

Project Code _____
 Account Name _____
 Account Number _____
 Lead PI _____
 Co-PI's _____
 Agency (Fed flow-through) _____
 Project Dates _____

Award type	Cost reimbursement	Fixed-price	UG?
Grant			
Contract			
Coop. Agmt.			
Gift			

Award Set-up

- 1) New award email to PI: _____
- 2) Email to financial team: _____
- 3) Signature authorization: _____
- 4) Purchasing authorization: _____
- 5) Set-up in Gateway: _____
- 6) Set-up in GUS: _____
- 7) Add personnel: _____

Dept. Recharge Accounts to set up/close:

	Recharge Assigned	Date Requested	Date Received		Close-Date Requested	Close-Date Confirmed
Biology						
Chemistry*						
Physics						
Phone/FAX						
Central Stores						

* Please note: For Chemistry recharges, attach list of users.

Project Notes: _____

PROJECT WORKSHEET

Award Closeout

Six months prior to end date:

- 1) Review balances and verify liens: _____
- 2) Consult PI about remaining funds: _____

Two months prior to end date:

- 1) Review balances and verify liens: _____
- 2) Consult PI about remaining funds: _____
- 3) Possible no-cost extension: _____

After end date:

- 1) Close all purchasing & recharge no.: _____
- 2) Signature authorization canceled: _____
- 3) Close-out memo sent to Accounting: _____
- 4) Revised close-out memo sent to Acct: _____
- 5) Adjusted to actual verified and done: _____

Final Report	Due Date	Date Submitted to Agency	Method of Submission	Hard copy in File
Technical				
Patent				
Equipment				

Closeout Notes: _____

EXPLANATION OF CODES LISTED IN "CONDITIONS" FIELD EFFECTIVE (2/1/2021)

If a code number and/or letter appears in the "CONDITIONS" field on the Award Synopsis, then the condition specified below applies to this award. Please note that the codes listed on the Award Synopsis are not intended to be exhaustive. Principal Investigators and Administering Units are also responsible for reviewing the applicable award terms and conditions. If you have any questions, please do not hesitate to contact your Sponsored Projects or Industry Contracts Team.

GENERAL TERMS AND CONDITIONS

8	Uniform Guidance 2 CFR, Part 200
9	Award includes Federal flow-through funding
10	Research Terms and Conditions, and the appropriate Agency Specific Requirements (see: http://www.nsf.gov/bfa/dias/policy/rte/index.jsp).
11	Federal Demonstration Partnership, and the appropriate Agency Specific Requirements (see www.thefdp.org).
12	UC Program. See program guidelines and award document.
14	FAR Clause 52.216-7 Alternate II is included in award terms. See FAR Subpart 31.3. The allowability of costs is determined in accordance with the OMB Uniform Guidance at 2 CFR part 200, subpart E appendix III, in effect on the date of the contract.
15	EDGAR (see http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html)
16	2 CFR 220 (OMB Circular A-21)
17	2 CFR 215 (OMB Circular A-110)
18	Federal Acquisition Regulations ("FAR"), and the appropriate Agency FAR Supplements (see https://acquisition.gov/browsefar)
19	See special award terms and/or sponsor guidelines.
20	Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Subaward Reporting Applies

EQUIPMENT ISSUES

21	General Purpose Equipment, not in the approved budget, requires the prior written approval of the sponsor if the amount exceeds \$5,000.
22	Special Purpose Equipment, not in the approved budget, requires the prior written approval of the sponsor if the amount exceeds \$5,000.
23	Equipment not in the approved budget requires the prior written approval of the sponsor if the amount exceeds \$5,000.
24	Title to equipment vests in: University.
25	Title to equipment vests in: Government. <i>Note: Equipment must be used exclusively for the conduct of the research project.</i>
26	Title to equipment vests in: See award document and/or Synopsis comments.
27	DIPEC prior approval is required for all equipment purchases over \$10,000 (and Computer Equipment over \$25,000). Form DD1419 must be completed and sent, via Office of Research, to the federal administering agency.
28	If PI wishes to purchase General Purpose Equipment not in the approved budget, the Purchase Requisition must contain assurance from the PI that the equipment will be used primarily or exclusively in the conduct of the research.
29	No equipment allowed on the project.

TRAVEL ISSUES

31	Foreign Travel not in the approved budget requires the prior written approval of the sponsor.
32	Foreign Travel requires prior written approval of the sponsor regardless of its inclusion in the approved budget.
34	Domestic Travel not in the approved budget requires the prior written approval of the sponsor.
35	All Travel requires prior written approval, regardless of its inclusion in the approved budget.

