Memo

Operating Requirement

No. 01-04
June 1, 2001

CONTRACT AND GRANT OFFICERS (CAMPUS AND LAB)*
VICE CHANCELLORS--ADMINISTRATION

Subject: CORPORATE CONTRACT AND GRANT INFORMATION REQUIREMENTS

The enclosed Corporate Contract and Grant Information Requirements document dated March 2001, is hereby officially issued via a formal Contract and Grant Memo. Earlier versions were informally issued. The Enclosed contains all previous changes and revisions and is current and complete.

The March 2001 Revision includes two new project type fields: one for Clinical Trial Research (Project Type A), and one for Material Transfers (Project Type B). These fields became effective for Quarter 3 of fiscal year 2000. Edit reports also include edits for the clinical trial and material transfer agreement project types. (See Table 1, Summary of Data Element Edits). The 2001 Revision also includes reference to Assembly Concurrent Resolution No. 45 which requires that the University disclose to the public upon request the conditions attached to significant contracts, grants, and other instruments of sponsorship. The CGX is the means of fulfilling this requirement.

Additional changes previously incorporated include:

- Reporting Special State Appropriations for Research. The section "What Transactions are To Be Reported" includes projects supported under special State appropriations for research administered by the University, such as MICRO and AIDS research.

- Reporting Matching Funds. The section "What Data is Submitted, Data Element Definitions" defines reporting requirements for matching funds to include all State 19900 matching funds. Matching funds are reported on a cumulative total basis. Voluntary cost sharing not required by the award terms is not reported.

- Use of Miscellaneous Sponsor Code 9850. The section "Assignment and Use of Sponsor Codes" limits the use of miscellaneous sponsor code 9850 to PROPOSALS to miscellaneous PRIVATE sponsors ONLY. A Sponsor Code Assignment request form is used to request sponsor codes.

- The Corporate Contract and Grant Information Requirements will be available electronically at http://www.ucop.edu/raohome/cgmemos/01-04.html.

Cancel: C&G Memo No. 26-81 April 22, 1981
C&G Reply Requested Letter June 29, 1988

Refer: Barbara Yoder
510-987-9848
CORPORATE CONTRACT AND GRANT INFORMATION REQUIREMENTS
March 2001

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I PURPOSE

The University of California, Office of the President (OP), Research Administration Office (RAO) within the Office of Senior Vice President -- Business and Finance is responsible for administering the Corporate Contract and Grant Information System (CGX).

The CGX was created to meet information needs of OP management, and to fulfilling Assembly Concurrent Resolution No. 45. ACR 45 requires the University to disclose to the public upon request, the conditions attached to significant contracts, grants, and other instruments of sponsorship. The RAO serves as a central contact point to the public for this purpose. See Enclosure 1, ACR 45.

The Corporate Contract and Grant Information Requirements define the required corporate contract and grant information needs and identify the interface between the campus contract and grant office and the Corporate Contract and Grant System. The purpose is not to specify an information system or provide corporate forms for campus use. Each location may design its own reporting system and forms as long as the local system produces the information in the format required by the corporate system.

II WHO MUST PROVIDE DATA

Data is submitted from all campuses, major DOE laboratories, Agriculture and Natural Resources, and Office of the President offices as follows:

Campuses Laboratories
Berkeley Lawrence Berkeley National Laboratory
San Francisco Lawrence Livermore National Laboratory
Davis Los Alamos National Laboratory
Los Angeles Other
Riverside Agriculture and Natural Resources (A&NR)
San Diego Office of the President Offices (OP)
Santa Barbara
Santa Cruz
Irvine
Merced

III WHAT TRANSACTIONS ARE REPORTED

A. Initial Proposal and Award Transactions

1. Reportable transactions for Office of the President and campus locations must meet all of the following criteria.

a. The transaction is a proposal or application, or a contract, grant or cooperative agreement award:

i. Excluding gifts;
ii. Excluding master contracts or basic agreements which themselves do not provide funds or require performance;
iii. Excluding 19900-funded activities.

C. The transaction is for one of the purposes specified under the Project Type Code definition and

i. Excluding awards made to The Regents that are administered directly by campus Student Aid Offices for the following purposes: National Direct Student Loan Program, College Work Study, Supplemental Educational Opportunity Grants Basic Educational Opportunity Grants;

ii. Excluding Federal construction grants that are subject to the policies and procedures set forth in the University Facilities Manual Section E-1.7.
B. Changes and Corrections to Data Previously Reported

1. Awards

Award information is maintained in the CGX system for five years after the award expires. All changes and corrections to awards previously submitted and which are still active (the award period has not ended) or have terminated within the last five years are reportable.

Data fields provided to the Corporate Contract and Grant System via campus automated systems or via forms (DOE laboratories and OP) will contain the latest information at the time the transaction is processed by the contract and grant office in all fields except in the Award Amount field. The Award Amount field will contain the positive or negative amount of change. This is the amount by which the previously reported amount must be adjusted in order to result in the latest correct total amount.

Award numbers must be "unique and non-varying over time". Once an award is reported under an award number, all future transactions must use the exact same award number, including the same spacing and punctuation marks. The practice of adding to the award number when reporting subsequent transactions under the same award, such as "Mod 1" or "Sup 1" or "/02" must not be done.

2. Proposals

Proposal information is maintained in the CGX system for one fiscal year after the proposal is reported. The CGX system is not intended to reflect the exact status of each proposal. Changes and corrections that occur within the same reporting quarter as the initial proposal transactions are reportable in the CGX system. Changes to proposal data beyond a reporting quarter need not be reported; instead a new proposal transaction may be reported. Corrections to proposal data may be submitted up until one year after the proposal has been reported. This should be done particularly if large dollar errors have been made.

Data fields transmitted to the Corporate Contract and Grant System via automated systems or via forms will contain the latest information in all fields except in the Project Cost -- Proposed field. The Project Cost -- Proposed field will contain the positive or negative amount of change. This is the amount by which the previously recorded amount must be adjusted in order to result in the latest correct total amount.

3. Expired Awards

Expired awards are retained in the Corporate System for five years before they are purged. If within the five year period a transaction occurs that changes the period of performance so as to make the award active, the transaction routinely should be entered as described in paragraph II.B.1. "Resubmission of expired award", is no longer a valid award action and will result in a rejected record during the edit process. All award actions must be either "new" or "continuation". "Continuation" is used for awards that have expired within the last five years and are being reactivated.

IV WHAT DATA IS SUBMITTED

A. Overview of Data Elements

The CGX system contains two types of data: data submitted from the campus, Laboratory or systemwide location and data generated by the CGX system by accessing other corporate systems. For instance, the account number is submitted by the local Contracts and Grants Office reporting system; the CGX corporate system then accesses the Corporate Account Fund Profile portion of the corporate accounting system and, matching the location and account number, generates the data elements account name, organizational unit name, academic discipline, and functional classification. Similarly, only the fund number data element is submitted by the local system to the Office of the President. The corporate CGX system then accesses the Corporate Account Fund Profile and, matching location and fund number, derives the data elements method of payment and on/off campus location. As a result of using data elements submitted by the campus/OP location and then linking to other systems to generate additional data, there is more information provided in CGX Reports than is submitted during the quarterly input process.

For a complete list of the data elements available for reporting in the CGX system, including those elements derived by linking to other corporate reporting systems, contact the Office of the President Research Administration Office.

B. Index to Data Elements

DATA ELEMENT NAME: APPLICABLE TO:
Account Number -- Project Awards & Proposals
Award Action Code Awards
Award Amount Awards
Award Form Preparation Date Awards
Award Number Awards
Award Period Start Date Awards
Award Period End Date Awards
Contract/Grant Code Awards & Proposals
Fund Number Awards
Indirect Cost-Applicable Rate Awards
Matching Funds Awards & Proposals
Name -- Co-Principal Investigator Awards & Proposals
Name -- Principal Investigator Awards & Proposals
Project Name Awards & Proposals
Project Type Code Awards & Proposals
Proposal Identifying Number Proposals
Project Cost -- Proposed Proposals
Project Duration -- Proposed Proposals
Sponsor Code Awards & Proposals
Sponsor Name -- Nonfederal/Nonstate Awards & Proposals
Transaction Reference Number-CGX Awards & Proposals
UC Location Code-CGX Awards & Proposals

( optional)

C. DATA ELEMENT DEFINITIONS

This section describes award and proposal data elements originated by the campus, DOE Laboratory or OP location and required to meet corporate needs. The code values identified herein are those utilized by the CGX corporate system. Campus systems may use different code values.

