a. Award Information
   i. **Project Code**: Start by assigning a unique project code, up to six characters (alpha and/or numeric) in length.

   **Some General Guidelines** – a Project tracks all transactions associated with a particular ‘pot of money’ which might be the money associated with a particular research grant, the portion of a research award for an individual PI on a multiple-PI award, or some portion of departmental funds. To track financial activity individually, consider setting up a Project for that activity.

   Examples of situations where you might want to create a project:
   - Startup funds for an individual PI
   - A research award for one PI
   - A portion of a research award 'belonging' to one of the PIs
   - Expenses associated with a particular project
   - Departmental salaries
   - Departmental computer expenses

   If a particular award budget contains several individual tasks with individual budgets that are combined into one consolidated budget, assigning each task and associated budget its own project will allow for easier tracking. All the individual projects related to the consolidated budget can then be grouped as a Cost Center (defined in detail, section II.C.3.b. Project, Cost Centers). You will always be able to see financial totals by account-fund regardless of the number of projects associated with that account-fund.

   **Suggestion**: It is strongly recommended that some time and thought are put into establishing a system to define project codes and cost centers for ease of recognition, organization and long term growth of the department. Project naming conventions that are easy to understand can help users immediately understand things about the project just by knowing the project code. For example, if all departmental base budget related projects begin with DPT and extramural projects begin with EXT, then just by knowing the project code one can identify if this is departmental or extramural funding. Projects can also begin with primary PIs initials.

   See section II.C.10. for detailed instructions on how to setup Project Codes.

   ii. **Fiscal Year**: Assign a fiscal year only if the Accounting Department carries the project forward from one fiscal year to the next. A fiscal year typically runs from July 1st of one year through June 30th of the next. If the project will not be carried forward by the Accounting Department, carrying one year’s remaining funding into the next, do not select a fiscal year. Department funding is usually carried forward and extramural is not.

   iii. **Project Type**: Big picture information designed to be simple and few, e.g. Extramural funding vs. Department funding. Alternatively, Extramural could be replaced by “Contract” and “Grant” with greater detail included under Funding Type (II.C.3.a.iv).
This is an area that is specific to each department and should be defined as needed for usefulness and organization. Additional project types might be Gift or Endowment.

iv. **Funding Type:** Additional detail as a subcategory to Project Type, e.g. RAS, Donations.

**Note:** Project Type and Funding Type are two tools to be used to organize departmental information and are best setup so as to obtain information that is useful to each department, e.g. if there are generally two broad categories of funding in your department defined as Extramural (funding from an outside or 3"rd party source e.g. NASA or NSF) or Departmental (on campus 19900 accounts or funds originating from UCSB) then these two broad categories are the Project Types. When setup this way, you will be able to generate reports that will provide you with all activity related to Extramural funding or Departmental funding. If you have other broad types of categories in your department, use those.

The next level is to define Funding Types that will further allow you to extract information and run reports that are subsets to Project Types, e.g. subcategories to Departmental funding can be Matching Funds or Donations. If you want to run a report on all activity related to Donations, you can select reports based on Funding Type – Donation.

Generally speaking, if the Project Type is Extramural then Funding Types would be Contract and Grant, the two main types of extramural funding.

**Note:** Each department can define its own Project Types and Funding Types. There are no “rules” about how Project Types and Funding Types are used, although we encourage the use of Project Types for the big picture and Funding Types to provide more detail.
v. **Account and Fund:** Mandatory information that corresponds to the account and fund numbers assigned by the Accounting Department.

vi. **OR Record Number:** Enter the unique number assigned by ORBiT, the software used by the Office of Research to track contracts and grants. Optional.

vii. **Status:** Select the appropriate project status from the drop down window:
- **Active** – An active project.
- **Pending** – In the process of approving spending but not yet active.
- **Hold** – Not currently available for use but not yet closed. Expenses may be posted but no new liens are allowed.
- **CF Hold** – No longer available for use during the carry forward period, typically the month of July each year. Expenses may be posted but no new liens are allowed.
- **Expired** – Accounting hasn’t completely closed the project. A few remaining open items remain. Selecting this option prevents additional entries from being erroneously added.
- **Closed** – All aspects of the project are complete and it is closed.
- **Archived** – Project closed and moved off the current view screen (will no longer appear by default on the list of awards).

viii. **PI(s):** Add one or more principal investigators from the existing list. Click on [+] to open the list of available PIs.

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**Note:** If the PI you wish to add is not on the existing list, reference section III.C.5. for instructions on setting up a new PI.
ix. **Title**: Type in a title for the project. This can be whatever you want it to be, up to 32,000 characters (Note - not all forms in GUS will currently display all characters in this field). Example Title: Sonic Nuclear Testing Research in New Mexico Desert, Phase I.

x. **Nickname**: Add a shortened version of the title that will be internally useful, e.g. NM Sonic I.

xi. **Center/Dept**: Useful for departments with institutes or centers. Also useful to divide projects into other departmental sub-categories, e.g. administrative staff members with responsibilities to the project.

xii. **Agency**: Add the specific agency name, e.g. NASA or NSF, as listed in the contract with the Agency (also found in ORBiT or on the Data Sheet). Either type in a portion of the name and press [Tab] or click on the arrow button and select from the list. Note: If the agency is not on the existing list, you can add it on the fly.