MISCELLANEOUS BUDGET ISSUES

40	Carry forward of funds requires prior approval.
41	Project contributions are cumulative.
42	Salary payments to any individual, excluding benefits, may not exceed a <i>rate</i> of \$16,608 per month. Effective for budget periods beginning 01/03/21. For additional guidance, see NIH Notice: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-057.html .
43	All rebudgeting requires prior approval of the agency.
44 (A)	Prior sponsor approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10% of the total award. % of total award, if different, noted in remarks.
44 (B)	Prior sponsor approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers exceeds 10% of the line item. % of the line item, if different, noted in remarks.
45	Prior sponsor approval is required for transfers of funds among direct cost categories and between direct and indirect cost categories when the cumulative amount of such transfers exceeds the greater of \$10,000 or 5% of the total project budget last approved. Amount and % of total project budget, if different, noted in remarks.
46	Limitation of Funds/Costs: Admin. Unit must notify Agency when it believes that expenditures to date will exceed, in next 60 days, 75% of either, total funds obligated to date (if contract is not fully-funded) or total estimated cost (if contract is fully-funded). No. of days and % of funds, if different, noted in the Remarks.
47	Graduate Students may not receive over \$53,760/year (including tuition, fees and benefits). Effective for budget periods beginning October 1, 2020 (FY 2021). For additional guidance, see NIH Notice: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-049.html .
48 (A)	Award includes change in indirect cost rate. Change in rate applies to funds under this record and any unspent/carry forward funds on award.
48 (B)	Award includes change in indirect cost rate. Change in rate applies only to funds awarded under this record number.
49	Award payment is made in foreign currency. Fluctuations in the exchange rate may require adjustments to the US dollar amount awarded.

TYPE OF CONTRACT

51	Cost-Reimbursement Contract.
52	Fixed-Price Contract.
53	Other type of Contract - See remarks
54	Invoicing is required. See contract for invoicing information, amount(s) and due date(s).
55	Invoicing is required. Sponsor is to be billed in arrears as costs are incurred. See contract for invoicing information and frequency.

REPORTING REQUIREMENTS

61	Annual Technical Report/Continuation Request: 1) For NIH awards issued under the Streamlined Non-Competing Award Process (SNAP) the progress report must be submitted electronically through the eRA Commons Research Performance Progress Report (RPPR) module 45 days before the begin date of the next budget period. 2) Progress reports for NIH awards that are not issued under the SNAP are due 60 days before the begin date of the next budget period and must be submitted electronically through the eRA Commons Research Performance Progress Report (RPPR) module. For Non-NIH awards – Annual Technical Report/Continuation request is due 60 days prior to anniversary date.
62	Annual Technical Report/Continuation Request due 90 days prior to anniversary date.
63	Annual Technical Report due 90 days after anniversary date.
64	Biannual Technical Reports due.
65	Quarterly Technical Reports due.
66	Monthly Technical Reports due.
67	Annual Technical Report due on anniversary date.
68	Milestone Reports required.
69	See award terms for additional reporting requirements.

SPONSOR SPECIFIC TERMS & CONDITIONS

71	This award includes federal or federal flow-through funding. Any change in the PI(s) or Senior/Key Personnel specified on the notice of award, including a 25% or more reduction in time devoted to the project, requires prior approval from the sponsor in accordance with the award or sponsor's general terms and conditions. If different, noted in remarks.
72	This award includes NSF or NSF flow-through funding and is subject to the NSF Notification Requirements Regarding Findings of Sexual Harassment, Other forms of Harassment, or Sexual Assault. UCSB's harassment policies must be disseminated to attendees at NSF-sponsored conferences prior to attendance and must be made available at the conference. A list of UCSB's harassment policies and resources for dissemination to attendees can be found here: https://www.research.ucsb.edu/nsf-sexual-harassment-policy .

INTELLECTUAL PROPERTY ISSUES

81	This award contains special intellectual property (IP) terms.
82	A "Notice of Restrictive Patent Provision" (informed consent) must be signed by all project personnel.
83	This project must be isolated – except for federal, no other funding or resources may be used.
84	This project must be isolated – no other funding or resources may be used.

OTHER AWARD REQUIREMENTS

90	This award includes a Subcontracting Plan.
91	This award is subject to the University Policy on Disclosure of Financial Interests Related to Sponsored Projects. As a reminder, if an Investigator's financial interests change, in relation to this project, an updated disclosure must be submitted through O.R.'s Conflict of Interest disclosure system – ORCOI at https://ucsb.coi-smart.com .
92	An "Agreement to Comply with Export Control Terms" (export control informed consent) must be signed by the principal investigator.
93	This award includes FAR Clause 52.222-54 Employment Eligibility Verification (E-Verify).
94	This award is subject to Responsible Conduct of Research (aka RCR) requirements.
95	This project has been classified as a "Major Project" in accordance with A21.
96	This award includes FAR Clause 52.222-50 Combating Trafficking in Persons. PI/Dept. are responsible for notifying all project personnel. For text of the clause and guidance see https://www.acquisition.gov/content/52222-50-combating-trafficking-persons and http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/JPAC-13-07 .
97	This award contains special procurement terms. See award terms and/or synopsis remarks.