ACCOUNT NUMBER Field Length/Type: 6 alphanumeric
The number code taken from the campus list of accounts which identifies the actual expenditure account where costs under the project are charged.

For new projects in which no account number has been assigned by the Accounting Office, it is necessary to ascertain and enter one of the responsible department's standard account numbers.

The use of the Account Number in the CGX System is to identify the department or ORU name, by reference to the campus list of account numbers, and to identify the academic discipline.

If an Account Number not in the campus list of accounts is used, this will result in the contract, grant or cooperative agreement being disassociated from the appropriate department.

AWARD ACTION CODE-CGX Field Length/Type: 1 alphanumeric
This field indicates if the award is new or a continuation of a previous award.

Corporate Code
1 New - there was no prior award.
2 Continuation - all actions other than New, including renewals. Continuations include actions where additional funds are being provided to continue a project, e.g., budget period or equivalent, incremental funding amounts, the beginning of a project period where there has been a previous project period, no cost time extension, etc.

AWARD AMOUNT Field Length/Type: 8 numeric
The total dollars awarded are reported including indirect costs but not cost sharing or "University Participation". The total dollars awarded means the amount actually authorized by the grant award or, in the case of a contract, the total estimated cost authorized for the period of performance. In the case of an equipment grant, the value of the equipment may be reported.

The first time the award is reported, the Award Amount will be the amount actually awarded. On subsequent reporting, report only the amount of change, if any, (positive or negative). This is the amount by which the previously reported amount must be adjusted in order to result in the latest correct total amount.

AWARD FORM PREPARATION DATE Field Length/Type: 6 alphanumeric
Date on which the award form data document is prepared by the contract and grant office. If multiple award actions occur within a quarter for a given award, these actions should not be summarized into one transaction. To be processed correctly, multiple actions for a given award must have non-duplicating Award Form Preparation Dates in chronological sequence.

AWARD NUMBER Field Length/Type: 30 alphanumeric
The unique identifying number assigned by the sponsoring agency (or by the campus contract and grant office in the absence of a sponsor assigned award number) to the contract, grant, or cooperative agreement award document. Only numbers assigned to project agreements, task orders, or individual awards (which may incorporate the Basic Agreement or Master Contract Number) made pursuant to Basic Agreements or Master Contract may be used.

If the sponsor has assigned no award number, it is essential that the Contract and Grant Office systematically assign a number to an awarded contract, grant, or cooperative agreement. Any system is satisfactory as long as the number is unique within the first 30 characters and non-varying over time.

Each award must have a unique award number. Projects with multiple sponsors must use unique award numbers for each sponsor. This is because the transaction will replace (overlay) data for another sponsor when the award number is the same.

The award number is used by the Corporate System to uniquely identify the award. Therefore, the number must be unique to one award only and must not change. If for any reason the award number changes, then the original or "parent" award number (without modification or identifiers) must be used when reporting to the Corporate System. The award number must not be modified, such as "Mod 1" or "Sup 1" or "/02", and it must have the exact same spacing and punctuation marks.

AWARD PERIOD START DATE Field Length/Type: 6 alphanumeric
Date that a new, renewal, or supplemental agreement award becomes effective. The term effective for reporting purposes is defined as the beginning for performance and incidence of costs. Note that the award period start date may be a date preceding the date the award is either fully executed or received by the University. If there is no known start date as in the case of some private grants, the start date should be the date the private grant is received by the campus Contract and Grant Office. All awards must have a specified start date. The following example illustrates what is reportable as the Award Period Start Date for renewals:

Year 1: 7/1/79 to 6/30/80 report Start date of 7/1/79 and End date of 6/30/80
Year 2: 7/1/80 to 6/30/81 report Start date of 7/1/80 and End date of 6/30/81
Year 3: 7/1/81 to 6/30/82 report Start date of 7/1/81 and End date of 6/30/82

AWARD PERIOD END DATE Field Length/Type: 6 alphanumeric
Date that the award ends. In the case of multi-year grants (e.g., PHS), enter the end date of the current budget period. If the entire project period is fully funded, then enter the end date of the project period. The project period for grants is for administrative planning purposes only and imposes no legal obligation by the Government to require performance or provide funding beyond the current budget period, and provides no legal rights to the grantee beyond the current budget period.

In the case of multiple-year contracts the award end date depends on how the contract is written. When the contract requires performance and provides funding for only one of a series of years, the end date should be the end of that current "budget" period. When the contract requires performance for the entire multi-year "project" period and provides either full or incremental funding, the end date should be the end of the multi-year "project" period. The multi-year period in contracts is a contractually recognized period of time during which the Government is required to obtain contractor performance and is obligated to continue to fund the contract except in the event of a formal termination for convenience. For reporting purposes therefore, the end date of the award for a multi-year contract is the performance completion date, not the time period associated with incremental funding amounts.
In the case of a private grant or other type of award that does not specify a known end date, then arbitrarily assign a definite end date, e.g., one year after the private grant is received by the contracts and grants office. The Award Amount should be the amount awarded (total estimated cost or fixed price) through the Award Period End Date.

CONTRACT/GRANT CODE Field Length/Type: 1 alphanumeric

All award and proposal transactions, including project agreements, task orders or individual awards issued pursuant to a Basic Agreement or Master Contract, must indicate whether they are for a contract, grant or cooperative agreement. If an award instrument is not identified by the sponsor as a grant or cooperative agreement, it may be identified as a contract.

Corporate Code
K - Contract
G - Grant
A - Cooperative Agreement

FUND NUMBER Field Length/Type: 5 alphanumeric

A number assigned by the Accounting Office that identifies a specific source of funds. The fund number is uniquely associated with the funds received for a particular award during each fiscal year or entire period that a contract, grant or cooperative agreement is operative. Its primary function is the positive identification of the contract and grant in the University's ledgers and is a cross-reference to the General Ledger accounts produced by the Accounting System. Further, it is used by the CGX system to link to the Corporate Account Fund Profile and determine the on- or off-campus location of the project and the method of payment. If no fund number will be assigned because the award is an equipment grant, use fund number 00000.

INDIRECT COST - APPLICABLE RATE Field Length/Type: 4 numeric

Rate (calculated as the percentage figure) awarded to recover the University's indirect costs under grants, contracts, and cooperative agreements. The CGX data element for indirect costs is 4 spaces: 3 before the decimal point and 1 after. All four spaces must be filled. The following are examples:

Indirect Cost Rate CGX Report
43.8% 0438
8% 0080
0% 0000
100% 1000

MATCHING FUNDS Field Length/Type: 8 numeric

The amount of State funds, if any, pledged as matching funds in awards. Matching funds are reported to the Office of the President as the current cumulative total amount of matching funds, not the amount of increase or decrease. This is in contrast to reporting changes in the "Award Amount".

There is no ultimate difference between matching and cost sharing, rather the difference is categorically made by the sponsor and in the absence of a categorical assertion by the sponsor then is a matter of degree. For reporting purposes, matching funds means a University contribution of 19900 funds (in cash, or in-kind values that are funded by 19900 funds). Matching excludes cost sharing which is voluntary and not legally obligated to be performed or is provided under institutional cost sharing agreements.

NAME - CO-PRINCIPAL INVESTIGATOR Field Length/Type: 35 alphanumeric

The name, if any, of the investigator who is working with the Principal Investigator on the sponsored project. The full name may be reported in the format: last name (comma) first name (space) middle name(s) (comma) suffix. However, only the first 20 letters of the last name and initial of the first name are required. If there is more than one Co-Principal Investigator, select only one for reporting.

