

OFFICE OF RESEARCH – SPONSORED PROJECTS  
**REQUEST FOR APPROVAL TO SPEND FUNDS (RAS)**

Principal Investigator(s):  Administering Department:

Project Title:

OR Record #:  Sponsor:

Contact person:  Extension:

1. Anticipated Award type will be: *(check one)*  
 Grant     Cooperative Agreement     Cost-Reimbursement Contract     Fixed-Price Contract     Other Transaction Agreement
  
2. Anticipated Award will be: *(check one)*  
 Renewal     New     Continuation     Supplement
  
3. Indicate current sponsor award number *(if applicable)*:
  
4. Current UCSB Account number *(if applicable)*:  Fund number *(if applicable)*:
  
5. Anticipated Award Begin date:  End date:  Anticipated Award Funds: \$
  
6. Approval is requested to spend \$  for the period beginning  and ending
  
7. Does this RAS include a request for pre-award spending?     Yes     No  
 Pre-award Begin date:                       Pre-award End date:
  
8. Description of request and justification of need to spend and the firm commitment from Sponsor (attach pages, if necessary):

**CERTIFICATIONS AND APPROVALS:**

In accordance with University policy, an urgent need exists to expend funds prior to receipt of a fully-executed award.

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PRINCIPAL INVESTIGATOR DATE

I concur with this request, and I (check one)  will provide/  am unable to provide funding for losses incurred as a result of pre-award spending.

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DEPT. CHAIR OR ORU DIRECTOR DATE

I approve this request, with the understanding that (check one)  the Department Chair will provide funding for losses incurred/  I will provide funding for losses incurred.

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DEAN OR VICE CHANCELLOR DATE

**OFFICE OF RESEARCH USE ONLY:**

Confirmation of firm commitment from sponsor:

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SPONSORED PROJECTS OFFICER DATE

REQUEST APPROVED  
 REQUEST DISAPPROVED

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CHANCELLOR'S DESIGNEE DATE

OFFICE OF RESEARCH – SPONSORED PROJECTS  
**REQUEST FOR APPROVAL TO SPEND FUNDS (RAS)**

INSTRUCTIONS FOR PREPARATION OF “REQUEST FOR APPROVAL TO SPEND FUNDS” (RAS)  
(UCSB/OR Form 203)

This form is to be used to obtain approval to spend funds for an extramurally funded project prior to the receipt of an award. Conditions governing the use of this form are set forth in UCSB Research Circular C.1. Once you have completed the form, please send it to the Sponsored Projects unit in the Office of Research, 3227 Cheadle Hall, Mail Code 2050. If you have any questions, you should contact the Sponsored Projects Team assigned to your department.

**Top Section:** *Enter general information about the project:* Indicate the name of the principal investigator and the administering department for the anticipated award. Provide the complete title of the project. Provide the OR record number established for the project proposal, and the full name of the sponsor from whom the award is anticipated (e.g. National Science Foundation, Department of Energy, State of California) Provide the name and telephone extension of the individual who may be contacted for questions regarding this request.

**Item 1.** Indicate whether the anticipated award will be a grant, cooperative agreement, cost-reimbursement contract, fixed-price contract or Other Transaction agreement.

**Item 2.** Indicate which one of the four types of award is expected: *New*, or an original award; *Continuation*, or an award for a follow-on budget period within an approved project period; *Renewal*, or a new award for continued support of an existing project; *Supplement*, or an augmentation of funds within a budget period.

**Item 3.** If this request is being submitted for an ongoing project, indicate the current award number assigned by the sponsor.

**Item 4.** If this request is being submitted for an ongoing project, indicate the current UCSB account and fund number.

**Item 5.** Indicate the anticipated period of performance for the pending award, as well as the anticipated total amount of funding (direct and indirect costs) to be provided by the sponsor.

**Item 6.** Indicate the exact amount of funds being requested for spending prior to receipt of the anticipated award, and the exact period during which these funds will be spent.

**Item 7.** Indicate if this request also includes a request by the principal investigator for pre-award spending from the sponsor (including grantee-approved pre-award spending requests) and provide the requested begin and end date for pre-award spending.

