

## GLOSSARY OF TERMS

The terms and abbreviations provided in this chapter are to be used as a reference tool when reviewing the Administrative Manual. In addition, terms and abbreviations have been included from the applicable Code of Federal Regulations, and Office of Management and Budget Circulars.

**Access:** Degree to which appropriate treatment services are available, timely, geographically feasible, culturally sensitive and affordable.

**Agency:** The Substance Abuse Prevention and Treatment Agency, Department of Health and Human Services, Mental Health and Developmental Services.

**Applicant:** The entity seeking funding under the subgrant by submitting a application pursuant to this RFA. See Organization; Program.

**Approved Service:** A service for which a certificate of approval by the State has been issued, pursuant to NAC 458.260 to 458.425, inclusive. See Service.

**ASAM:** The American Society of Addiction Medicine.

**ASAM PPC-2:** The American Society of Addiction Medicine's clinical guide (2nd edition) to match clients to the appropriate level of care.

**Best Practices:** Those strategies, activities or approaches which have been shown through research and evaluation to be effective at preventing or delaying substance abuse.

**Block Grant:** Federal funding for prevention and treatment of abuse of alcohol and other drugs received by the State from the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMSHA). Requirements for receipt of such funds are specified in Federal regulation 45 CFR, Part 96.

**Capacity Reporting:** Provider is currently serving 90% of the total number of people they can serve. Providers report to SAPTA by service type level i.e. residential, outpatient, etc.

**Case Management:** A multi-step process for clients of alcohol and drug abuse services that offers assistance in accessing needed services, including services in the areas of employment, mental health, education, vocation, law, child care and employment.

**CFR:** Code of Federal Regulations.

**CFR, Title 45, Part 46, Section 102, Definitions.**

(a) **Department or agency head** means the head of any federal department or agency and any other officer or employee of any department or agency to whom authority has been delegated.

**(b) Institution** means any public or private entity or agency (including federal, state, and other agencies).

**(c) Research** means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalized knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

**(d) Research subject to regulation**, and similar terms are intended to encompass those research activities for which a federal department or agency has specific responsibility for regulating as a research activity, (for example, Investigational New Drug requirements administered by the Food and Drug Administration). It does not include research activities which are incidentally regulated by a federal department or agency solely as part of the department's or agency's broader responsibility to regulate certain types of activities whether research or non-research in nature (for example, Wage and Hour requirements administered by the Department of Labor).

**(e) Legally authorized representative** means an individual or judicial or other body authorized under applicable law to consent on behalf of a prospective subject to the subject's participation in the procedure(s) involved in the research.

**(f) Human subject** means a living individual about whom an investigator (whether professional or student) conducting research obtains (1) Data through intervention or interaction with the individual, or (2) Identifiable private information.

Intervention includes both physical procedures by which data are gathered (for example, venipuncture) and manipulations of the subject or the subject's environment that are performed for research purposes. Interaction includes communication or interpersonal contact between investigator and subject. Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a medical record). Private information must be individually identifiable (i.e., the identity of the subject is or may readily be ascertained by the investigator or associated with the information) in order for obtaining the information to constitute research involving human subjects.

**(g) IRB means** an institutional review board established in accord with and for the purposes expressed in this policy.

**(h) IRB approval** means the determination of the IRB that the research has been reviewed and may be conducted at an institution within the constraints set forth by the IRB and by other institutional and federal requirements.

**(i) Minimal risk** means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

**(j) Certification** means the official notification by the institution to the supporting department or agency, in accordance with the requirements of this policy, that a research project or activity involving human subjects has been reviewed and approved by an IRB in accordance with an approved assurance.

#### **CFR, Title 45, Part 46, Section 203, Definitions**

**(a) Secretary** means the Secretary of Health and Human Services and any other officer or employee of the Department of Health and Human Services to whom authority has been delegated.

**(b) Pregnancy** encompasses the period of time from confirmation of implantation (through any of the presumptive signs of pregnancy, such as missed menses, or by a medically acceptable pregnancy test), until expulsion or extraction of the fetus.

**(c) Fetus** means the product of conception from the time of implantation (as evidenced by any of the presumptive signs of pregnancy, such as missed menses, or a medically acceptable pregnancy test), until a determination is made, following expulsion or extraction of the fetus, that it is viable.

**(d) Viable as it pertains to the fetus** means being able, after either spontaneous or induced delivery, to survive (given the benefit of available medical therapy) to the point of independently maintaining heart beat and respiration. The Secretary may from time to time, taking into account medical advances, publish in the Federal Register guidelines to assist in determining whether a fetus is viable for purposes of this subpart. If a fetus is viable after delivery, it is a premature infant.

**(e) Nonviable fetus** means a fetus ex utero which, although living, is not viable.

**(f) Dead fetus** means a fetus ex utero which exhibits neither heartbeat, spontaneous respiratory activity, spontaneous movement of voluntary muscles, nor pulsation of the umbilical cord (if still attached).

**(g) In vitro fertilization** means any fertilization of human ova which occurs outside the body of a female, either through admixture of donor human sperm and ova or by any other means.

#### **CFR, Title 45, Part 46, Section 303, Definitions**

**(a) Secretary** means the Secretary of Health and Human Services and any other officer or employee of the Department of Health and Human Services to whom authority has been delegated.

**(b) DHHS** means the Department of Health and Human Services.

**(c) Prisoner** means any individual involuntarily confined or detained in a penal institution. The term is intended to encompass individuals sentenced to such an institution under a criminal or civil statute, individuals detained in other facilities by virtue of statutes or commitment procedures which provide alternatives to criminal prosecution or incarceration in a penal institution, and individuals detained pending arraignment, trial, or sentencing.

**(d) Minimal risk** is the probability and magnitude of physical or psychological harm that is normally encountered in the daily lives, or in the routine medical, dental, or psychological examination of healthy persons.

#### **CFR, Title 45, Part 46, Section 402, Definitions**

**(a) Children** are persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted.

**(b) Assent** means a child's affirmative agreement to participate in research. Mere failure to object should not, absent affirmative agreement, be construed as assent.

**(c) Permission** means the agreement of parent(s) or guardian to the participation of their child or ward in research.

**(d) Parent** means a child's biological or adoptive parent.

**(e) Guardian** means an individual who is authorized under applicable State or local law to consent on behalf of a child to general medical care.

#### **CFR, Title 45, Part 74, Section 2, Definitions.**

**Accrued expenditures** mean the charges incurred by the recipient during a given period requiring the provision of funds for: (1) Goods and other tangible property received; (2) services performed by employees, contractors, subrecipients, and other payees; and, (3) other amounts becoming owed under programs for which no current services or performance is required.

**Accrued income** means the sum of: (1) Earnings during a given period from (i) services performed by the recipient, and (ii) goods and other tangible property delivered to purchasers; and (2) amounts becoming owed to the recipient for which no current services or performance is required by the recipient.

**Acquisition cost of equipment** means the 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.

**Advance** means a payment made by Treasury check or other appropriate payment mechanism to a recipient upon its request either before outlays are made by the recipient or through the use of predetermined payment schedules.

**Award** means financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the Federal Government 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.

**Cash contributions** mean the recipient's cash outlay, including the outlay of money contributed to the recipient by third parties.

**Closeout** means the process by which the HHS awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and HHS.

**Contract** means a procurement contract under an award or subaward, and a procurement subcontract under a recipient's or subrecipient's contract.

**Cost sharing or matching** means that portion of project or program costs not borne by the Federal Government.

**Current accounting period** means, with respect to Sec. 74.27(b), the period of time the recipient chooses for purposes of financial statements and audits.

**Date of completion** means the date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which HHS awarding agency sponsorship ends.

**Departmental Appeals Board** means the independent office established in the Office of the Secretary with delegated authority from the Secretary to review and decide certain disputes between recipients of HHS funds and HHS awarding agencies under 45 CFR, part 16 and to perform other review, adjudication and mediation services as assigned.

**Disallowed costs** mean those charges to an award that the HHS awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.

**Discretionary award** means an award made by an HHS awarding agency in keeping with specific statutory authority which enables the agency to exercise judgment ("discretion") in selecting the applicant/recipient organization through a competitive award process.