NAME - PRINCIPAL INVESTIGATOR Field Length/Type: 35 alphanumeric

The full name of the principal investigator may be reported in the format: last name (comma) first name (space) middle name(s) (comma) suffix. However, only the first 20 letters of the last name and initial of the first name are required.

PROJECT NAME Field Length/Type: 135 alphanumeric

The complete descriptive title of the project. The title should not contain acronyms and should clearly convey the activity for which funding has been received.

PROJECT TYPE CODE Field Length/Type: 1 alphanumeric

Identifies the award or proposal by purpose. The project type is reported for the total award, not for the individual transaction. For instance, if a modification to a basic research project is made to authorize equipment purchase, the project type remains basic research. All awards and proposals must be identified by one of the following:

Project Type Code
1 - Basic Research
2 - Applied Research
3 - Developmental Research
A - Clinical Trial Research
4 - Other Research
5 - Training
6 - Public Service
7 - Other Service
8 - Equipment
B - Material Transfer
9 - Other
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Project Type Code Definitions:

1. Basic Research - research that is directed toward increase of knowledge in science wherein the primary aim of the investigator is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application thereof. This includes analytical and experimental activities that primarily seek to increase the understanding of fundamental phenomena. The end product is usually a report, although experimental hardware may be involved. In basic research, the particular use of the knowledge is not foreseen or identified at the beginning of the effort.

2. Applied Research - consists of the effort that: (1) normally follows basic research, but may not be severable from the related basic research; (2) attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices, and techniques; and (3) attempts to "advance the state of the art". Applied research involves the study of phenomena relating to specific, known needs in connection with the functional characteristics of a system. Applied research does not include any efforts when their principal aim is the design, development, or test of specific articles or services to be offered for sale, which are within the definition of the term development.

3. Developmental Research - the systematic use and practical application of investigational new drugs, devices, treatments, or diagnostics, or comparisons of approved drugs, devices, treatments, or diagnostics, to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes, if any, in human subjects. Such studies may be conducted under either a sponsor-developed or an investigator-developed protocol. These studies are conducted in conjunction with obtaining new drug or device approval from the U.S. Food and Drug Administration, under Phase I, II, III, or IV. Pre-clinical laboratory studies or studies in animals are not included under the term clinical trial research and neither are projects designed to develop new compounds, as well as test them; such projects are reported in one of the other research categories.

4. Other Research - is to be used only if a research project cannot be classified as basic, applied, developmental, or clinical trial research.

5. Training (benefiting the University) - for the purposes of reporting to Office of the President, this category means the conduct of scholarly, professional, occupational instruction for matriculated students or University employees in forms such as classes, seminars, workshops, conferences, etc. This category includes sponsorship of students or employees who are "in training" primarily but not exclusively at the graduate and postgraduate levels. The scope of this code also includes sponsored training awards made to The Regents which provide for selection of student recipients by academic departments, and the institutional support which is either included in the training grant or is applied for and awarded separately. Excluded from this group and from this contract and grant information requirement are fellowships or other similar awards made directly from sponsors to students, and Student Aid programs identified in III.A.1.e.

Awards and proposals which require both the development of training materials and the conduct of training as part of the same award should be identified as Training, (Category 5).

Awards and proposals which are primarily for development of training materials and curricula should be identified as Developmental Research, (Category 3).

Training projects which are intended for the training to be conducted by the University for presentation to and for primary benefit to the public, i.e., individuals or groups external to the University, should be identified as Public Service, (Category 6).

6. Public Service - as the term is interpreted in the context of sponsored projects means externally sponsored projects where the sponsor, particularly the Federal and state Government, desire to have the University provide the benefits of scholarly or professional training or services to individuals or sponsor designated recipient groups which are external to the University. Examples of public service may include some programs such as those sponsored by the Agency for International Development, the National Endowment for the Humanities, and the National Institutes of Health in the area of biomedical services or training. The principal characteristic of public service is that individuals and groups external to the University are the intended beneficiaries.

7. Other Service - includes services which the University provides or makes available which do not fit within the categories of training or public service, such as the use of University facilities as provided by Regulation 4.

8. Equipment - applications or awards which are restricted by the sponsor for the sole purpose of the University's procurement of equipment. This may include direct grants of equipment, or full or partial funding to enable the University to purchase equipment, where in both cases the sponsor intends to transfer or have title to the equipment vest in the University.

9. Other - to be used only if a project can not be classified by one of the above categories.

PROPOSAL IDENTIFYING NUMBER Field Length/Type: 10 alphanumeric
An identifying number assigned by the campus contract and grant office. Most campuses have formulated a system which allows the proposal number to convey information concerning the fiscal year in which the proposal is made and in some cases to indicate whether the proposal is a revision or a multiple solicitation. Numbers assigned by sponsors to their requests for proposals, invitations for bids, or other solicitation methods, etc. are not to be used.

PROJECT COST - PROPOSED Field Length/Type: 8 numeric
Enter the anticipated project cost including indirect costs. The first time the proposal is reported, the Proposed Project Cost will be the total anticipated project cost. When reporting subsequent revisions to the proposed project cost (required in the original reporting quarter only), only the amount of change (positive or negative) will be reported.

PROJECT DURATION - PROPOSED Field Length/Type: 3 alphanumeric
The number of months proposed as the performance period.

SPONSOR CODE Field Length/Type: 4 alphanumeric
All contract and grant activity must be reported using sponsor codes that identify the organization sponsoring the project. Sponsor codes are provided on the Sponsor Code Table maintained and updated quarterly by the Office of the President Research Administration Office. The Sponsor Code Table is organized in three parts: Federal, State, and All Other. University of California campuses and special research programs are listed under All Other, UC (name of campus or program). Agricultural Marketing Order Boards are listed under All Other, CALIF (name of Marketing Order Board).

SPONSOR NAME - NONFEDERAL/NONSTATE Field Length/Type: 90 alphanumeric
The name of the "Nonfederal or Nonstate" sponsor. This information is required only if there is no sponsor code provided in the Sponsor Code Table and the Miscellaneous Sponsor Code 9850 has been used in reporting a proposal. The Miscellaneous Sponsor Code...
TRANSACTION REFERENCE NUMBER Field Length/Type: 6 alphanumeric

The Transaction Reference Number is assigned at the option of the campus and is not required. It is a number derived from a source document or generated by the system which uniquely identifies a transaction on a campus input file. It is printed on edit reports when invalid data is encountered to facilitate identifying the unique source document or system generated transaction causing the error.

UC LOCATION CODE - CGX Field Length/Type: 2 alphanumeric

Identifies the major organizational unit within the University submitting the data.

- 01 - Berkeley
- 02 - San Francisco
- 03 - Davis
- 04 - Los Angeles
- 05 - Riverside
- 06 - San Diego
- 07 - Santa Cruz
- 08 - Santa Barbara
- 09 - Irvine
- 20 - Office of the President (all Office of the President Offices including University Extension)
- 21 - Lawrence Berkeley National Laboratory
- 22 - Lawrence Livermore National Laboratory
- 23 - Los Alamos National Laboratory
- 52 - Agriculture and Natural Resources

V ASSIGNMENT and USE OF SPONSOR CODES

A. Summary Requirements for the Assignment and Use of Sponsor Codes

Write UCOP for Code Assignment

PROPOSALS
Federal Government X
State of California X
University of California System X
County, Municipal, Foreign Use 9850 (Miscellaneous Institutions, Private Sponsors, code) and complete data & Foundations element Non/Federal
Non/State Name

AWARDS
Federal Government X
State of California X
University of California System X
County, Municipal, Foreign Institutions X
Private Sponsors, & Foundations X

All contract and grant award sponsors must be coded and entered into the Sponsor Code Table. Sponsor codes are used when reporting proposals and awards from Federal and State sponsors. Therefore, new sponsor codes are assigned for proposals and awards from new federal and state sponsors.