**Item 8.** A specific justification is required for the funds that are being requested for spending prior to receipt of an anticipated award. This should cover not only the items for which funds will be spent (e.g., salaries, supplies, equipment, etc.), but the “urgent need” that requires spending prior to the receipt of the award. For example, interruption of work on a project may affect its completion, and thus funds must be spent in advance of receiving an award to retain existing staff and acquire laboratory supplies. Also, indicate the nature of the “firm commitment” that the sponsor has given with respect to making an award. Specify the name and title of the individual making the commitment, the date when this occurred, and the UCSB staff to whom the commitment was conveyed. Provide any additional information that would be useful to evaluating this request.

**Certifications and Approvals.** The principal investigator must sign the certification regarding the existence of an urgent need to spend funds. The principal investigator’s Department Chair or ORU Director will then review the request and indicate, by signing the statement of concurrence, *whether the Department will or will not provide funding to cover costs in the event an award is not received for the amount or period anticipated.* The request should then be forwarded for review to the Dean of the principal investigator’s College or School (or in the case of ORUs the Vice Chancellor for Research); the Dean indicates approval by signing the statement of approval, and *indicating whether the Department Chair or the Dean will be responsible for providing funding in the event the anticipated funds are not received.* All certifications and approvals must be completed before submitting this form to the Office of Research.

**Office of Research Use Only.** Sponsored Projects staff will then confirm the “firm commitment” of the sponsor and will ensure that any compliance approvals (e.g. human subjects, animal subjects, conflict of interest etc.) have been cleared before submitting the form to the Chancellor’s designee for final review and approval. Once approved, the form will be sent to Extramural Funds Accounting to have an account and fund number assigned.

**UNIVERSITY OF CALIFORNIA, SANTA BARBARA**

**OFFICE OF RESEARCH**

**AWARD SYNOPSIS**

Record # : 20130431  
 Proposal Submitted : Cooperative Agreement  
 Award Action : New

Date : 01/04/2013  
 Dept. : ISBE  
 Fund # :

Agency : USDA Rocky Mountain Forest and Range Experiment Station  
 Award # : 13-JV-11221611-027  
 Mod # : Sponsor Code : 0326 Site of work : N: On-Campus  
 CFDA Number : 10.000 Category : 1

**PIs:**

#	First Name	Middle Name	Last Name	Home Dept	Title Code	% Time	Eligible	Exception	
1	Jody	Lee	Shepherd	Jahn	CMST	7 - Other	50.0	No	Yes
2	Linda		Putnam		CMST	1 - Professor	5.0	Yes	No

Title: Wildland Firefighting and Theories of High Performance

**FINANCIAL INFORMATION**

Award Funds	:	13,430	IDC Award	:	0	Third Party	:	0
Begin Date	:	12/20/2012	IDC Rate	:	0.00	(formerly Matching		
End Date	:	04/30/2013	IDC Code	:	40 - See Waiver	UC Cash	:	0
						(formerly UC Participation)		
Projected Funds	:	0	RAS Funds	:	0	UC In-kind	:	5,573
Funds Thru Date	:		Begin Date	:		(formerly Cost Share)		
Funds Obligated To Date	:	0	End Date	:		Pre-Award Begin Date	:	
						Waiver Type	:	C - Class
						Waiver number	:	81R-006

**REPORTS**

Final Tech : 07/29/2013  
 Final Patent :  
 Final Equip :

**APPROVALS**

Human Subjects	:	No	HS Log	:		HS Exp Date(s)	:	
Use of Animals	:	No	AS Log Number	:		AS Exp Date	:	
Use of Stem Cells	:	No	SC Log Number	:		AS Exp Date	:	
Research Using SSN	:	No						

**CONDITIONS:**

Code	Category	Description
19	General Terms and Conditions	See special award terms and/or agency guidelines.
29	Equipment Issues	No equipment allowed on the project.
69	Reporting Requirements	See award terms for additional reporting requirements.