**Equipment** means tangible nonexpendable personal property, including exempt property, charged directly to the award having a useful life of more than one year and an acquisition cost of \$5000 or more per unit. However, consistent with recipient policy, lower limits may be established.

**Excess property** means property under the control of any HHS awarding agency that, as determined by the head of the awarding agency or his/her delegate, is no longer required for the agency's needs or the discharge of its responsibilities.

**Exempt property** means tangible personal property acquired in whole or in part with Federal funds, where the HHS awarding agency has statutory authority to vest title in the recipient without further obligation to the Federal Government. An example of exempt property authority is contained in the Federal Grant and Cooperative Agreement Act, 31 U.S.C. 6306, for property acquired under an award to conduct basic or applied research by a nonprofit institution of higher education or nonprofit organization whose principal purpose is conducting scientific research.

**Federal funds authorized** mean the total amount of Federal funds obligated by the HHS awarding agency for use by the recipient. This amount may include any authorized carryover of unobligated funds from prior funding periods when permitted by the HHS awarding agency's implementing instructions or authorized by the terms and conditions of the award.

**Federal share of real property, equipment, or supplies** mean that percentage of the properties or supplies' acquisition costs and any improvement expenditures paid with Federal funds. This will be the same percentage as the Federal share of the total costs under the award for the funding period in which the property was acquired (excluding the value of third party in-kind contributions).

**Federally recognized Indian Tribal government** means the governing body of any Indian tribe, band, nation, or other organized group or community (including any Native village as defined in section 3 of the Alaska Native Claims Settlement Act certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs).

**Funding period** means the period of time when Federal funding is available for obligation by the recipient.

**Government** means a State or local government or a federally recognized Indian tribal government.

**HHS** means the U.S. Department of Health and Human Services.

**HHS awarding agency** means any organization component of HHS that is authorized to make and administer awards.

**Intangible property and debt instruments** mean, but are not limited to, trademarks, copyrights, patents and patent applications and such property as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership, whether considered tangible or intangible.

**Local government** means a local unit of government, including specifically a county, municipality, city, town, township, local public authority, school district, special district, intra-state district, council of governments (whether or not incorporated as a nonprofit corporation under State law), any other regional or interstate entity, or any agency or instrumentality of local government.

**Obligations** mean the amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that require payment by the recipient during the same or a future period.

**OGAM** means the Office of Grants and Acquisition Management, which is an organizational component within the Office of the Secretary, HHS, and reports to the Assistant Secretary for Management and Budget.

**OMB** means the U.S. Office of Management and Budget.

**Outlays or expenditures** mean charges made to the project or program. They may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of cash disbursements for direct charges for goods and services, the amount of indirect expense charged, the value of third party in-kind contributions applied and the amount of cash advances and payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of cash disbursements for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subrecipients and other payees and other amounts becoming owed under programs for which no current services or performance are required.

**Personal property** means 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.

**Prior approval** means written approval by an authorized HHS official evidencing prior consent.

**Program income** means gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award (see exclusions in Sec. 74.24 (e) and (h)). Program income includes, but is not limited to, income from fees for services

performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in the terms and conditions of the award, program income does not include the receipt of principal on loans, rebates, credits, discounts, etc., or interest earned on any of them. Furthermore, program income does not include taxes, special assessments, levies, and fines raised by governmental recipients.

**Project costs** means 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** means the period established in the award document during which HHS awarding agency sponsorship begins and ends.

**Property** means, unless otherwise stated, real property, equipment, intangible property and debt instruments.

**Real property** means land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.

**Recipient** means an organization receiving financial assistance directly from an HHS awarding agency to carry out a project or program. The term includes public and private institutions of higher education, public and private hospitals, commercial organizations, and other quasi-public and private nonprofit organizations such as, but not limited to, community action agencies, research institutes, educational associations, and health centers. The term may include foreign or international organizations (such as agencies of the United Nations) which are recipients, subrecipients, or contractors or subcontractors of recipients or subrecipients at the discretion of the HHS awarding agency. The term does not include government-owned contractor-operated facilities or research centers providing continued support for mission-oriented, large-scale programs that are government-owned or controlled, or are designated as federally-funded research and development centers. For entitlement programs listed at 45 CFR 92.4(a)(3), (a)(7), and (a)(8) "recipient" means the government to which an HHS awarding agency awards funds and which is accountable for the use of the funds provided. The recipient in this case is the entire legal entity even if only a particular component of the entity is designated in the award document.

**Research and development** means all research activities, both basic and applied, and all development activities that are supported at universities, colleges, hospitals, other nonprofit institutions, and commercial organizations. "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.

**Small awards** means a grant or cooperative agreement not exceeding the simplified acquisition threshold fixed at 41 U.S.C. 403(11) (currently \$100,000).

**State** means any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments.

**Subaward** means 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" in this section.

**Subrecipient** means the legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. The term may include foreign or international organizations (such as agencies of the United Nations) at the discretion of the HHS awarding agency.

**Supplies** means 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 ("subject inventions"), as defined in 37 CFR part 401, "Rights to Inventions Made by Nonprofit Organizations and Business Firms Under Government Grants, Contracts, and Cooperative Agreements."

**Suspension** means an action by the HHS awarding agency 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. Suspension of an award is a separate action from suspension under HHS regulations (45 CFR part 76) implementing E.O.s 12549 and 12689, "Debarment and Suspension."

**Termination** means the cancellation of HHS awarding agency sponsorship, in whole or in part, under an agreement at any time prior to the date of completion. For the entitlement programs listed at 45 CFR 92.4 (a)(3), (a)(7), and (a)(8), "termination" shall have that meaning assigned at 45 CFR 92.3.

**Third party in-kind contributions** mean 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.

**Unliquidated obligations, for financial reports prepared on a cash basis,** means the amount of obligations incurred by the recipient that has not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the recipient for which an outlay has not been recorded.

**Unobligated balance** means the portion of the funds authorized by the HHS awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.

**Unrecovered indirect cost** means the difference between the amount awarded and the amount which could have been awarded under the recipient's approved negotiated indirect cost rate.

**Working capital advance** means a procedure whereby funds are advanced to the recipient to cover its estimated disbursement needs for a given initial period.

### **CFR, Title 45, Part 92, Section 3, Definitions.**

**Accrued expenditures** mean the charges incurred by the grantee during a given period requiring the provision of funds for: (1) Goods and other tangible property received; (2) services performed by employees, contractors, subgrantees, subcontractors, and other payees; and (3) other amounts becoming owed under programs for which no current services or performance is required, such as annuities, insurance claims, and other benefit payments.

**Accrued income** means the sum of: (1) Earnings during a given period from services performed by the grantee and goods and other tangible property delivered to purchasers, and (2) amounts becoming owed to the grantee for which no current services or performance is required by the grantee.

**Acquisition cost of an item of purchased equipment** means the net invoice unit price of the property 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 grantee's regular accounting practices.

**Administrative requirements** mean those matters common to grants in general, such as financial management, kinds and frequency of reports, and retention of records. These are distinguished from programmatic requirements, which concern matters that can be treated only on a program-by-program or grant-by-grant basis, such as kinds of activities that can be supported by grants under a particular program.

**Awarding agency** means (1) with respect to a grant, the Federal agency, and (2) with respect to a subgrant, the party that awarded the subgrant.

**Cash contributions** means the grantee's cash outlay, including the outlay of money contributed to the grantee or subgrantee by other public agencies and institutions, and private organizations and individuals. When authorized by Federal legislation, Federal funds received from other assistance agreements may be considered as grantee or subgrantee cash contributions.

**Contract** means (except as used in the definitions for grant and subgrant in this section and except where qualified by Federal) a procurement contract under a grant or subgrant, and means a procurement subcontract under a contract.

**Cost sharing or matching** means the value of the third party in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal Government.

**Cost-type contract** means a contract or subcontract under a grant in which the contractor or subcontractor is paid on the basis of the costs it incurs, with or without a fee.

**Equipment** means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. A grantee may use its own definition of equipment provided that such definition would at least include all equipment defined above.