All contract and grant award sponsors must be coded and entered into the Sponsor Code Table. Sponsor codes are used when reporting proposals and awards from Federal and State sponsors. Therefore, new sponsor codes are assigned for proposals and awards from new federal and state sponsors. Sponsor codes are not assigned for use in reporting proposals from County, Municipal and Foreign Institutions and Private Sponsors or Foundation sponsors. Therefore, when reporting proposals to any Nonfederal/Nonstate sponsor, enter the sponsor's name in the Data Field entitled "SPONSOR NAME -- NONFEDERAL/NONSTATE " and use the 9850 Miscellaneous Sponsor code. The Miscellaneous Sponsor Code must not be used in the award file.

In all other instances where a specific sponsor code is to be used for reporting proposal and award transactions but is not provided in the Sponsor Code Table, write for assignment of sponsor code number using the Sponsor Code Assignment Request form.

The Sponsor Code Table is updated at the close of every quarter to reflect newly assigned sponsor codes. Newly assigned sponsor codes will be summarized as quarterly updates to the Sponsor Code Table and may be downloaded in electronic form from the UCOP Research Administration homepage at http://www.ucop.edu/raohome/sponsors. The complete sponsor code table as of the last quarter is also available electronically at the same url.

B. Assignment of New Codes

When a sponsor code does not exist in the Sponsor Code Table, fax a request for a new sponsor code to the Office of the President Research Administration Office (510-835-3705) using the Sponsor Code Assignment Request form (See sample attached).

If, during the edit cycle, a sponsor code is needed to correct an error, telephone requests for sponsor codes will be accepted at 510-987-9838 simultaneously with submission of the Sponsor Code Assignment Request form.

C. Externally Sponsored Inter-campus Subawards

When an inter-campus subaward is received from another campus, DOE Laboratory, OP, or A&NR that received the prime award from an external sponsor, the dollar amount of the subaward is reported and the awarding campus, Laboratory, OP, A&NR, or UC program is identified as the sponsor using the Sponsor Code of the UC location or UC program. Subawards received by DOE Laboratories from campuses are not reportable by the DOE Laboratories.

Sponsor codes have been assigned to UC campuses, DOE Laboratories, OP, A&NR, and UC intramural programs. The following list includes sponsor codes assigned to UC locations and selected intramural programs.
NAME OF PROGRAM OR LOCATION SPONSOR CODE

UC Academic Geriatric Resource Program 6721
UC Agriculture and Natural Resources 6774
UC Berkeley 6761
UC Biotechnology Research and Education 6722
UC Breast Cancer Research Program 6745
UC CALCOR & INCOR 6723
UC California History-Social Science Project 6743
UC California Institute for Energy Efficiency (CIEE) 6741
UC California Literature Project 6744
UC California Math Project 6724
UC California Policy Seminar 6725
UC California Science Project 6740
UC California Space Institute 6726
UC California Writing Project 6727
UC Cancer Research Coordinating Committee 6728
UC Davis 6763
UC Davis National Institute for Global Environmental Change 6742
UC Energy Research Group (UERG) 6729
UC Industry-University Cooperative Research Economic Assessment 6704
UC Institute of Geophysics and Planetary Physics 6730
UC Institute of Global Conflict and Cooperation 6731
UC Irvine 6772
UC Laboratory of Biomedical and Environmental Sciences 6775
UC Lawrence Berkeley Laboratory 6760
UC Lawrence Livermore National Laboratory 6766
UC Los Alamos National Scientific Laboratory 6770
UC Los Angeles 6764
UC Math Diagnostic Testing Project 6738
UC Merced 6777
UC Mexus 6732
UC Micro-Microelectronics Innovation & Computer Research Opportunities 6733
UC Office of the President 6773
UC Pacific Rim Research Program 6734
UC Riverside 6765
UC San Diego 6778
UC San Francisco 6762
UC Santa Barbara 6771
UC Santa Cruz 6709
UC Sea Grant College Program 6735
UC STAR Biotechnology Program 6776
UC Tobacco-Related Disease Research Program 6739
UC Toxic Substances Research & Teaching 6736
UC Universitywide Aids Research Program 6737

Other intramural programs not assigned sponsor codes are reported under the lead campus for the program. The following lists a few of the other intramural programs, the lead campus, and the sponsor code of the lead campus to be used for reporting:

UNIVERSITY-WIDE PROGRAM LEAD CAMPUS CODE

California Policy Seminar Berkeley 6761
University Research Expedition Program Berkeley 6761
President's Fellowship Office of the President 6773

D. Reporting Awards from A&NR

The following are special instructions to A&NR and campus organizations for reporting awards signed by the A&NR contract and grant officer but performed on campus(es):

1. If performed entirely on a single campus, the campus will report the entire award and A&NR will not report the award.

2. If the prime award is assigned to a lead campus for performance and administration, and there are further subawards to other campuses, the lead campus will report the entire award, other campuses will report the amount of the subawards received from the lead campus, and A&NR will not report the award.

3. If the administration of the prime award is retained by A&NR but is performed on multiple campuses, A&NR will report the entire award, and each campus will report their parts of the whole as subawards from A&NR.
VI HOW DATA IS SUBMITTED

A. Campuses

Award and proposal data prepared throughout the quarter by the campus contract and grant office will be gathered by the campus information systems office according to procedures and schedules developed by each campus.

The campus information systems office will forward the data quarterly to IR & C. Office of the President according to detailed specifications developed by Office of the President IR & C. Refer to Campus Specifications for Corporate Contract and Grant Information Requirements, dated December, 1980 and revised March, 1981. This information is available electronically at http://www.ucop.edu/irc/campus_specs/cgx

Data for each quarter is due at Office of the President IR & C on the fifteenth working day of the month following the end of the quarter. First, second, third and fourth quarter due dates are the fifteenth working day of October, January, April, and July, respectively. Corrections to fourth quarter data are due within five working days of receipt of the edit, in order to complete year-end processing.

B. DOE Laboratories, Agriculture and Natural Resources, and Office of the President Offices

DOE Laboratories and Office of the President offices will report award and proposal activity to the CGX system by preparing data input forms, one per award or proposal action, and submitting them to the Office of the President Research Administration Office. The Office of the President Research Administration Office will provide a supply of these forms. A sample of the forms and instructions on their completion are provided in Table 8.

As soon as possible after the information arrives at the Office of the President Research Administration Office, the data will be edited for validity and completeness. A report of errors, if any, will be returned to the appropriate submitting office.

The error report will be reviewed by the Laboratory, A&NR, or OP and a replacement form prepared for each rejected transaction. See Section VI for more information on error detection and correction.

VI CORRECTION OF ERRORS

A. Error Detection

Data submitted to the CGX System must pass strict editing and completeness tests. Similar testing should be done by campus systems. These tests are for:

(1) Missing data in required fields; (2) Non-numeric data in numeric fields; (3) Use of unauthorized or invalid codes; and (4) Use of invalid dates.

The validation tests are described in detail in the Campus Specifications for Corporate Contract and Grant Information Requirements, distributed by the Office of the President. Table 1, Summary of Data Element Edits, lists each data element, indicates whether it applies to proposals and/or awards, and defines the data element edit criteria, the level of the error, and the error message that appears on the edit report.

B. Error Reporting

Errors detected by the Corporate System are reported on the "Corporate Contracts and Grants System Edit Error Report - Awards" (CGX0310A) and on the "Corporate Contracts and Grants System Edit Error Report - Proposals" (CGX0310P). These reports are sent to the responsible campus/lab Contract and Grant Office for appropriate action. See paragraph III.B. for required changes and correction to data previously submitted.

The edit reports identify the award or proposal record, give a message describing the error(s), display the actual value of the data in error, and indicate if the record was "processed" or "rejected".

If the record appears on the error report but shows "processed" in the right margin, then all of the data on the record is retained by the CGX System and will be processed in the quarterly reports.

If the record appears on the error report but shows "rejected" in the right margin, then none of the data on that record is retained by the CGX System, but must be resubmitted in order to be processed. See Table 2 for sample edit reports.

The "Update Warning Message Report - Awards", (CGX0410A) and Update Warning Messages Report - Proposals", (CGX0410P) lists awards and proposals for which the sponsor, contract/grant type, or project type changed between the record that is in the data base and the quarterly file input.