**Example**: Clicking on the drop down window, select the agency from the list, e.g. Jet Propulsion Laboratory. Alternatively, if you type in “Jet” and [Tab], GUS will automatically insert “Jet Propulsion Laboratory – JPL”. If more than one agency containing the word “jet” exists, GUS will open another box with all agencies containing “jet”. If you want to select only those agencies beginning with 'jet' type 'jet@' in the agency field. Similarly if you wanted to select only agencies ending with 'jet' you would type '@jet'. Capitalization does not matter when searching for existing records.
For departmental funds you might consider using your control point as the funding agency. Optional.

xiii. **Agency Number**: Add the number that the agency uses internally to recognize this particular project from the contract or grant documents. Optional.

xiv. **Project Total**: Enter the total funds that this project is contracted to receive (see the budget that was prepared for and approved by the agency).

xv. **Dates**: There are four sets of dates. Two are mandatory, Award and Funding, and two are optional, Projected and Contract.

a. **Award**: This is the date range for the entire award, e.g. if the award spans ten years, 01/01/00 through 12/31/10, enter this date range here.

b. **Funding**: This is the date range for the funds received from inception to the end of the current year, e.g. if the year is 2009 then 01/01/01 through 12/31/09.

c. **Projected**: This is the date range for the funds not yet received, e.g. 01/01/10 through 12/31/10.

d. **Contract**: If there is a high probability that the project will continue beyond the current award end date, this date range can be added as a reminder to those involved, e.g. 01/01/11 through 12/31/15 (5 additional years beyond the end of the current award).
xvi. **Award Conditions**: Select from the list of award conditions any restrictions or conditions contractually stipulated by this award (or mandated by the University or any government agencies). A maximum of 6 letters or numbers are allowed.

The Office of Research (OR) has a set of its own conditions. Common OR conditions:
- #16 – A-21 (Reference OMB Circular A-21)
- #29 – No equipment (No equipment allowed on this project)
- #43 – Rebudgeting needs approval (All rebudgeting requires prior approval of the agency)

Departments may add their own unique conditions. Example conditions:
- CLOSE – Alert PI(s) when award is closing
- NOEQP – No equipment purchases allowed
- SDB – Small Disadvantaged Businesses required in 5% of purchasing transactions
- 101A – Remote shipping (Use remote shipping address for all purchases)
- 101B - Shipping Verification (Verify shipping address prior to placing order. Items may require shipping to alternate location.)
- EQP5K – Equip Permission >5K (Equipment purchases in excess of $5,000 not in the approved budget require the prior written approval of the funding agency)
- EQP25K - Equip Permission >25K (Equipment purchases in excess of $25,000 not in the approved budget require the prior written approval of the funding agency)

Generally, condition codes which sound like what they mean will be easier for your staff to remember. For example instead of 101A as above you might use 'RMTSHP'.
**Added Feature**: To help purchasing personnel have greater awareness of purchasing restrictions and to help prevent contract and grant violations, conditions may be set to automatically provide an alert whenever a new purchase order is created.

In the area where Award Conditions are created, to the left of the Award Condition, there is check box titled “Alrt Prch” (short for Alert Purchasing). If this box is checked, any time a purchase order that meets the Award Condition restriction is created in the purchasing module, the user will receive an alert. Purchasing personnel may then use this information to make decisions about purchasing.

**Example**: When the ‘Alert Purchasing’ box is checked for award condition #28 - PI Equipment Assurances, the PI must be notified prior to processing the purchase order, as mandated by the contract.

To add an Award Condition, see section II.C.9. Project: Award Condition Codes.

Award conditions are optional, but taking the time to enter them when the project is set up will more than likely save you time and help prevent mistakes over the life of the award.
xvii. Reports: There are two types of reports, Agency Reports and Monthly Reports.

a. Agency Reports: Reports required or requested by the funding agency.

i. Click on [Agency Reports] and a separate window pops up titled “Agency Reports”. Click on the agency you wish to add reports to.

ii. Reports – Enter the type of report to prepare for the agency:
   1. Annual
   2. Interim
   3. Progress
   4. Final
   5. Draft Technical
   6. Other
   7. Equipment
   8. Final Patent

iii. Report Frequency – Single, Monthly, Quarterly or Annual

iv. Delivery Method – Print, Email or Web Server

v. Due Date – Enter the date the report is due to the agency

vi. Date Completed – Enter the date it is to be completed

vii. Note – Add any relevant notes
b. Monthly Reports: Reports for PIs or other UC internal persons typically financial reports which are distributed on a regular basis.

i. Click on [Monthly Reports]
iii. Click on [PIs] to pull up the list of existing PIs. Select the PI or PIs associated with the project that are to receive reports. In some cases, persons that are not PIs will receive reports, e.g. Business Officers or lab managers. When this occurs, they can be added from the [Others] list.
iv. Reports – Enter the type of report to prepare for the PI(s):
   i. Standard Reports – (defined in preferences)
   ii. Financial Statement
   iii. Financial Statement – Type Level
   iv. Outstanding Liens
   v. Audit Trail
   vi. In Progress - Additional personnel reports will be added

xviii. General Notes: Add any desired notes related to the project. General Notes can appear on financial statements depending on how this is setup in Preferences.

xix. Project List Notes: These notes will appear on the Project Codes List and are intended to be very brief.

Proceed to Section II.C.3.b. Project - Budget Information