**Expenditure report** means: (1) For nonconstruction grants, the SF-269 "Financial Status Report" (or other equivalent report); (2) for construction grants, the SF-271 "Outlay Report and Request for Reimbursement" (or other equivalent report).

**Federally recognized Indian tribal government** means the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any Native village as defined in section 3 of the Alaska Native Claims Settlement Act, 85 Stat 688) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs.

**Government** means a State or local government or a federally recognized Indian tribal government.

**Grant** means an award of financial assistance, including cooperative agreements, in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The term does not include technical assistance which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Also, the term does not include assistance, such as a fellowship or other lump sum award, which the grantee is not required to account for.

**Grantee** means the government to which a grant is awarded and which is accountable for the use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document.

**Local government** means a county, municipality, city, town, township, local public authority (including any public and Indian housing agency under the United States Housing Act of 1937) school district, special district, intrastate district, council of governments (whether or not incorporated as a nonprofit corporation under state law), any other regional or interstate government entity, or any agency or instrumentality of a local government.

**Obligations** means the amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the grantee during the same or a future period.

**OMB** means the United States Office of Management and Budget.

**Outlays (expenditures)** mean charges made to the project or program. They may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of actual cash disbursement for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the new increase (or decrease) in the amounts owed by the grantee for goods and other property received, for services performed by employees, contractors, subgrantees, subcontractors, and other payees, and other amounts becoming owed under programs for which no current services or performance are required, such as annuities, insurance claims, and other benefit payments.

**Percentage of completion method** refers to a system under which payments are made for construction work according to the percentage of completion of the work, rather than to the grantee's cost incurred.

**Prior approval** means documentation evidencing consent prior to incurring specific cost.

**Real property** means land, including land improvements, structures and appurtenances thereto, excluding movable machinery and equipment.

**Share, when referring to the awarding agency's portion of real property, equipment or supplies**, means the same percentage as the awarding agency's portion of the acquiring party's total costs under the grant to which the acquisition costs under the grant to which the acquisition cost of the property was charged. Only costs are to be counted--not the value of third-party in-kind contributions.

**State** means any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. The term does not include any public and Indian housing agency under United States Housing Act of 1937.

**Subgrant** means an award of financial assistance in the form of money, or property in lieu of money, made under a grant by a grantee to an eligible subgrantee. The term includes

financial assistance when provided by contractual legal agreement, but does not include procurement purchases, nor does it include any form of assistance which is excluded from the definition of grant in this part.

**Subgrantee** means the government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided.

**Supplies** means all tangible personal property other than equipment as defined in this part.

**Suspension** means depending on the context, either (1) temporary withdrawal of the authority to obligate grant funds pending corrective action by the grantee or subgrantee or a decision to terminate the grant, or (2) an action taken by a suspending official in accordance with agency regulations implementing E.O. 12549 to immediately exclude a person from participating in grant transactions for a period, pending completion of an investigation and such legal or debarment proceedings as may ensue.

**Termination** means permanent withdrawal of the authority to obligate previously-awarded grant funds before that authority would otherwise expire. It also means the voluntary relinquishment of that authority by the grantee or subgrantee. "Termination" does not include: (1) Withdrawal of funds awarded on the basis of the grantee's underestimate of the unobligated balance in a prior period; (2) Withdrawal of the unobligated balance as of the expiration of a grant; (3) Refusal to extend a grant award additional funds, to make a competing or non-competing continuation, renewal, extension, or supplemental award; or (4) voiding of a grant upon determination that the award was obtained fraudulently, or was otherwise illegal or invalid from inception.

**Terms of a grant or subgrant** mean all requirements of the grant or subgrant, whether in statute, regulations, or the award document.

**Third party in-kind contributions** mean property or services which benefit a federally assisted project or program and which are contributed by non-Federal third parties without charge to the grantee, or a cost-type contractor under the grant agreement.

**Unliquidated obligations for reports prepared on a cash basis** mean the amount of obligations incurred by the grantee that has not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the grantee for which an outlay has not been recorded.

**Unobligated balance** means the portion of the funds authorized by the Federal agency that has not been obligated by the grantee and is determined by deducting the cumulative obligations from the cumulative funds authorized.

#### **CFR, Title 45, Part 93, Section 105, Definitions.**

**(a) Agency**, as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

**(b) Covered Federal action** means any of the following Federal actions: (1) The awarding of any Federal contract; (2) The making of any Federal grant; (3) The making of any Federal loan; (4) The entering into of any cooperative agreement; and, (5) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan. Loan guarantees and loan insurance are addressed independently within this part.

**(c) Federal contract** means an acquisition contract awarded by an agency, including those subject to the Federal Acquisition Regulation (FAR), and any other acquisition contract for real or personal property or services not subject to the FAR.

**(d) Federal cooperative agreement** means a cooperative agreement entered into by an agency.

**(e) Federal grant** means an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government or a direct appropriation made by law to any person. The term does not include technical assistance which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, loan insurance, interest subsidies, insurance, or direct United States cash assistance to an individual.

**(f) Federal loan** means a loan made by an agency. The term does not include loan guarantee or loan insurance.

**(g) Indian tribe and tribal organization** have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

**(h) Influencing or attempting to influence** means making, with the intent to influence, any communication to or appearance before an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

**(i) Loan guarantee and loan insurance** means an agency's guarantee or insurance of a loan made by a person.

**(j) Local government** means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

**(k) Officer or employee of an agency** includes the following individuals who are employed by an agency: (1) An individual who is appointed to a position in the Government under title 5, U.S. Code, including a position under a temporary appointment; (2) A member of the uniformed services as defined in section 101(3), title 37, U.S. Code; (3) A special government employee as defined in section 202, title 18, U.S. Code; and, (4) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, U.S. Code appendix 2.

**(l) Person** means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

**(m) Reasonable compensation** means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

**(n) Reasonable payment** means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

**(o) Recipient** includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

**(p) Regularly employed** means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement or a commitment providing for the United States to insure or guarantee a loan, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract, grant, loan, cooperative agreement, loan insurance commitment, or loan guarantee commitment. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

**(q) State** means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

## **CFR, Title 45, Part 96, Section 2, Definitions.**

(a) **Secretary** means the Secretary of Health and Human Services or his designee.

(b) **Department** means the Department of Health and Human Services.

(c) **Reconciliation Act** means the Omnibus Budget Reconciliation Act of 1981 (Pub. L. 97-35).

(d) **State** includes the fifty States, the District of Columbia, and as appropriate with respect to each block grant, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and for purposes of the block grants administered by agencies of the Public Health Service, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

#### **CFR, Title 45, Part 96, Section 121, Definitions.**

**Block Grant** means the Substance Abuse Prevention and Treatment Block Grant, 42 U.S.C. 300x-21, et seq.

**Early Intervention Services Relating to HIV means:** (1) appropriate pretest counseling for HIV and AIDS; (2) testing individuals with respect to such disease, including tests to confirm the presence of the disease, tests to diagnose the extent of the deficiency in the immune system, and tests to provide information on appropriate therapeutic measures for preventing and treating the deterioration of the immune system and for preventing and treating conditions arising from the disease; (3) appropriate post-test counseling; and (4) providing the therapeutic measures described in Paragraph (2) of this definition.

**Fiscal Year**, unless provided otherwise, means the Federal fiscal year.

**Interim Services or Interim Substance Abuse Services** means services that are provided until an individual is admitted to a substance abuse treatment program. The purposes of the services are to reduce the adverse health effects of such abuse, promote the health of the individual, and reduce the risk of transmission of disease. At a minimum, interim services include counseling and education about HIV and tuberculosis (TB), about the risks of needle-sharing, the risks of transmission to sexual partners and infants, and about steps that can be taken to ensure that HIV and TB transmission does not occur, as well as referral for HIV or TB treatment services if necessary. For pregnant women, interim services also include counseling on the effects of alcohol and drug use on the fetus, as well as referral for prenatal care.

**Primary Prevention Programs** are those directed at individuals who have not been determined to require treatment for substance abuse. Such programs are aimed at educating and counseling individuals on such abuse and providing for activities to reduce the risk of such abuse.

**Principal Agency** is the single State agency responsible for planning, carrying out and evaluating activities to prevent and treat substance abuse and related activities.