C. Error Correction

All locations must correct all awards identified as "rejected" by the error reports if the transaction is to be included in the quarterly report. Correction of "rejected" and "processed" errors on awards may be deferred until the next quarter during the First through Third Quarters. All rejected and processed errors for awards must be corrected by the Fourth Quarter of each year so that the Annual Listing of Awards is correct. Correction of proposal errors is not required, but locations are encouraged to correct errors, particularly large errors in project cost. It is preferable to correct errors in the quarter in which they occur rather than deferring corrections to the next quarter.

Correction of errors is accomplished by resubmitting the entire quarterly file with erroneous records corrected to the Office of the President. Contract and Grant offices on campuses will utilize campus-developed procedures for data correction and its subsequent submittal to IR & C by the campus information systems office. The correcting entry for an award record must have a different Award Form Preparation Date from the transaction in error, otherwise the correcting transaction will be rejected on the basis of the edit for same date award preparation. DOE Laboratories and Agriculture and Natural Resources work directly with the OP Research Administration Office to correct errors.

VII CORPORATE CONTRACT AND GRANT REPORTS

A. Standard Reports and User Access Reports

The CGX system generates quarterly and annual fixed-format reports, some of which are distributed to the campus, Laboratory, and OP locations. The CGX system also is available for generating reports through User Access. Using an account at the Office of the President Corporate Data Center, User Access allows reports to be developed from the CGX award or proposal database according to specifications developed by the user. Campus, Laboratory or OP locations may obtain access to the CGX data base and receive a copy of the CGX User Manual which describes the data elements available for reporting and instructions on how to access the system. Requests may also be made to the office of the President Research Administration Office to develop unique reports. The following lists the quarterly and annual fixed format reports that are generated by the CGX system. An asterisk (*) indicates that a copy of the report is distributed to the campus, Laboratory or OP location.

B. Awards

1. Quarterly Award Reports

   CGX0310A *Edit Error Report - Awards
   CGX0410 *Update Warning Messages Report - Awards
   CGX0601A *Campus Awards by Major Sponsor & Comparison With Prior Year

CGX0601B *Total Award by Major Sponsor & Comparison With Prior Year
CGX0602 *Quarterly Campus List of Awards
CGX0603 Quarterly Summary of Awards by Campus by Sponsor Category
CGX0604A *Quarterly Campus Awards by Major Sponsor Category and Project Type
CGX0604B *Quarterly Summary of Awards by Major Sponsor Category and Project Type
CGX0605 Quarterly Summary of Awards by Major Federal Sponsor
CGX0606A *Quarterly Campus Awards by Private Major Sponsor Category
CGX0606B *Quarterly Summary of Awards by Private Major Sponsor Category
CGX0607 Quarterly Summary List of Awards
CGX0609A Quarterly Campus Inventory of Active Contracts & Grants as of mmddyy
CGX0609B Summary Campus Inventory of Active Contracts & Grants as of mmddyy
CGX0610A *Quarterly Campus Inventory of Active Awards by Sponsor Category & Project Type as of mmddyy
CGX0610B Quarterly Summary Inventory of Active Awards by Sponsor Category & Project Type as of mmddyy
CGX0611A *Quarterly Campus Total Awards by Sponsor
CGX0611B Quarterly Summary Total Awards by Sponsor

2. Annual Award Reports
CGX0650 Annual Award Amount by Sponsor and Campus
CGX0651 Annual Award Amount by Sponsor Category and Campus
CGX0652A *Annual Campus Total Awards by Sponsor
CGX0652B Annual Summary of Total Awards by Sponsor
CGX0653A *Annual Campus Total Award by Sponsor Category
CGX0653B *Annual Summary of Total Awards by Sponsor Category
CGX0654 Annual Summary List of Awards by Discipline from Major Federal Sponsors & Sponsor Categories
CGX0655A *Annual Campus Awards by Discipline and Project Type
CGX0655B Annual Summary of Awards by Discipline and Project Type
CGX0656 Annual Summary List of Awards
CGX0657 Annual 5-Year Comparison of Award Amount by Sponsor
CGX0660 *Annual Campus List of Awards
CGX0661 Annual List of Federal Award Amount Across Campuses
CGX0662 *Annual Award Amounts by On/Off Campus Location

C. Proposals
1. Quarterly Proposal Reports
CGX0310P *Edit Error Report - Proposals
CGX0420 *Update Warning Messages Report - Proposals
CGX0701 *Quarterly Campus List of Proposals
CGX0702A *Quarterly Campus Proposals by Sponsor and Project Type
CGX0702B Quarterly Summary of Proposals by sponsor and Project Type

2. Annual Proposal Reports
DOE LABORATORY AND OFFICE OF THE PRESIDENT
DATA ADVICE FORMS AND PREPARATION INSTRUCTIONS

Lawrence Berkeley National Laboratory, Lawrence Livermore National Laboratory, Los Alamos National Laboratory and Agriculture and Natural Resources will report award and proposal activity to Office of the President by submitting Award and Proposal Data Advice Forms to the Office of the President Research Administration Office by quarter. The purpose of Table 5 is to describe how to prepare these forms.

Refer elsewhere in the Corporate Contract and Grant Information Requirements for instructions on what information to report (Sections III and IV), how to submit information (Section V.B.), and how to correct it (Section VI).

General Instructions

(1) Always report the most up-to-date information.

(2) The Award Amount (Awards) and Proposed Project Cost (Proposals) are specially reported depending upon the circumstance. These are described in detail with the instructions for coding these particular fields.

(3) Follow the data coding conventions given below:

* Code numbers in the normal manner with the following exception:

  Code zero as (0 with a / through it)

* Code alphabetic characters in the normal manner, using capital letters, with the following exception:

  Code I crossed at the top and bottom

  Code Z crossed in the middle (-)

Advice of Contract, Grant or Cooperative Agreement AWARD Instructions

Complete the form as described below.

1 Prepared by: Enter the name of the person who prepared the advice form.

2 Approved by: Enter the name of the person who approved/authorized the information contained on the advice form.
3 Date Prepared: Enter the date on which the advice form is prepared, in month/day/year format.

4 Location Code: Check the location that is submitting the information.

5 Sponsor Code: Enter the 4-digit code from the Sponsor Code Table that identifies the organization sponsoring the project. Refer to Section V, Assignment and Use of Sponsor Codes.

If the Sponsor Code is for a miscellaneous sponsor group, then the name of the sponsor is required in "Nonfederal/Nonstate Sponsor Name", item 11.

6 Contract/Grant Code: Check the appropriate type.

7 Project Type Code: Check the appropriate type.

8 Award Action Code: Check the appropriate type of action.

9 Investigators: The name of the Principal Investigator is required on the first line. The name of the Co-Principal Investigator, if any, is required on the second line.

Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

10 Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

11 Nonfederal/Nonstate Sponsor Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here.

Beginning at the left of the first line, enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

12 Award Number: Beginning at the left, enter the award number.

13 Award Period: Both the award period begin date and the award period end date are required.

For each date, enter the two-digit month, followed by the two-digit day, followed by the two-digit year.

14 Account Number: Enter the six-digit account number associated with the project.

15 Fund Number: Enter the five-digit fund number associated with the project.

16 Award Amount: Enter the proper dollar amount associated with this award action. Enter eight-digits using zeroes in the left-most positions to complete the field.

If this is the initial reporting of the award or if this is a resubmission of an expired award, enter the total award amount.

If this is a correction to an award that appeared on a corporate error report as "processed", enter zeroes.

For all other changes and corrections, enter the amount of change in the award. If the change is negative, code a minus sign "-" in the parenthesis to the right of the amount field.

For example:

If the amount is: The coded entry is:

$10,000 001000 ( )

$1,234,500 01234500 ( )

$50,000 negative 0050000 (--)

17 State Matching Funds: Enter the state matching funds dollar amount, if any, associated with this award. The amount is right-justified. Enter eight-digits placing zeroes (X) in the left-most positions, to complete the field.

If no state matching funds apply, leave blank.

18 Indirect Cost: Enter the appropriate rate (as a percentage figure) in the space provided. Align at the decimal point which is already entered for you.