REMARKS:

<b>APPROVAL</b>	:	George S Hopwood	AWARD DATE	:	01/02/2013
PHONE	:	(805)893-5530	OTHER ACTION	:	
			OTHER ACTION DATE	:	
			NO COST EXTENSION DATE	:	

## 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: <a href="http://www.nsf.gov/bfa/dias/policy/rte/index.jsp">http://www.nsf.gov/bfa/dias/policy/rte/index.jsp</a> ).
11	Federal Demonstration Partnership, and the appropriate Agency Specific Requirements (see <a href="http://www.thefdp.org">www.thefdp.org</a> ).
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 <a href="http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html">http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html</a> )
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 <a href="https://acquisition.gov/browsefar">https://acquisition.gov/browsefar</a> )
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: <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-057.html">https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-057.html</a> .
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 <b>must</b> 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: <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-049.html">https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-049.html</a> .
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: <a href="https://www.research.ucsb.edu/nsf-sexual-harassment-policy">https://www.research.ucsb.edu/nsf-sexual-harassment-policy</a> .

**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 <a href="https://ucsb.coi-smart.com">https://ucsb.coi-smart.com</a> .
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 <a href="https://www.acquisition.gov/content/52222-50-combating-trafficking-persons">https://www.acquisition.gov/content/52222-50-combating-trafficking-persons</a> and <a href="http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/JPAC-13-07">http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/JPAC-13-07</a> .
97	This award contains special procurement terms. See award terms and/or synopsis remarks.

**Research Terms and Conditions Appendix A**  
**Prior Approval Matrix**  
**November 12, 2020**

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA	DHS-GFAD	DHS-FEMA
<b>Prior Written Approval (prior approval)*</b>	<b>200.407</b>									
<b>Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts</b>	<b>200.407(a)</b>									
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Cost sharing or matching</b>	<b>200.407(b)</b>									
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived	Waived <sup>15</sup>	Waived	Waived	Required	Waived
Use of current fair market value to determine the value of non-Federal entity contributions of services and donations of property for the purposes of cost sharing or matching.	200.306(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, buildings or land.	200.306(h)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Program Income</b>	<b>200.407(c)</b>									
Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Waived	Waived	Waived <sup>5</sup>	Waived	Waived	Waived <sup>20</sup>	Waived	Waived
<b>Revision of budget and program plans</b>	<b>200.407(d)</b>									
Change in the scope or the objective of the project or program.	200.308(c)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Change in a key person specified in the application or Federal award.	200.308(c)(2)	Required	Required <sup>14</sup>	Required	Required	Required	Required	Required	Required	Required
Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved Project Director (PD) or PI.	200.308(c)(3)	Required	Required <sup>14</sup>	Required	Required <sup>6</sup>	Required	Required	Required <sup>21</sup>	Required	Required
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E -- Cost Principles.	200.308(c)(4)	Required	Waived <sup>1</sup>	Required	Waived <sup>7</sup>	Required	Required	Required	Required	Required
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(5)	Required	Required <sup>2</sup>	Required	Waived <sup>8</sup>	Required	Required	Required	Required	Required
Subawarding, transferring or contracting out of any work under a Federal award, including fixed amount subawards as described in 200.333. This provision does not apply to the acquisition of supplies, material, equipment or general support services.	200.308(c)(6)	Required	Required	Required	Waived <sup>9</sup>	Waived <sup>16</sup>	Required	Required	Required	Required
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(c)(7)	Required	Required	Required	Required	Waived <sup>17</sup>	Required	Required	Required	Required
Need for additional Federal funds to complete the project.	200.308(c)(8)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Incur project costs 90 calendar days before the Federal awarding agency makes the Federal award.	200.308(e)(1)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Incur project costs more than 90 calendar days pre-award.	200.308(e)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Initiate a one-time extension of the period of performance by up to 12 months.	200.308(e)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Subsequent no-cost extension or extension of more than 12 months.	200.308(e)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Carry-forward of unobligated balances to subsequent budget periods.	200.308(e)(3)	Waived	Waived	Waived	Waived <sup>10</sup>	Waived	Waived	Waived	Required	Waived
Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.	200.308(e)(4)	Waived	Waived	Waived	Waived <sup>11</sup>	Waived	Waived	Waived	Required	Waived
Restrict the transfer of funds among direct cost categories or programs, functions and activities for Federal awards in which the Federal share of the project exceeds the simplified acquisition threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency.	200.308(f)	Waived	Waived	Waived	Waived <sup>11</sup>	Waived	Waived	Waived <sup>22, 23</sup>	Required	Waived
Making any fund or budget transfers between construction and non-construction work.	200.308(h)(5)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Real Property</b>	<b>200.407(e)</b>									
Encumber real property acquired with Federal funds.	200.311(b)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Transfer of title to the Federal awarding agency or to a third party.	200.311(c)(3)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Special arrangements and alterations costs incurred specifically for a Federal award.	200.462(a)	Required	Required <sup>3</sup>	Required	Waived <sup>12</sup>	Required	Required	Required	Required	Required