**Rural Area** The definition of a rural area within a State shall be the latest definition of the Bureau of the Census, Department of Commerce.

**Secretary** is the Secretary of the United States Department of Health and Human Services or the Secretary's designee.

**State**, unless provided otherwise, includes the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, America Samoa, the Commonwealth of the Northern Mariana Islands, Palau, Micronesia, and the Marshall Islands.

**State Medical Director for Substance Abuse Services** is a licensed physician with the knowledge, skill and ability to address the multiple physical and psychological problems associated with substance abuse, and who provides the principle agency with clinical consultation and direction regarding effective substance abuse treatment, effective primary medical care, effective infection control and public health and quality assurance.

**Substance Abuse** is defined to include the abuse or illicit use of alcohol or other drugs.

**Tuberculosis Services** means: (1) Counseling the individual with respect to tuberculosis; (2) Testing to determine whether the individual has been infected with mycobacteria tuberculosis to determine the appropriate form of treatment for the individual; and (3) Providing for or referring the individuals infected by mycobacteria tuberculosis for appropriate medical evaluation and treatment.

**Client:** Recipient of a service.

**Clinical Service:** Defined in NAC 458.0225 as "...assessment of a client, treatment of a patient or providing the service of a clinical program." The primary categories include Early Intervention Services, Intake and Referral Services, Forensic Programs, and Treatment Programs. See Approved Service.

**Clinically Appropriate:** Appropriate to the clinical needs of a specific client. In this RFA, "clinically appropriate" means treatment matching whereby the level of service at which the client is being treated is appropriate according to Bureau UMC. See Utilization Management Criteria.

**Consultant/Contract Personnel:** Staff who work according to the conditions of a written contract instead of as employees.

**Continuing Care:** Care of the client subsequent to primary treatment, such as Adult Level I Outpatient Services provided to a client subsequent to successful completion of residential treatment. Continuing care can include referral for non-treatment services, such as involvement in 12-step programs.

**CPS:** Child Protective Services provided through the counties.

**CSAP:** Center for Substance Abuse Prevention, a component of SAMHSA.

**CSAT:** Center for Substance Abuse Treatment, a component of SAMHSA.

**DATOS:** Drug Abuse Treatment Outcome study.

**Detoxification:** The process of eliminating the toxic effects of drugs and alcohol from the body.

**Drug Commission:** Commission on Substance Abuse Education, Prevention, Enforcement, and Treatment in the Department of Motor Vehicles and Public Safety.

**Early Intervention:** An organized service that may be delivered in a wide variety of settings. These services are designed to explore and address problems or risk factors that appear to be related to substance use and to assist the individual in recognizing the harmful consequences of inappropriate substance use.

**IC & RC:** International Certification and Reciprocity Commission.

**Intervention:** Activities that target those beginning to use alcohol, tobacco or other drugs.

**IOM:** Institute of Medicine.

**IDU:** Intravenous Drug User - a drug user who injects drugs into a vein with a hypodermic needle.

**Juvenile Justice:** Refers to a special SAPTA funding initiative that awards federal Substance Abuse Prevention and Treatment Block Grant funds to programs targeted towards truancy reduction and prevention of school dropouts.

**Level of Service:** Intensity of the type of care provided. ASAM and the Bureau define treatment into levels of treatment intensity appropriate to the severity of the illness being treated.

**Life Cycle Model:** A treatment perspective focusing on familial patterns repeated from one generation to the next.

**Life Skills Training:** A program designed for elementary and middle/junior high students. The curriculum focuses on teaching information and skills for resisting social pressures to smoke, drink or use drugs.

**Limited Scope Audits on Agreed Upon Procedures:** Audits conducted when OMB A-133 audits are not required. Audits cover the financial and programmatic aspects of a program or coalition as contained in the Notice of Subgrant Award.

**MAXIMUS:** Refers to a state adolescent treatment funding initiative. The Maximus Company identified the funds.

**NAC:** Nevada Administrative Code. Bureau regulation of services for abuse of alcohol and other drugs is addressed in NAC 458.

**NAC 458.011 “Accredited college or university” defined. (NRS 458.025)**

“Accredited college or university” means a college or university that is accredited by a national or regional accrediting agency that is recognized by the United States Department of Education. (Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.013 “Advisory board” defined. (NRS 458.025)** “Advisory board” means the advisory board on certification of alcohol and drug abuse personnel.

[Bur. of Alcohol and Drug Abuse, part Certification Terms, eff. 12-1-76]—(NAC A 10-16-84; R100-98, 11-3-98)—(Substituted in revision for NAC 458.020).

**NAC 458.016 “Assessment” defined. (NRS 458.025)** “Assessment” means an evaluation of a client’s patterns of substance use and associated impairments in functioning that is based upon comprehensive biopsychosocial information for purposes which include, without limitation:

1. Making a diagnosis;
2. Providing a referral;
3. Planning treatment; or
4. Classifying a person as an alcoholic, addict or abuser of controlled substances or alcohol and determining appropriate treatment recommendations.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.018 “Certified counselor” defined. (NRS 458.025)** “Certified counselor” means a person who is certified by the bureau to provide assessment and counseling for abuse of alcohol and other drugs.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 11-30-87; A 10-14-92; R100-98, 11-3-98)—(Substituted in revision for NAC 458.015).

**NAC 458.019 “Client” defined. (NRS 458.025)** “Client” means a recipient of a service.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.021 “Clinical contact” defined. (NRS 458.025)** “Clinical contact” means contact with a client for the purpose of providing clinical service.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.022 “Clinical program” defined. (NRS 458.025)** “Clinical program” means:

1. A program for treatment providing a service that has been approved by the state;
2. A forensic program providing a service that has been approved by the state;
3. An intake and referral service that has been approved by the state; or
4. An early intervention service that has been approved by the state.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.0225 “Clinical service” defined.** (NRS 458.025) “Clinical service” means assessment of a client, treatment of a patient or providing the service of a clinical program. (Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.024 “Clinical supervision” defined.** (NRS 458.025) “Clinical supervision” means the oversight conducted by a person authorized by the bureau of a person’s work with a client, including, without limitation, observation and periodic analytical review of assessment and counseling sessions with clients for the purpose of evaluating and improving the person’s skills and knowledge.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 10-16-84; A 10-14-92; R100-98, 11-3-98)—(Substituted in revision for NAC 458.061).

**NAC 458.026 “Codependency counseling” defined.** “Codependency counseling” means the counseling of a person who has a significant relationship with an identified abuser of alcohol or another drug to the extent necessary to treat the identified abuser.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 4-27-94).

**NAC 458.0262 “Coordination of care” defined.** (NRS 458.025) “Coordination of care” means the exchange of information between two or more parties providing service to a client to ensure that the efforts of the parties are coordinated with one another in providing service to the client.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.0265 “Counseling” defined.** (NRS 458.025) “Counseling” means face-to-face interaction with a patient to provide treatment for abuse of alcohol or another drug. (Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 4-27-94; A by R100-98, 11-3-98).

**NAC 458.027 “Counselor intern” defined.** (NRS 458.025) “Counselor intern” means a person who is registered with the bureau as a counselor intern and authorized to perform the functions of a certified counselor under clinical supervision.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 10-14-92; A by R100-98, 11-3-98).

**NAC 458.029 “Detoxification” defined.** (NRS 458.025) “Detoxification” means the monitoring of a person who is at risk of suffering from the adverse physiological or psychological effects of withdrawal from alcohol or another drug to bring the person safely to a state free of the drug.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 4-27-94; A by R100-98, 11-3-98).

**NAC 458.035 “Detoxification technician” defined.** (NRS 458.025) “Detoxification technician” means a person who is certified by the bureau to provide screening for safe withdrawal from alcohol and other drugs.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 4-27-94; A by R100-98; 11-3-98)—(Substituted in revision for NAC 458.047).

**NAC 458.046 “Employee assistance program” defined.** (NRS 458.025) “Employee assistance program” means a program designed to assist an employee in the identification and resolution of personal problems which may adversely affect his performance at work.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 10-14-92; A by R100-98, 11-3-98).