For example:

If the rate is: The entry is:

34.2% 034.2%

25% 025.0%

No entry is required if no indirect costs are recovered.
Advice of Contract, Grant or Cooperative Agreement PROPOSAL

Complete the form as described below.

1 Prepared by: Enter the name of the person who prepared the data advice form.

2 Approved by: Enter the name of the person who approved/authorized the information contained on the advice form.

3 Date Prepared: Enter the date on which the advice form is prepared, in month/day/year format.

4 Location Code: Check the location that is submitting the information.

5 Sponsor Code: Enter the 4-digit code from the Sponsor Code List which identifies the organization sponsoring the project. Refer to Table 2, Sponsor Code, for detailed instructions on Sponsor Code selection.

   If the Sponsor Code is for a miscellaneous sponsor group, then the name of the sponsor is required in "Nonfederal/Nonstate Sponsor Name", item 9.

6 Project Type Check the appropriate type.

   Code:

7 Investigators: The name of the Principal Investigator is required on the first line. A second, Co-Principal Investigator, may be optionally entered on the second line.

   Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

8 Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

9 Nonfederal/Nonstate Sponsor Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here.

   Beginning at the left of the first line enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

10 Proposal Identifying Number: Beginning at the left, enter the number: Which identifies the proposal.

11 Proposed Project Duration: Enter the duration of the project in: months.

   For example:

   If the duration is: The entry is:

       6 months 006
       36 months 036

12 Account Number: Enter the six-digit account number associated with the project.

13 Proposed Project Cost: Enter the proper dollar amount associated with this proposal action. Enter eight-digits using zeroes (0) in the left-most positions to complete the field.

   If this is the initial reporting of the proposal, enter the total proposed project cost.

   If this is a correction to a proposal that appeared on a corporate error report as "processed", enter zeroes.

   For all other changes and corrections, enter the amount of change in the project cost. If the change is negative, code a minus sign " - " in the parenthesis to the right of the amount field.

   For example:

   If the amount is: The coded entry is:

       $.1010.00 00010000 ( )
       $1,234,500 01234500 ( )
       $50,000 negative 00050000 ( - )

14 State Matching Funds: Enter the state matching funds dollar amount, if any, associated with the project. The amount is right justified. Enter eight-digit placing zeroes (0) in the left-most position to complete the field.

   If no state matching funds is anticipated, leave blank.
I PURPOSE

The University of California, Office of the President (OP), Research Administration Office (RAO) within the Office of Senior Vice President -- Business and Finance is responsible for administering the Corporate Contract and Grant Information System (CGX).

The CGX was created to meet information needs of OP management, and to fulfilling Assembly Concurrent Resolution No. 45. ACR 45 requires the University to disclose to the public upon request, the conditions attached to significant contracts, grants, and other instruments of sponsorship. The RAO serves as a central contact point to the public for this purpose. See Enclosure 1, ACR 45.

The Corporate Contract and Grant Information Requirements define the required corporate contract and grant information needs and identify the interface between the campus contract and grant office and the Corporate Contract and Grant System. The purpose is not to specify an information system or provide corporate forms for campus use. Each location may design its own reporting system and forms as long as the local system produces the information in the format required by the corporate system.
II WHO MUST PROVIDE DATA

Data is submitted from all campuses, major DOE laboratories, Agriculture and Natural Resources, and Office of the President offices as follows:

Campuses Laboratories
Berkeley Lawrence Berkeley National Laboratory
San Francisco Lawrence Livermore National Laboratory
Davis Los Alamos National Laboratory
Los Angeles Other
Riverside Agriculture and Natural Resources (A&NR)
San Diego Office of the President Offices (OP)
Santa Barbara
Santa Cruz
Irvine
Merced

III WHAT TRANSACTIONS ARE REPORTED

A. Initial Proposal and Award Transactions

1. Reportable transactions for Office of the President and campus locations must meet all of the following criteria.

   a. The transaction is a proposal or application, or a contract, grant or cooperative agreement award:

      i. Excluding gifts;
      ii. Excluding master contracts or basic agreements which themselves do not provide funds or require performance;
      iii. Excluding 19900-funded activities.

   b. The transaction is with a sponsor external to the campus:

      i. Including governmental and private sponsors;
      ii. Including proposals to and awards from DOE Laboratories;
      iii. Including proposals and awards under special State appropriations for research that are administered by the University;
      iv. Including subawards issued by another U.C. campus or A&NR under their prime award. See data definition of Sponsor Code for guidance in reporting subawards.

   C. The transaction is for one of the purposes specified under the Project Type Code definition and

      i. Excluding awards made to The Regents that are administered directly by campus Student Aid Offices for the following purposes: National Direct Student Loan Program, College Work Study, Supplemental Educational Opportunity Grants Basic Educational Opportunity Grants;
      ii. Excluding Federal construction grants that are subject to the policies and procedures set forth in the University Facilities Manual Section E-1.7.

B. Changes and Corrections to Data Previously Reported

1. Awards

   Award information is maintained in the CGX system for five years after the award expires. All changes and corrections to awards previously submitted and which are still active (the award period has not ended) or have terminated within the last five years are reportable.

   Data fields provided to the Corporate Contract and Grant System via campus automated systems or via forms (DOE laboratories and OP) will contain the latest information at the time the transaction is processed by the contract and grant office in all fields except in the Award Amount field. The Award Amount field will contain the positive or negative amount of change. This is the amount by which the previously reported amount must be adjusted in order to result in the latest correct total amount.

   Award numbers must be "unique and non-varying over time". Once an award is reported under an award number, all future transactions must use the exact same award number, including the same spacing and punctuation marks. The practice of adding to the award number when reporting subsequent transactions under the same award, such as "Mod 1" or "Sup 1" or "/02" must not be done.

2. Proposals

   Proposal information is maintained in the CGX system for one fiscal year after the proposal is reported. The CGX system is not intended to reflect the exact status of each proposal. Changes and corrections that occur within the same reporting quarter as the initial proposal transactions are reportable in the CGX system. Changes to proposal data beyond a reporting quarter need not be reported; instead a new proposal transaction may be reported. Corrections to proposal data may be submitted up until one year after the proposal has been reported. This should be done particularly if large dollar errors have been made.

   Data fields transmitted to the Corporate Contract and Grant System via automated systems or via forms will contain the latest information in all fields except in the Project Cost -- Proposed field. The Project Cost -- Proposed field will contain the positive or negative amount of change. This is the amount by which the previously recorded amount must be adjusted in order to result in the latest correct total amount.

3. Expired Awards

   Expired awards are retained in the Corporate System for five years before they are purged. If within the five year period a transaction occurs that changes the period of performance so as to make the award active, the transaction routinely should be entered as described in paragraph III.B.1. "Resubmission of expired award", is no longer a valid award action and will result in a rejected record during the edit process. All award actions must be either "new" or "continuation". "Continuation" is used for awards that have expired within the last five years and are being reactivated.
IV WHAT DATA IS SUBMITTED

A. Overview of Data Elements

The CGX system contains two types of data: data submitted from the campus, Laboratory or systemwide location and data generated by the CGX system by accessing other corporate systems. For instance, the account number is submitted by the local Contracts and Grants Office reporting system; the CGX corporate system then accesses the Corporate Account Fund Profile portion of the corporate accounting system and, matching the location and account number, generates the data elements account name, organizational unit name, academic discipline, and functional classification. Similarly, only the fund number data element is submitted by the local system to the Office of the President. The corporate CGX system then accesses the Corporate Account Fund Profile and, matching location and fund number, derives the data elements method of payment and on/off campus location. As a result of using data elements submitted by the campus/OP location and then linking to other systems to generate additional data, there is more information provided in CGX Reports than is submitted during the quarterly input process.

For a complete list of the data elements available for reporting in the CGX system, including those elements derived by linking to other corporate reporting systems, contact the Office of the President Research Administration Office.