**Research Terms and Conditions Appendix A**  
**Prior Approval Matrix**  
**November 12, 2020**

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA	DHS-GFAD	DHS-FEMA
<b>Equipment</b>										
	200.407(f)									
Encumber equipment acquired with Federal funds.	200.313(c)(1)	Required	Required	Required	Required	Required	Required <sup>19</sup>	Required	Required	Required
<b>Fixed amount subawards</b>										
	200.407(g)									
Subawards based on fixed amounts up to the Simplified Acquisition Threshold, provided that the subawards meet the requirements for fixed amount awards in 200.201.	200.333	Required	Required	Required	Required	Required	Required	Required	Required	Waived
<b>Direct Costs</b>										
	200.407(h)									
Direct charge the salaries of administrative and clerical staff if all conditions in 200.413 are met, excluding 200.413(c)(3).	200.413(c)	Waived	Required	Waived	Waived	Waived	Waived	Waived	Waived	Waived
<b>Compensation -- personal services, paragraph (h)</b>										
	200.407(i)									
Directly charge payments of incidental activities for which supplemental compensation is allowable under written institutional policy (at a rate not to exceed institutional base salary).	200.430(h)(1)(ii)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Faculty salary in excess of Institutional Base Salary (IBS).	200.430(h)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Intra-IHE faculty consulting on a Federal award that exceed a faculty member's base salary.	200.430(h)(3)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
<b>Compensation -- fringe benefits</b>										
	200.407(j)									
Severance payments to foreign nationals employed by the non-Federal entity outside the US that exceed the amounts customary in the US.	200.431(i)(4)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Severance payments to foreign nationals employed by the non-Federal entity outside the US due to termination of the foreign national as a result of the closing of, or curtailment of activities by, the non-Federal entity in that country.	200.431(i)(5)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Entertainment costs</b>										
	200.407(k)									
Inclusion of costs of entertainment, including amusement, diversion, and social activities and any associated costs that have a programmatic purpose.	200.438	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Equipment and other capital expenditures</b>										
	200.407(l)									
Direct charge capital expenditures for general purpose equipment.	200.439(b)(1)	Waived	Waived	Waived	Waived <sup>11</sup>	Waived <sup>18</sup>	Waived	Waived <sup>22, 24</sup>	Waived	Waived
Direct charge capital expenditures for buildings and land use.	200.439(b)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Direct charge capital expenditures for special purpose equipment over \$5,000.	200.439(b)(2)	Waived	Waived	Waived	Waived <sup>11</sup>	Waived	Waived	Waived <sup>22, 24</sup>	Waived	Waived
Capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life.	200.439(b)(3)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Exchange rates</b>										
	200.407(m)									
Exchange rate fluctuations that result in the need for additional Federal funding, or a reduction in the scope of the project.	200.440(a)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Fines, penalties, damages and other settlements</b>										
	200.407(n)									
Costs resulting from non-Federal entity violations of, alleged violations of, or failure to comply with, Federal, state, tribal, local or foreign laws and regulations.	200.441	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Fund raising and investment management costs</b>										
	200.407(o)									
Fund raising costs for the purposes of meeting the Federal program objectives.	200.442(a)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Goods or services for personal use</b>										
	200.407(p)									
Costs of housing (e.g. depreciation, maintenance, utilities, furnishings, rent, housing allowances and personal living expenses).	200.445(b)	Required	Required	Required	Required	Required	Required	Required	Required	Required

