

Appendix B

Recommended Restricted Research Award Determination Form

This appendix is intended to assist in making and documenting the determination of a sponsored program's proper classification. Use of the form or a similar rubric is recommended for institutions eligible for funds from the Research Development Fund.

P.I./Recipient:
Dept:
Sponsor:
Sponsored Program Number:
Award Title:

After reviewing definitions in the Coordinating Board's Standards and Accounting Methods for Determining Restricted Research Expenditures and considering the intent of the source of funding and the nature of the sponsored program agreement, the proper classification of an award should be based on the indicators shown on this form. Several factors should be considered in making this decision. The analysis of the terms of the agreement, and a review of other documentation, such as the CFDA number descriptor and the sponsor's program solicitation, should assist in properly and consistently classifying awards.

Research and Development (R&D) means all research activities, both basic and applied, and all development activities that are supported at universities, colleges, and other non-profit institutions. "Research" is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. "Development" is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. (U.S. Office of Management and Budget, circular A-110, Appendix A, Subpart A.2.dd)

Final Determination: Must be based on the list of indicators found on page two of this determination form and/or other similar documented materials (i.e. Notice of Award, CFDA Program Grant Overview, Sponsored Program Agreement, etc.). Note that not all of this information will be available for every award.

The funded work's activities (scope of work) consist of:

- Research Only Instruction Only Public (Community) Service Only
 Other Purposes Mixed Purposes

The CFDA number descriptor denotes a program that is:

Note that CFDA numbers are available for federal and federal pass-through awards only. Also note that federal contracts often do not have CFDA numbers.

- Research Only Instruction Only Public (Community) Service Only
 Other Purposes Mixed Purposes

The Program Solicitation denotes a program that is:

Note that many non-federal programs and most gifts do not have a program solicitation.

- Research Only Instruction Only Public (Community) Service Only
 Other Purposes Mixed Purposes

If the funded work's activities (scope of work) are for mixed purposes, alternatives are to:

- Code the project according to the primary purpose
Primary purpose will normally be demonstrated by more than half of the funds having been budgeted for research, but may be demonstrated by the sponsor's statement of purpose or other documented evidence.
- Separately budget the restricted research portion so that it may be reported as Restricted Research if the institution consistently divides multiple function awards regardless of function.

Based on the list of indicators found on this Determination Form and/or other similar documented materials (i.e. Notice of Award, CFDA Program Grant Overview, Sponsored Program Agreement, etc.), this sponsored program is classified as (circle or indicate one):

- Restricted Research Research Not Restricted Not Research

Reviewed By:	Date:
Reviewer's Title:	
Concurred By:	Date:
Concurrer's Title:	
Additional Information:	

Note: All documentation to support this determination must be available for audit.