B. Index to Data Elements

<table>
<thead>
<tr>
<th>DATA ELEMENT NAME:</th>
<th>APPLICABLE TO:</th>
</tr>
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<tbody>
<tr>
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<td>Project Awards &amp; Proposals</td>
</tr>
<tr>
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<td>Awards &amp; Proposals</td>
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<tr>
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<td>Awards</td>
</tr>
<tr>
<td>Award Form Prep. Date</td>
<td>Awards</td>
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<tr>
<td>Award Number</td>
<td>Awards</td>
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<tr>
<td>Award Period Start Date</td>
<td>Awards</td>
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<tr>
<td>Award Period End Date</td>
<td>Awards</td>
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<tr>
<td>Contract/Grant Code</td>
<td>Awards &amp; Proposals</td>
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<td>Awards</td>
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<tr>
<td>Indirect Cost-Applicable Rate</td>
<td>Awards &amp; Proposals</td>
</tr>
<tr>
<td>Matching Funds</td>
<td>Awards &amp; Proposals</td>
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<tr>
<td>Name -- Co-Principal Investigator</td>
<td>Awards &amp; Proposals</td>
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<td>Project Duration</td>
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</tr>
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<tr>
<td>UC Location Code</td>
<td>CGX Awards &amp; Proposals</td>
</tr>
</tbody>
</table>

C. DATA ELEMENT DEFINITIONS

This section describes award and proposal data elements originated by the campus, DOE Laboratory or OP location and required to meet corporate needs. The code values identified herein are those utilized by the CGX corporate system. Campus systems may use different code values.

ACCOUNT NUMBER Field Length/Type: 6 alphanumeric

The number code taken from the campus list of accounts which identifies the actual expenditure account where costs under the project are charged.

For new projects in which no account number has been assigned by the Accounting Office, it is necessary to ascertain and enter one of the responsible department's standard account numbers.

The use of the Account Number in the CGX System is to identify the department or ORU name, by reference to the campus list of account numbers, and to identify the academic discipline.

If an Account Number not in the campus list of accounts is used, this will result in the contract, grant or cooperative agreement being disassociated from the appropriate department.

AWARD ACTION CODE-CGX Field Length/Type: 1 alphanumeric

This field indicates if the award is new or a continuation of a previous award.

Corporate Code

1 New - there was no prior award.

2 Continuation - all actions other than New, including renewals. Continuations include actions where additional funds are being provided to continue a project, e.g., budget period or equivalent, incremental funding amounts, the beginning of a project period where there has been a previous project period, no cost time extension, etc.

AWARD AMOUNT Field Length/Type: 8 numeric

The total dollars awarded are reported including indirect costs but not cost sharing or "University Participation". The total dollars awarded means the amount actually authorized by the grant award or, in the case of a contract, the total estimated cost authorized for the period of performance. In the case of an equipment grant, the value of the equipment may be reported.
The first time the award is reported, the Award Amount will be the amount actually awarded. On subsequent reporting, report only the amount of change, if any, (positive or negative). This is the amount by which the previously reported amount must be adjusted in order to result in the latest correct total amount.

**AWARD FORM PREPARATION DATE** Field Length/Type: 6 alphanumeric

Date on which the award form data document is prepared by the contract and grant office. If multiple award actions occur within a quarter for a given award, these actions should not be summarized into one transaction. To be processed correctly, multiple actions for a given award must have non-duplicating Award Form Preparation Dates in chronological sequence.

**AWARD NUMBER** Field Length/Type: 30 alphanumeric

The unique identifying number assigned by the sponsoring agency (or by the campus contract and grant office in the absence of a sponsor assigned award number) to the contract, grant, or cooperative agreement award document. Only numbers assigned to project agreements, task orders, or individual awards (which may incorporate the Basic Agreement or Master Contract Number) made pursuant to Basic Agreements or Master Contract may be used.

If the sponsor has assigned no award number, it is essential that the Contract and Grant Office systematically assign a number to an awarded contract, grant, or cooperative agreement. Any system is satisfactory as long as the number is unique within the first 30 characters and non-varying over time.

Each award must have a unique award number. Projects with multiple sponsors must use unique award numbers for each sponsor. This is because the transaction will replace (overlay) data for another sponsor when the award number is the same.

The award number is used by the Corporate System to uniquely identify the award. Therefore, the number must be unique to one award only and must not change. If for any reason the award number changes, then the original or "parent" award number (without modification or identifiers) must be used when reporting to the Corporate System. The award number must not be modified, such as "Mod 1" or "Sup 1" or "7/02", and it must have the exact same spacing and punctuation marks.

**AWARD PERIOD START DATE** Field Length/Type: 6 alphanumeric

Date that a new, renewal, or supplemental agreement award becomes effective. The term effective for reporting purposes means the calendar date recognized by the award as the beginning for performance and incidence of costs. Note that the award period start date may be a date preceding the date the award is either fully executed or received by the University. If there is no known start date as in the case of some private grants, the start date should be the date the private grant is received by the campus Contract and Grant Office. All awards must have a specified start date. The following example illustrates what is reportable as the Award Period Start Date for renewals:

Year 1: 7/1/79 to 6/30/80 report Start date of 7/1/79 and End date of 6/30/80
Year 2: 7/1/80 to 6/30/81 report Start date of 7/1/80 and End date of 6/30/81
Year 3: 7/1/81 to 6/30/82 report Start date of 7/1/81 and End date of 6/30/82

**AWARD PERIOD END DATE** Field Length/Type: 6 alphanumeric

Date the award ends. In the case of multi-year grants (e.g., PHS), enter the end date of the current budget period. If the entire project period is fully funded, then enter the end date of the project period. The project period for grants is for administrative planning purposes only and imposes no legal obligation by the Government to require performance or provide funding beyond the current budget period, and provides no legal rights to the grantee beyond the current budget period.

In the case of multi-year contracts the award end date depends on how the contract is written. When the contract requires performance and provides funding for only one of a series of years, the end date should be the end of that current "budget" period. When the contract requires performance for the entire multi-year "project" period and provides either full or incremental funding, the end date should be the end of the multi-year "project" period. The multi-year period in contracts is a contractually recognized period of time during which the Government is required to obtain contractor performance and is obligated to continue to fund the contract except in the event of a formal termination for convenience. For reporting purposes therefore, the end date of the award for a multi-year contract is the performance completion date, not the time period associated with incremental funding amounts.

In the case of a private grant or other type of award that does not specify a known end date, then arbitrarily assign a definite end date, e.g., one year after the private grant is received by the contracts and grants office. The Award Amount should be the amount awarded (total estimated cost or fixed price) through the Award Period End Date.

**CONTRACT/GRAIN CODE** Field Length/Type: 1 alphanumeric

All award and proposal transactions, including project agreements, task orders or individual awards issued pursuant to a Basic Agreement or Master Contract, must indicate whether they are for a contract, grant or cooperative agreement. If an award instrument is not identified by the sponsor as a grant or cooperative agreement, it may be identified as a contract.

Corporate Code
K - Contract
G - Grant
A - Cooperative Agreement

**FUND NUMBER** Field Length/Type: 5 alphanumeric

A number assigned by the Accounting Office that identifies a specific source of funds. The fund number is uniquely associated with the funds received for a particular award during each fiscal year or entire period that a contract, grant or cooperative agreement is operative. Its primary function is the positive identification of the contract and grant in the University's ledgers and is a cross-reference to the General Ledger accounts produced by the Accounting System. Further, it is used by the CGX system to link to the Corporate Account Fund Profile and determine the on- or off-campus location of the project and the method of payment. If no fund number will be assigned because the award is an equipment grant, use fund number 00000.

**INDIRECT COST - APPLICABLE RATE** Field Length/Type: 4 numeric

Rate (calculated as the percentage figure) awarded to recover the University's indirect costs under grants, contracts, and cooperative agreements. The CGX data element for indirect costs is 4 spaces: 3 before the decimal point and 1 after. All four spaces must be filled. The following are examples:

Indirect Cost Rate CGX Report
Awards and proposals which require both the development of training materials and the conduct of training as part of the same award should be identified as Training, (Category 5).

Fellowships or other similar awards made directly from sponsors to students, and Student Aid programs identified in III.A.1.c. which provide for selection of student recipients by academic departments, and the institutional support which is either a University contribution of 19900 funds (in cash, or in-kind values that are funded by 19900 funds). Matching excludes cost sharing which is voluntary and not legally obligated to be performed or is provided under institutional cost sharing agreements.