**Research Terms and Conditions Appendix A**  
**Prior Approval Matrix**  
**November 12, 2020**

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA	DHS-GFAD	DHS-FEMA
<b>Insurance and indemnification</b>		<b>200.407(q)</b>								
Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property.	200.447(b)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Memberships, subscriptions, and professional activity costs, paragraph (c)</b>		<b>200.407(r)</b>								
Costs of membership in any civic or community organization.	200.454(c)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Organization costs</b>		<b>200.407(s)</b>								
Costs such as incorporation fees, brokers' fees, fees to promoters, organizers or management consultants, attorneys, accountants, or investment counselor, whether or not employees of the non-Federal entity in connection with establishment or reorganization.	200.455	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Participant support costs</b>		<b>200.407(t)</b>								
Transfer of funds into the participant support cost category.	200.456	Waived	Waived <sup>4</sup>	Waived	Required <sup>13</sup>	Waived	Waived	Waived	Required	Waived
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(5)	Required	Required	Required	Waived <sup>6</sup>	Required	Required	Required	Required	Required
<b>Pre-award costs</b>		<b>200.407(u)</b>								
Inclusion of allowable pre-award costs.	200.458	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Incur project costs 90 calendar days before the Federal awarding agency makes the Federal award.	200.308(e)(1)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Incur project costs more than 90 calendar days pre-award.	200.308(e)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Rearrangement and reconversion costs</b>		<b>200.407(v)</b>								
Direct charge special arrangements and alterations costs incurred specifically for a Federal award.	200.462(a)	Required	Required <sup>3</sup>	Required	Waived <sup>12</sup>	Required	Required	Required	Required	Required
<b>Selling and marketing costs</b>		<b>200.407(w)</b>								
Costs of selling and marketing any products or services of the non-Federal entity (unless allowed under §200.421).	200.467	Required	Required	Required	Required	Required	Required	Required <sup>25</sup>	Required	Required
<b>Taxes (including Value Added Tax)</b>		<b>200.407(x)</b>								
Use of foreign tax reimbursement for approved activities under the Federal award.	200.470(c)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>Travel costs</b>		<b>200.407(y)</b>								
Inclusion of travel costs for officials covered by 200.444 General costs of government.	200.474(a)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Travel costs for dependents for travel of duration of six months or more.	200.474(c)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
<b>* Any of the authorities may be over-riden by a special term or condition of award.</b>										
<sup>1</sup> Except where specified otherwise in this matrix, the terms and conditions of award, or the applicable program solicitation or award notice.										
<sup>2</sup> This action requires the prior written approval of the cognizant NSF Program Officer.										
<sup>3</sup> Rearrangement and reconversion costs under \$25,000 may be approved by grantees.										
<sup>4</sup> Unless funds are being moved into the "Other" category of participant support.										
<sup>5</sup> Waived, funds added to the amount available for the project.										
<sup>6</sup> Required for the PI and any other individuals specifically named in the Notice of Award.										
<sup>7</sup> Waived, but costs not specifically covered in Subpart F are subject to the NIH Grants Policy Statement (NIHGPS).										
<sup>8</sup> Waived, unless change in scope. For the purposes of Kirschstein-National Research Service Award (NRSA) programs, this term does not apply. NIH will continue to use the terms trainees, trainee-related expenses, and trainee travel in accordance with NRSA Regulations. Participant support costs are only allowable when identified in specific Funding Opportunity Announcements (FOAs).										

