, recognizing the work of others avoiding plagiarism and not amending research results to a pre-determined outcome.

Results – Any tangible or intangible output of the action (project), such as data, knowledge and information whatever their form or nature, whether or not they can be protected, which are generated in the action as well as any attached rights, including intellectual property rights. In Singapore, we also use the terms **Output** and **Deliverables**.

Schedule – document added to a contract and usually incorporated into the contract also known as Appendix or Annex or Annexure.

Severability – the ability in an agreement, in the event of breach of one of the clauses by one of the parties, to preserve the validity of the other clauses not affected by the breach; to consider the clauses as having independent effect.

Sideground Intellectual Property – an unusual term but sometimes used to identify IPR which is brought into a project from outside of the project which did not exist before the start of the project. If this definition is used the definition of Background IPR will need to be consistent.

Sponsor – this term can refer to different parties in different jurisdictions. For example, in the UK the term is used to refer to a party which funds research but in terms of clinical research trials it is used to mean the party who accepts responsibility for the protocol and who may be required to provide indemnity cover. In commercial clinical trials the Sponsor is usually the commercial company aiming to benefit from the trial. In Singapore, we refer to the party funding the research as **Grantor** or **Funding Agency**.

Subaward (USA) – An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services nor does it include any form of assistance which is excluded from the definition of award.

Sub-contract – A sub-contract is a legal agreement which is issued to a third party to undertake activities as part of a bigger contract. In many jurisdictions a sub-contractor is not considered to be a main partner and therefore may not take part in full Consortium meetings.

Subrecipient – The legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided.

SRA – The Society of Research Administrators International (SRA International) is a global research management society providing education, professional development and the latest comprehensive information about research management to 4,500 members from over 40 countries.

System for Award Management (SAM) (USA) – the SAM is a system used by the US government to validate applicant or prospective grantee information and electronically shares the secure and encrypted data with the **sponsor's** finance office to facilitate paperless payments through Electronic Funds Transfer (EFT). The SAM stores organizational information, allowing **Grants.gov** to verify your identity and to pre-fill organizational information on your grant applications.

Supplies (USA) – All personal property excluding equipment, intangible property, and debt instruments as defined in this section, and inventions of a contractor conceived or first actually reduced to practice in the performance of work under a funding agreement.

Suspension – A post-award action by the awarding agency, or sponsor, that temporarily withdraws the agency's financial assistance sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award.

Tender – An invitation to bid (e.g. for large projects, procurement of goods/services) that must be submitted within a finite deadline.

Termination – The cancellation of awarding agency sponsorship, in whole or in part, under an agreement at any time prior to the date of completion.

Third Party In-Kind Contributions – The value of non-cash contributions provided by non-federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

Variations / Virements – During the course of the research, Principal Investigators (PI) may need to make changes to their budget or project. These may include change in PI or composition of team members, change in project scope, amendment to project duration or start and end dates of a project, change in total project value, budget-related changes, etc. Grantor may delegate PI or host institution the authority to perform selected changes to the awarded grant without having to seek formal approval from the Grantor.

Vice-Chancellor – the title given to the head of a University in some Universities (primarily UK and Australia)

Waiver – the act of voluntarily giving up or relinquishing some known right under an agreement.

Whereas – see recitals

WIPO World Intellectual Property Organisation – a global forum for intellectual property information and services. They provide a range of services for **ADR**. WIPO is a useful source of publications (free to download) relating to IPR.

D. Robinson
Australian National University
2014

P. Schlesinger
University of California, Berkeley
2014

P. Petersen
University of Copenhagen
2014

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