**NAC 458.048 “Forensic program” defined.** (NRS 458.025) “Forensic program” means a program which provides:

1. A civil protective custody service that has been approved by the state;
2. An evaluation center service that has been approved by the state; or
3. A drug court service that has been approved by the state.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.052 “Hours of training” defined.** (NRS 458.025) “Hours of training” means training that is approved by the bureau and relevant to treatment of abuse of alcohol and other drugs, not less than half of which is training specific to activities that are authorized by the registration or certification of the person taking the training, with training in a specific topic counted no more than once during a period of registration or certification.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.056 “Major exception to compliance” defined.** (NRS 458.025) “Major exception to compliance” means noncompliance by a program with a law that results in:

1. A condition which poses a significant hazard to the health or safety of the clients or staff of, or visitors to, the program;
2. Significant impairment of the quality of services which the staff of the program provides;
3. Significant mismanagement by the owner or operator of the program;
4. Significant fiscal mismanagement by the owner or operator of the program; or
5. Formal criminal charges being brought against the owner, operator or staff of the program.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.058 “Patient” defined.** (NRS 458.025) “Patient” means a client who receives treatment.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.059 “Program for treatment” defined.** (NRS 458.025) “Program for treatment” includes:

1. A service that has been approved by the state, other than a service for early intervention, which meets the criteria for a level of service as specified in “Patient Placement Criteria for the Treatment of Substance-Related Disorders,” Second Edition; and
2. Any other service that has been so designated by the bureau.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.063 “Service” defined. (NRS 458.025)** “Service” means an activity that is:

1. Directed toward the prevention, intervention or treatment of abuse of alcohol and other drugs; and
2. Approved by the state or is authorized to be performed pursuant to certification or registration issued by the bureau.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.064 “Service that has been approved by the state” defined. (NRS 458.025)**

“Service that has been approved by the state” means a service for which the owner of the program that is providing the service has been issued a certificate of approval to provide the service pursuant to NAC 458.274.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.065 “Staff” defined. (NRS 458.025)** “Staff” means the employees, volunteers and consultants of a program.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.066 “Treatment” defined. (NRS 458.025)** “Treatment” means the care of substance use disorders through detoxification, medication or counseling, or any combination thereof.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.067 “Vital signs” defined. (NRS 458.025)** “Vital signs” means the blood pressure, respiration rate, pulse rate and temperature of a patient.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.068 “Volunteer” defined. (NRS 458.025)** “Volunteer” means a person who provides a service of a program without compensation more than 1 day per year.

(Added to NAC by Bur. of Alcohol and Drug Abuse by R100-98, eff. 11-3-98).

**NAC 458.071 “Year of employment” defined. (NRS 458.025)** “Year of employment” means 2,000 hours of appropriate paid or volunteer experience of which at least half is counseling for abuse of alcohol and other drugs. Hours in excess of 40 hours per week are not counted in determining a year of employment.

(Added to NAC by Bur. of Alcohol and Drug Abuse, eff. 10-14-92; A 4-27-94; R100-98, 11-3-98).

**NCADI:** National Clearinghouse for Alcohol and Drug Information. A resource to provide substance abuse educational materials and information.

**Needs Assessment:** A prevention needs assessment or community assessment is a systematic process for examining the current status of a problem (such as substance abuse) in a community which identifies the level of risk and protection in a community. Tools typically used include surveys, interviews and standards resulting in an objective profile of a community.

**NHSDA (Household Survey):** National Household Survey on Drug Abuse.

**NIDA:** National Institute on Drug Abuse, Department of Health and Human Services.

**NRS:** Nevada Revised Statutes.

**NRS 458.010 Definitions.** [Effective July 1, 2001.] As used in NRS 458.010 to 458.350, inclusive, unless the context requires otherwise:

1. **“Alcohol and drug abuse program”** means a project concerned with education, prevention and treatment directed toward achieving the mental and physical restoration of alcohol and drug abusers.
2. **“Alcohol and drug abuser”** means a person whose consumption of alcohol or other drugs, or any combination thereof, interferes with or adversely affects his ability to function socially or economically.
3. **“Alcoholic”** means any person who habitually uses alcoholic beverages to the extent that he endangers the health, safety or welfare of himself or any other person or group of persons.
4. **“Bureau”** means the bureau of alcohol and drug abuse in the department.
5. **“Chief”** means the chief of the bureau.
6. **“Civil protective custody”** means a custodial placement of a person for the purpose of protecting his health or safety. Civil protective custody does not have any criminal implication.
7. **“Department”** means the department of human resources.
8. **“Detoxification technician”** means a person who is certified by the bureau to provide screening for the safe withdrawal from alcohol and other drugs.
9. **“Director”** means the director of the department.
10. **“Facility”** means a physical structure used for the education, prevention and treatment, including mental and physical restoration, of alcohol and drug abusers.
11. **“Halfway house for alcohol and drug abusers”** means a residence that provides housing and a living environment for alcohol and drug abusers and is operated to facilitate their reintegration into the community, but does not provide treatment for alcohol or drug abuse. The term does not include a facility for the treatment of abuse of alcohol or drugs as defined in NRS 449.00455.  
(Added to NRS by 1960, 306; A 1963, 966; 1967, 1174; 1973, 1060, 1399; 1975, 228; 1977, 1223; 1993, 1628; 1997, 3076; 1999, 1266, 1874, 3065, 3066, 3077, effective July 1, 2001).

**OMB:** Office of Management and Budget.

**OMB Circular A-21, Section B. Definition of terms.**

**1. Major functions of an institution** refers to instruction, organized research, other sponsored activities and other institutional activities as defined below:

**a. Instruction** means the teaching and training activities of an institution. Except for research training as provided in subsection b, this term includes all teaching and training activities, whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through regular academic departments or separate divisions, such as a summer school division or an extension division. Also considered part of this major function are departmental research, and, where agreed to, university research.

(1) **Sponsored instruction and training** means specific instructional or training activity established by grant, contract, or cooperative agreement. For purposes of the cost principles, this activity may be considered a major function even though an institution's accounting treatment may include it in the instruction function.

(2) **Departmental research** means research, development and scholarly activities that are not organized research and, consequently, are not separately budgeted and accounted for. Departmental research, for purposes of this document, is not considered as a major function, but as a part of the instruction function of the institution.

**b. Organized research** means all research and development activities of an institution that are separately budgeted and accounted for. It includes:

(1) **Sponsored research** means all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

(2) **University research** means all research and development activities that are separately budgeted and accounted for by the institution under an internal application of institutional funds. University research, for purposes of this document, shall be combined with sponsored research under the function of organized research.

**c. Other sponsored activities** means programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs. However, when any of these activities are undertaken by the institution without outside support, they may be classified as other institutional activities.

**d. Other institutional activities** means all activities of an institution except:

(1) instruction, departmental research, organized research, and other sponsored activities, as defined above;

(2) F&A cost activities identified in Section F; and

(3) specialized service facilities described in Section J.44. Other institutional activities include operation of residence halls, dining halls, hospitals and clinics, student unions, intercollegiate athletics, bookstores, faculty housing, student apartments, guest houses, chapels, theaters, public museums, and other similar auxiliary

enterprises. This definition also includes any other categories of activities, costs of which are "unallowable" to sponsored agreements, unless otherwise indicated in the agreements.

2. **Sponsored agreement**, for purposes of this Circular, means any grant, contract, or other agreement between the institution and the Federal Government.
3. **Allocation** means the process of assigning a cost, or a group of costs, to one or more cost objective, in reasonable and realistic proportion to the benefit provided or other equitable relationship. A cost objective may be a major function of the institution, a particular service or project, a sponsored agreement, or a F&A cost activity, as described in Section F. The process may entail assigning a cost(s) directly to a final cost objective or through one or more intermediate cost objectives.
4. **Facilities and Administrative (F&A) costs**, for the purpose of this Circular, means costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with "indirect" costs, as previously used in this Circular and as currently used in Appendices A and B. The F&A cost categories are described in Section F.1.