**Research Terms and Conditions Appendix A**  
**Prior Approval Matrix**  
**November 12, 2020**

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA	DHS-GFAD	DHS-FEMA
<sup>9</sup> Waived unless change in scope and except when subrecipient is foreign.										
<sup>10</sup> Waived except when Notice of Award indicates prior approval is required.										
<sup>11</sup> Waived unless change in scope.										
<sup>12</sup> Waived for alterations and renovations costing up to \$500,000, unless change in scope or rebudgeting into A&R exceeds 25% of budget period total. See Rearrangement and Reconversion Costs within NIH Grants Policy Statement Chapter 7.9.1.										
<sup>13</sup> Required, participant support costs are only allowable when identified in specific Funding Opportunity Announcements (FOAs).										
<sup>14</sup> This also is required for any co-PI/co-PD on the project.										
<sup>15</sup> Only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institution's negotiated indirect cost rate, whichever is less.										
<sup>16</sup> Waived except when: 1) subaward(s) would be more than 50% of the total dollars of the award or 2) subaward is to a federal agency. In these situations, prior approval is required.										
<sup>17</sup> Except when the change is a reduction in the amount of approved cost-sharing/match in which case prior approval is required.										
<sup>18</sup> If the cost of the equipment is appropriately prorated among the activities to be benefitted.										
<sup>19</sup> Department of Commerce (DOC) permits non-Federal entities to own equipment upon acquisition without conditions or without obligation to the sponsor at termination of project, unless otherwise specified in a specific award condition. DOC permits trade in equipment to buy replacement equipment.										
<sup>20</sup> With prior approval, may use to meet cost share requirement.										
<sup>21</sup> Applies to PIs and co-PIs.										
<sup>22</sup> Waived unless results in a change of scope.										
<sup>23</sup> Waived unless total cost share amount is reduced from what was approved in budget.										
<sup>24</sup> Waived if the cost of equipment is appropriately prorated among the activities to be benefitted.										
<sup>25</sup> Pertains only to items produced under this award in which the Federal share was used for all or part of the development.										



[DEPARTMENTAL LETTERHEAD]

SANTA BARBARA, CALIFORNIA 93106-2050

[Date]

[Addressee]

Reference: [Award number, PI, Title]

Subject: FAR Clause 52.232-22 Limitation of Funds [ or appropriate citation for a grant, cooperative agreement, subcontract etc.]

Dear \_\_\_\_\_:

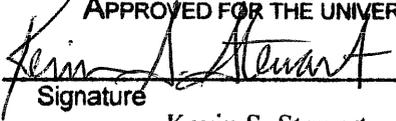
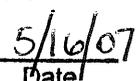
In accordance with the provisions of Federal Acquisition Regulation (FAR) Clause 52.232-22, the Regents of the University of California, Santa Barbara (hereinafter "UCSB") provides notice that the costs we expect to incur under the above-referenced [contract, subcontract, cooperative agreement, grant] in the next sixty (60) days, when added to all costs previously incurred will exceed 75 percent (75%) of the total amount so far allotted to this referenced [contract, subcontract, cooperative agreement, grant] .

As of [date of last financial statement, ledger etc.], UCSB has expended \$ \_\_\_\_\_, or \_\_\_\_% of the available subcontract funding for [period of availability of funding].

If you should have any questions, please feel free to contact me at (805) 893-[XXXX] or via e-mail at [PI e-mail address].

Sincerely,

[PI name]

<b>APPROVED FOR THE UNIVERSITY</b>	
 Signature	 Date
Kevin S. Stewart Sponsored Projects Officer	
Office of Research University of California Santa Barbara, CA 93106	Tel: (805) 893-4034 Fax: (805) 893-2611 stewart@research.ucsb.edu

# Acronym Definition List

ARO – Army Research Office

CFR – Code of Federal Regulations

DEAR – Department of Energy Acquisition Regulation

DFARS – Defense Acquisition Regulation Supplement

FAR – Federal Acquisition Regulation

FDP – Federal Demonstration partnership

IP – Intellectual Property

NCE – No cost extension

OMB – Office of Management and Budget

OR – Office of Research

OTA – Other Transaction Agreement

PI – Principal Investigator

RAS – Request for approval to spend

RFP – Request for Proposal

RFQ – Request for Quotation

RTC – Research Terms & Conditions

SPA – Sponsored Projects Analyst

SPO – Sponsored Projects Office, Sponsored Projects Officer

T&C – Terms & conditions

TIA – Technology & Industry Alliances Office

UCOP – University of CA Office of the President

For a full list of commonly used acronyms please go to this link:

<http://www.research.ucsb.edu/toolbox/definitions-and-acronyms/>