#### **OMB Circular A-87, Attachment A, Section B. Definitions.**

1. **"Approval or authorization of the awarding or cognizant Federal agency"** means documentation evidencing consent prior to incurring a specific cost. If such costs are specifically identified in a Federal award document, approval of the document constitutes approval of the costs. If the costs are covered by a State/local-wide cost allocation plan or an indirect cost proposal, approval of the plan constitutes the approval.
2. **"Award"** means grants, cost reimbursement contracts and other agreements between a State, local and Indian tribal government and the Federal Government.
3. **"Awarding agency"** means (a) with respect to a grant, cooperative agreement, or cost reimbursement contract, the Federal agency, and (b) with respect to a subaward, the party that awarded the subaward.
4. **"Central service cost allocation plan"** means the documentation identifying, accumulating, and allocating or developing billing rates based on the allowable costs of services provided by a governmental unit on a centralized basis to its departments and agencies. The costs of these services may be allocated or billed to users.
5. **"Claim"** means a written demand or written assertion by the governmental unit or grantor seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of award terms, or other relief arising under or relating to the award. A voucher, invoice or other routine request for payment that is not a dispute when submitted is not a claim. Appeals, such as those filed by a governmental unit in response

to questioned audit costs, are not considered claims until a final management decision is made by the Federal awarding agency.

6. "**Cognizant agency**" means the Federal agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals developed under this Circular on behalf of all Federal agencies. OMB publishes a listing of cognizant agencies.
7. "**Common Rule**" means the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; Final Rule" originally issued at 53 FR 8034-8103 (March 11, 1988). Other common rules will be referred to by their specific titles.
8. "**Contract**" means a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to): awards and notices of awards; job orders or task orders issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and, bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. 6301 et seq.
9. "**Cost**" means an amount as determined on a cash, accrual, or other basis acceptable to the Federal awarding or cognizant agency. It does not include transfers to a general or similar fund.
10. "**Cost allocation plan**" means central service cost allocation plan, public assistance cost allocation plan, and indirect cost rate proposal. Each of these terms are further defined in this section.
11. "**Cost objective**" means a function, organizational subdivision, contract, grant, or other activity for which cost data are needed and for which costs are incurred.
12. "**Federally-recognized Indian tribal government**" means the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any native village as defined in Section 3 of the Alaska Native Claims Settlement Act, 85 Stat. 688) certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs.
13. "**Governmental unit**" means the entire State, local, or federally-recognized Indian tribal government, including any component thereof. Components of governmental units may function independently of the governmental unit in accordance with the term of the award.
14. "**Grantee department or agency**" means the component of a State, local, or federally-recognized Indian tribal government which is responsible for the performance or

administration of all or some part of a Federal award.

15. **"Indirect cost rate proposal"** means the documentation prepared by a governmental unit or component thereof to substantiate its request for the establishment of an indirect cost rate as described in Attachment E of this Circular.
16. **"Local government"** means a county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (whether or not incorporated as a non-profit corporation under State law), any other regional or interstate government entity, or any agency or instrumentality of a local government.
17. **"Public assistance cost allocation plan"** means a narrative description of the procedures that will be used in identifying, measuring and allocating all administrative costs to all of the programs administered or supervised by State public assistance agencies as described in Attachment D of this Circular.
18. **"State"** means any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments.

#### **OMB Circular A-102, Definitions.**

#### **OMB Circular A-110, Subpart A, Section .2, Definitions.**

- (a) **Accrued expenditures** means the charges incurred by the recipient during a given period requiring the provision of funds for: (1) goods and other tangible property received; (2) services performed by employees, contractors, subrecipients, and other payees; and, (3) other amounts becoming owed under programs for which no current services or performance is required.
- (b) **Accrued income** means the sum of: (1) earnings during a given period from (i) services performed by the recipient, and (ii) goods and other tangible property delivered to purchasers, and (2) amounts becoming owed to the recipient for which no current services or performance is required by the recipient.
- (c) **Acquisition cost of equipment** means the 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.
- (d) **Advance** means a payment made by Treasury check or other appropriate payment mechanism to a recipient upon its request either before outlays are made by the recipient or through the use of predetermined payment schedules.

- (e) **Award** means financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the Federal Government 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 procurement laws and regulations.
- (f) **Cash contributions** means the recipient's cash outlay, including the outlay of money contributed to the recipient by third parties.
- (g) **Closeout** means the process by which a Federal awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and Federal awarding agency.
- (h) **Contract** means a procurement contract under an award or subaward, and a procurement subcontract under a recipient's or subrecipient's contract.
- (i) **Cost sharing or matching** means that portion of project or program costs not borne by the Federal Government.
- (j) **Date of completion** means the date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which Federal sponsorship ends.
- (k) **Disallowed costs** means those charges to an award that the Federal awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.
- (l) **Equipment** means tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5000 or more per unit. However, consistent with recipient policy, lower limits may be established.
- (m) **Excess property** means property under the control of any Federal awarding agency that, as determined by the head thereof, is no longer required for its needs or the discharge of its responsibilities.
- (n) **Exempt property** means tangible personal property acquired in whole or in part with Federal funds, where the Federal awarding agency has statutory authority to vest title in the recipient without further obligation to the Federal Government. An example of exempt property authority is contained in the Federal Grant and Cooperative Agreement Act (31 U.S.C. 6306), for property acquired under an award to conduct basic or applied research by a non-profit institution of higher education or non-profit organization whose principal purpose is conducting scientific research.

- (o) **Federal awarding agency** means the Federal agency that provides an award to the recipient.
- (p) **Federal funds authorized** means the total amount of Federal funds obligated by the Federal Government for use by the recipient. This amount may include any authorized carryover of unobligated funds from prior funding periods when permitted by agency regulations or agency implementing instructions.
- (q) **Federal share** of real property, equipment, or supplies means that percentage of the property's acquisition costs and any improvement expenditures paid with Federal funds.
- (r) **Funding period** means the period of time when Federal funding is available for obligation by the recipient.
- (s) **Intangible property and debt instruments** means, but is not limited to, trademarks, copyrights, patents and patent applications and such property as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership, whether considered tangible or intangible.
- (t) **Obligations** means the amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that require payment by the recipient during the same or a future period.
- (u) **Outlays or expenditures** means charges made to the project or program. They may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of cash disbursements for direct charges for goods and services, the amount of indirect expense charged, the value of third party in-kind contributions applied and the amount of cash advances and payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of cash disbursements for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subrecipients and other payees and other amounts becoming owed under programs for which no current services or performance are required.
- (v) **Personal property** means 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.
- (w) **Prior approval** means written approval by an authorized official evidencing prior consent.
- (x) **Program income** means gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award (see exclusions in paragraphs \_\_\_\_ .24 (e) and (h)). Program income includes, but is not limited to, income from fees for

services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal awarding agency regulations or the terms and conditions of the award, program income does not include the receipt of principal on loans, rebates, credits, discounts, etc., or interest earned on any of them.

- (y) **Project costs** means all allowable costs, as set forth in the applicable Federal cost principles, 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.
- (z) **Project period** means the period established in the award document during which Federal sponsorship begins and ends.
- (aa) **Property** means, unless otherwise stated, real property, equipment, intangible property and debt instruments.
- (bb) **Real property** means land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.
- (cc) **Recipient** means an organization receiving financial assistance directly from Federal awarding agencies to carry out a project or program. The term includes public and private institutions of higher education, public and private hospitals, and other quasi-public and private non-profit organizations such as, but not limited to, community action agencies, research institutes, educational associations, and health centers. The term may include commercial organizations, foreign or international organizations (such as agencies of the United Nations) which are recipients, subrecipients, or contractors or subcontractors of recipients or subrecipients at the discretion of the Federal awarding agency. The term does not include government-owned contractor-operated facilities or research centers providing continued support for mission-oriented, large-scale programs that are government-owned or controlled, or are designated as federally-funded research and development centers.
- (dd) **Research and development** 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.

- (ee) **Small awards** means a grant or cooperative agreement not exceeding the small purchase threshold fixed at 41 U.S.C. 403(11) (currently \$25,000).
- (ff) **Sub award** means 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" in paragraph (e).
- (gg) **Subrecipient** means the legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. The term may include foreign or international organizations (such as agencies of the United Nations) at the discretion of the Federal awarding agency.
- (hh) **Supplies** means 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 ("subject inventions"), as defined in 37 CFR part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements."
- (ii) **Suspension** means an action by a Federal awarding agency that temporarily withdraws Federal sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award by the Federal awarding agency. Suspension of an award is a separate action from suspension under Federal agency regulations implementing E.O.s 12549 and 12689, "Debarment and Suspension."
- (jj) **Termination** means the cancellation of Federal sponsorship, in whole or in part, under an agreement at any time prior to the date of completion.
- (kk) **Third party in-kind contributions** means 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.
- (ll) **Unliquidated obligations**, for financial reports prepared on a cash basis, means the amount of obligations incurred by the recipient that have not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the recipient for which an outlay has not been recorded.
- (mm) **Unobligated balance** means the portion of the funds authorized by the Federal awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.

**(nn) Unrecovered indirect cost** means the difference between the amount awarded and the amount which could have been awarded under the recipient's approved negotiated indirect cost rate.

**(oo) Working capital advance** means a procedure where by funds are advanced to the recipient to cover its estimated disbursement needs for a given initial period.

#### **OMB Circular A-122, Section 4, Definitions.**

- a. Equipment** means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5000.
- b. Non-profit organization** means any corporation, trust, association, cooperative, or other organization which:
- (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest;
  - (2) is not organized primarily for profit; and
  - (3) uses its net proceeds to maintain, improve, and/or expand its operations. For this purpose, the term "non-profit organization" excludes (i) colleges and universities; (ii) hospitals; (iii) State, local, and federally-recognized Indian tribal governments; and (iv) those non-profit organizations which are excluded from coverage of this Circular in accordance with paragraph 5.
- c. Prior approval** means securing the awarding agency's permission in advance to incur cost for those items that are designated as requiring prior approval by the Circular. Generally this permission will be in writing. Where an item of cost requiring prior approval is specified in the budget of an award, approval of the budget constitutes approval of that cost.

#### **OMB Circular A-133, section .105, Definitions.**

**Auditee** means any non-Federal entity that expends Federal awards which must be audited under this part. **Auditor** means an auditor that is a public accountant or a Federal, State or local government audit organization, which meets the general standards specified in generally accepted government auditing standards (GAGAS). The term **auditor** does not include internal auditors of non-profit organizations.

**Audit finding** means deficiencies which the auditor is required by §\_\_\_\_.510(a) to report in the schedule of findings and questioned costs.

**CFDA number** means the number assigned to a Federal program in the **Catalog of Federal Domestic Assistance (CFDA)**.

**Cluster of programs** means a grouping of closely related programs that share common compliance requirements. The types of clusters of programs are research and development (R&D), student financial aid (SFA), and other clusters. "Other clusters" are as defined by the Office of Management and Budget (OMB) in the compliance supplement or as designated by a State for Federal awards the State provides to its subrecipients that meet the definition of a cluster of programs. When designating an "other cluster," a State shall identify the Federal awards included in the cluster and advise the subrecipients of compliance requirements applicable to the cluster, consistent with § \_\_\_.400(d)(1) and § \_\_\_.400(d)(2), respectively. A cluster of programs shall be considered as one program for determining major programs, as described in § \_\_\_.520, and, with the exception of R&D as described in § \_\_\_.200(c), whether a program-specific audit may be elected.

**Cognizant agency for audit** means the Federal agency designated to carry out the responsibilities described in § \_\_\_.400(a).

**Compliance supplement** refers to the **Circular A-133 Compliance Supplement**, included as Appendix B to Circular A-133, or such documents as OMB or its designee may issue to replace it. This document is available from the Government Printing Office, Superintendent of Documents, Washington, DC 20402-9325.

**Corrective action** means action taken by the auditee that:

- (1) Corrects identified deficiencies;
- (2) Produces recommended improvements; or
- (3) Demonstrates that audit findings are either invalid or do not warrant auditee action.

**Federal agency** has the same meaning as the term **agency** in Section 551(1) of title 5, United States Code.

**Federal award** means Federal financial assistance and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. It does not include procurement contracts, under grants or contracts, used to buy goods or services from vendors. Any audits of such vendors shall be covered by the terms and conditions of the contract. Contracts to operate Federal Government owned, contractor operated facilities (GOCOs) are excluded from the requirements of this part.

**Federal awarding agency** means the Federal agency that provides an award directly to the recipient.

**Federal financial assistance** means assistance that non-Federal entities receive or administer in the form of grants, loans, loan guarantees, property (including donated surplus property), cooperative agreements, interest subsidies, insurance, food commodities, direct appropriations, and other assistance, but does not include amounts received as reimbursement for services rendered to individuals as described in § \_\_\_.205(h) and § \_\_\_.205(i).

**Federal program** means:

- (1) All Federal awards to a non-Federal entity assigned a single number in the CFDA.
- (2) When no CFDA number is assigned, all Federal awards from the same agency made for the same purpose should be combined and considered one program.
- (3) Notwithstanding paragraphs (1) and (2) of this definition, a cluster of programs. The types of clusters of programs are:
  - (i) Research and development (R&D);
  - (ii) Student financial aid (SFA); and
  - (iii) "Other clusters," as described in the definition of cluster of programs in this section.

**GAGAS** means generally accepted government auditing standards issued by the Comptroller General of the United States, which are applicable to financial audits.

**Generally accepted accounting principles** has the meaning specified in generally accepted auditing standards issued by the American Institute of Certified Public Accountants (AICPA).

**Indian tribe** means any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native village or regional or village corporation (as defined in, or established under, the Alaskan Native Claims Settlement Act) that is recognized by the United States as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Internal control** means a process, affected by an entity's management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

- (1) Effectiveness and efficiency of operations;
- (2) Reliability of financial reporting; and
- (3) Compliance with applicable laws and regulations.

**Internal control pertaining to the compliance requirements for Federal programs** (Internal control over Federal programs) means a process--affected by an entity's management and other personnel--designed to provide reasonable assurance regarding the achievement of the following objectives for Federal programs:

- (1) Transactions are properly recorded and accounted for to:
  - (i) Permit the preparation of reliable financial statements and Federal reports;
  - (ii) Maintain accountability over assets; and
  - (iii) Demonstrate compliance with laws, regulations, and other compliance requirements;
- (2) Transactions are executed in compliance with:
  - (i) Laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on a Federal program; and
  - (ii) Any other laws and regulations that are identified in the compliance supplement; and

- (3) Funds, property, and other assets are safeguarded against loss from unauthorized use or disposition.

**Loan** means a Federal loan or loan guarantee received or administered by a non-Federal entity.

**Local government** means any unit of local government within a State, including a county, borough, municipality, city, town, township, parish, local public authority, special district, school district, intrastate district, council of governments, and any other instrumentality of local government.

**Major program** means a Federal program determined by the auditor to be a major program in accordance with § \_\_\_\_.520 or a program identified as a major program by a Federal agency or pass-through entity in accordance with § \_\_\_\_.215(c).

**Management decision** means the evaluation by the Federal awarding agency or pass-through entity of the audit findings and corrective action plan and the issuance of a written decision as to what corrective action is necessary.

**NHIPPS:** Previously utilization was submitted monthly by hard copy. The new web-based Nevada Health Information Provider Performance System (NHIPPS) now tracks utilization automatically and this monthly submission of data is no longer required. Units of service are tracked by progress notes and one progress note must be entered for each unit of service rendered by service level. It is **important** that these progress notes be maintained so that all services provided are included in the yearly totals. These utilization values will be compared to the scopes of works when making future funding decisions.

**Non-Federal entity** means a State, local government, or non-profit organization.

**Non-profit organization** means:

- (1) any corporation, trust, association, cooperative, or other organization that:
  - (i) Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest;
  - (ii) Is not organized primarily for profit; and
  - (iii) Uses its net proceeds to maintain, improve, or expand its operations; and
- (2) The term **non-profit organization** includes non-profit institutions of higher education and hospitals.

**OMB** means the Executive Office of the President, Office of Management and Budget.

**Oversight agency for audit** means the Federal awarding agency that provides the predominant amount of direct funding to a recipient not assigned a cognizant agency for audit. When there is no direct funding, the Federal agency with the predominant indirect funding shall assume the oversight responsibilities. The duties of the oversight agency for audit are described in § \_\_\_\_.400(b).

**Pass-through entity** means a non-Federal entity that provides a Federal award to a subrecipient to carry out a Federal program.

**Program-specific audit** means an audit of one Federal program as provided for in § \_\_\_\_.200(c) and § \_\_\_\_.235.

**Questioned cost** means a cost that is questioned by the auditor because of an audit finding:

- (1) Which resulted from a violation or possible violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the use of Federal funds, including funds used to match Federal 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 in the circumstances.

**Recipient** means a non-Federal entity that expends Federal awards received directly from a Federal awarding agency to carry out a Federal program.

**Research and Development (R&D)** means all research activities, both basic and applied, and all development activities that are performed by a non-Federal entity. **Research** is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. 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.

**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.

**Single audit** means an audit which includes both the entity's financial statements and the Federal awards as described in § \_\_\_\_.500.

**State** means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Trust Territory of the Pacific Islands, any instrumentality thereof, any multi-State, regional, or interstate entity which has governmental functions, and any Indian tribe as defined in this section.

**Student Financial Aid (SFA)** includes those programs of general student assistance, such as those authorized by Title IV of the Higher Education Act of 1965, as amended, (20 U.S.C. 1070 **et seq.**) which is administered by the U.S. Department of Education, and similar programs provided by other Federal agencies. It does not include programs which provide fellowships or similar Federal awards to students on a competitive basis, or for specified studies or research.

**Subrecipient** means a non-Federal entity that expends Federal awards received from a pass-through entity to carry out a Federal program, but does not include an individual that is a beneficiary of such a program. A subrecipient may also be a recipient of other Federal awards

directly from a Federal awarding agency. Guidance on distinguishing between a subrecipient and a vendor is provided in § \_\_\_\_.210.

**Types of compliance requirements** refers to the types of compliance requirements listed in the compliance supplement. Examples include: activities allowed or unallowed; allowable costs/cost principles; cash management; eligibility; matching, level of effort, earmarking; and, reporting.

**Vendor** means a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a vendor is provided in § \_\_\_\_.210.

**Organization:** The entity that will provide the proposed services. Only organizations that are governmental agencies or private not-for-profit organizations with 501(c)(3) status are eligible for funding under the subgrant. See Program.

**Outcome Measures:** Measures of quality, which assess results of services provided. Common outcome measures include self-reported sobriety, client satisfaction, recidivism, etc. At a minimum, outcome measures should assess quality of life, symptomatology, functional status, or health status.

**Plan Performance:** A measure of quality in which performance is assessed and then compared to objectives specified in a plan for services.

**Prevention/Prevention Strategies:** Decisive counteraction to stop behavior before it occurs through activities which protect against the occurrence of problems or reduce individual risk factors.

**Prevention Resource Centers:** Substance abuse information clearinghouses and mini-display centers.

**Program:** This term is often used to refer to the provider of the program, and when used in this RFA it is synonymous with “service provider”. See Organization.

**Project Director:** The primary designee of the program operator, typically the Program Administrator or Chief Executive Officer.

**Promising Strategies:** Programs and strategies that have some quantitative data showing positive outcomes in delaying or preventing drug abuse but do not have enough research to support generalized outcomes.

**Priority Populations:** Priority for admissions: pregnant Injection Drug Users (IDU), pregnant women, and IDU men and women.

**Protective Factors:** Factors found in a community, family, school or in the individual or peers which protect against the likelihood of drug abuse.

**Problem Behaviors:** Adolescent behavior problems such as substance abuse, delinquency or teen pregnancy etc.

**Quality Assurance:** An organized set of activities intended to systematically ensure acceptable levels of quality of care. Quality Assurance differs from Quality Improvement in that the latter focuses upon improvement in quality rather than maintenance. See Quality Improvement System.

**Quality Improvement / Management System:** Organized set of activities and philosophies intended to assure continuous improvement of practices focusing on customer definition, customer satisfaction, active utilization of data, efficient group processes among staff, teamwork, and respect for the individual. See quality assurance.

**QSO(s):** Qualifying Service Organization.

**RADAR:** Regional Alcohol and Drug Abuse Resource (Network). A substance abuse information distribution system.

**Relapse Prevention:** A collection of strategies to enhance self-control.

**Resiliency:** Individual qualities or traits such as social competence, autonomy, sense of self, and sense of purpose and future which enables an individual to bounce back in the face of adversity.

**Risk Assessment:** A method of gathering and analyzing levels of risk factors in a community.

**Risk Factor Indicators:** Data that provides information levels about specific risk factors found in the community, the family, the school, and in individuals or peers which increase the likelihood of drug abuse.

**Risk Factors:** Conditions that increase the likelihood that a child will develop one or more problems.

**SALIS:** Substance Abuse Librarian and Information Specialists. International association to promote the dissemination of accurate substance abuse information.

**SAMHSA:** Substance Abuse and Mental Health Services Administration, a division of the federal Department of Health and Human Services.

**SAPT:** Substance Abuse Prevention and Treatment block grant.

**SDFSCA:** Safe and Drug-Free Schools and Communities Act.

**Service:** An intervention for abuse of alcohol and other drugs.

**SIG:** Federal State Incentive Grant program.

**SPF SIG:** Federal Strategic Prevention Framework State Incentive Grant program

**SSA:** Single State Authority. An agency identified by the state to receive and administer the federal Substance Abuse Prevention and Treatment block grant.

**Structural Measures:** A measure of whether an applicant has structures in place that is commonly associated with quality services, such as a functional Utilization Review system.

**Supplemental Data Set:** Optional reporting.

**Synar:** In July 1992, Congress enacted the Synar Amendment as part of the Alcohol, Drug Abuse, and Mental Health Administration Reorganization Act (P.L. 102-321, Section 1926). It requires states to enforce their tobacco minimum age-of-sale laws or risk losing substance abuse block grant funds. The Synar Amendment is administered by SAMHSA and has been an important catalyst for the passage of state tobacco-control legislation. Under Synar, state officials are supervising random, unannounced visits to retail outlets by minors as a means of monitoring retailer compliance. Retailers caught selling tobacco to minors may be fined or have their tobacco licenses suspended.

**TANF:** Temporary Assistance for Needy Families, Federal program administered by the state Welfare Division.

**Treatment Episode Data Set (TEDS):** Administrative data system providing annual data on number and characteristics of persons admitted to public and private nonprofit substance abuse treatment programs receiving public funding in United State, Washington, D.C., and Puerto Rico, and includes required and optional reporting.

**Treatment:** Treatment means the care of substance use disorders through detoxification, medication or counseling, or any combination thereof.

**Uniform Facility Data Set (UFDS):** Annual survey conducted by SAMHSA of facilities providing substance abuse treatment, designed to measure location, characteristics, and use of treatment facilities and services throughout the United State, Washington, D.C., Puerto Rico, and other U.S. jurisdictions.

**Utilization Management Criteria (UMC):** A set of criteria for determining whether to admit a client to a level of service, for determining whether to continue to provide services to a client at a given level of care, and for determining whether to discharge a client from a level of service.

**Utilization Measures:** Measure of utilization of services, such as the number of clients served and the average length of stay.

**Utilization Report:** Number of treatment service units provided to clients as defined by the Bureau. All treatment providers submit reports monthly.

**Utilization Review:** Utilization Review may be internal (conducted by the service provider) or external (provided by a third-party funding source). Utilization Review addresses the appropriateness, necessity, and efficiency of any given clinical service. There are typically two components of utilization review: (1) Review of treatment matching to determine whether clients are served at the appropriate level of service according to specified utilization management criteria. (2) Review of services provided to determine whether they are appropriate to the identified needs of clients.

**Waiting List:** List of clients not admitted to treatment because there was no space available when treatment was determined appropriate; Submitted by treatment providers.

**YRBSS:** Youth Risk Behavior Surveillance System monitors priority health-risk behaviors among youth and young adults. The YRBSS includes national school-based survey conducted by the Centers for Disease Control and Prevention (CDC) and state, territorial, tribal, and local surveys.