The name, if any, of the investigator who is working with the Principal Investigator on the sponsored project. The full name may be reported in the format: last name (comma) first name (space) middle name(s) (comma) suffix. However, only the first 20 letters of the last name and initial of the first name are required. If there is more than one Co-Principal Investigator, select only one for reporting.

The complete descriptive title of the project. The title should not contain acronyms and should clearly convey the activity for which funding has been received.

Identifies the award or proposal by purpose. The project type is reported for the total award, not for the individual transaction. For instance, if a modification to a basic research project is made to authorize equipment purchase, the project type remains basic research. All awards and proposals must be identified by one of the following:

Project Type Code Definitions:

1. Basic Research - research that is directed toward increase of knowledge in science wherein the primary aim of the investigator is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application thereof. This includes analytical and experimental activities that primarily seek to increase the understanding of fundamental phenomena. The end product is usually a report, although experimental hardware may be involved. In basic research, the particular use of the knowledge is not foreseen or identified at the beginning of the effort.

2. Applied Research - consists of the effort that: (1) normally follows basic research, but may not be severable from the related basic research; (2) attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices, and techniques; and (3) attempts to "advance the state of the art". Applied research involves the study of phenomena relating to specific, known needs in connection with the functional characteristics of a system. Applied research does not include any efforts when their principal aim is the design, development, or test of specific articles or services to be offered for sale, which are within the definition of the term development.

3. Developmental Research - the systematic use and practical application of investigative findings and theories of a scientific or technical nature toward the production of, or improvements in, useful products to meet specific performance requirements but exclusive of manufacturing and production engineering. The dominant characteristic is that the effort be pointed toward specific problem areas to develop and evaluate the feasibility and practicability of proposed solutions and determine their parameters. Development includes studies, investigations, initial hardware development and ultimately development of hardware, systems, or other means for experimental or operational test.

A. Clinical Trial Research - the controlled clinical testing of investigational new drugs, devices, treatments, or diagnostics, or comparisons of approved drugs, devices, treatments, or diagnostics, to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes, if any, in human subjects. Such studies may be conducted under either a sponsor-developed or an investigator-developed protocol. These studies are conducted in conjunction with obtaining new drug or device approval from the U.S. Food and Drug Administration, under Phase I, II,III, or IV. Pre-clinical laboratory studies or studies in animals are not included under the term clinical trial research and neither are projects designed to develop new compounds, as well as test them; such projects are reported in one of the other research categories.

4. Other Research - is to be used only if a research project cannot be classified as basic, applied, developmental, or clinical trial research.

5. Training (benefiting the University) - for the purposes of reporting to Office of the President, this category means the conduct of scholarly, professional, occupational instruction for matriculated students or University employees in forms such as classes, seminars, workshops, conferences, etc. This category includes sponsorship of students or employees who are "in training" primarily but not exclusively at the graduate and undergraduate levels. The scope of this code also includes sponsored training awards made to The Regents which provide for selection of student recipients by academic departments, and the institutional support which is either included in the training grant or is applied for and awarded separately. Excluded from this group and from this contract and grant information requirement are fellowships or other similar awards made directly from sponsors to students, and Student Aid programs identified in III.A.1.c.

Awards and proposals which require both the development of training materials and the conduct of training as part of the same award should be identified as Training, (Category 5).
Awards and proposals which are primarily for development of training materials and curricula should be identified as Developmental Research, (Category 3).

Training projects which are intended for the training to be conducted by the University for presentation to and for primary benefit to the public, i.e., individuals or groups external to the University, should be identified as Public Service, (Category 6).

6. Public Service - as the term is interpreted in the context of sponsored projects means externally sponsored projects where the sponsor, particularly the Federal and state Government, desire to have the University provide the benefits of scholarly or professional training or services to individuals or sponsor designated recipient groups which are external to the University. Examples of public service may include some programs such as those sponsored by the Agency for International Development, the National Endowment for the Humanities, and the National Institutes of Health in the area of biomedical services or training. The principal characteristic of public service is that individuals and groups external to the University are the intended beneficiaries.

7. Other Service - includes services which the University provides or makes available which do not fit within the categories of training or public service, such as the use of University facilities as provided by Regulation 4.

8. Equipment - applications or awards which are restricted by the sponsor for the sole purpose of the University's procurement of equipment. This may include direct grants of equipment, or full or partial funding to enable the University to purchase equipment, where in both cases the sponsor intends to transfer or have title to the equipment vest in the University.

B. Material Transfer - used for agreements whose sole purpose is to govern the transfer of materials to the University from the provider wherein the provider restricts the use of the material to a designated research project. Such agreements often include rights granted back to the provider. Materials may include, but are not limited to, cultures, cell lines, plasmids, nucleotides, proteins, bacteria, transgenic animals, pharmaceuticals, devices, models, reagents or other chemicals. When terms pertaining to the transfer of materials are integrated into an agreement that provides for both the funding of research and the transfer of materials, use the project type appropriate for the financial transaction (e.g. basic research).

9. Other - to be used only if a project can not be classified by one of the above categories.

PROPOSAL IDENTIFYING NUMBER Field Length/Type: 10 alphanumeric
An identifying number assigned by the campus contract and grant office. Most campuses have formulated a system which allows the proposal number to convey information concerning the fiscal year in which the proposal is made and in some cases to indicate whether the proposal is a revision or a multiple solicitation. Numbers assigned by sponsors to their requests for proposals, invitations for bids, or other solicitation methods, etc. are not to be used.

PROJECT COST - PROPOSED Field Length/Type: 8 numeric
Enter the anticipated project cost including indirect costs. The first time the proposal is reported, the Proposed Project Cost will be the total anticipated project cost. When reporting subsequent revisions to the proposed project cost (required in the original reporting quarter only), only the amount of change (positive or negative) will be reported.

PROJECT DURATION - PROPOSED Field Length/Type: 3 alphanumeric
The number of months proposed as the performance period.

SPONSOR CODE Field Length/Type: 4 alphanumeric
All contract and grant activity must be reported using sponsor codes that identify the organization sponsoring the project. Sponsor codes are provided on the Sponsor Code Table maintained and updated quarterly by the Office of the President Research Administration Office. The Sponsor Code Table is organized in three parts: Federal, State, and All Other. University of California campuses and special research programs are listed under All Other, UC (name of campus or program). Agricultural Marketing Order Boards are listed under All Other, CALIF (name of Marketing Order Board).

SPONSOR NAME - NONFEDERAL/NONSTATE Field Length/Type: 90 alphanumeric
The name of the "Nonfederal or Nonstate" sponsor. This information is required only if there is no sponsor code provided in the Sponsor Code Table and the Miscellaneous Sponsor Code 9850 has been used in reporting a proposal. The Miscellaneous Sponsor Code 9850 is not allowed in the awards file.

TRANSACTION REFERENCE NUMBER Field Length/Type: 6 alphanumeric
The Transaction Reference Number is assigned at the option of the campus and is not required. It is a number derived from a source document or generated by the system which uniquely identifies a transaction on a campus input file. It is printed on edit reports when invalid data is encountered to facilitate identifying the unique source document or system generated transaction causing the error.

UC LOCATION CODE - CGX Field Length/Type: 2 alphanumeric
Identifies the major organizational unit within the University submitting the data.

01 - Berkeley
02 - San Francisco
03 - Davis
04 - Los Angeles
05 - Riverside
06 - San Diego
07 - Santa Cruz
08 - Santa Barbara
09 - Irvine
20 - Office of the President (all Office of the President Offices including University Extension)
21 - Lawrence Berkeley National Laboratory
22 - Lawrence Livermore National Laboratory
23 - Los Alamos National Laboratory
52 - Agriculture and Natural Resources
V. ASSIGNMENT and USE OF SPONSOR CODES

A. Summary Requirements for the Assignment and Use of Sponsor Codes

Write UCOP for Code Assignment

PROPOSALS
Federal Government X
State of California X
University of California System X
County, Municipal, Foreign Use 9850 (Miscellaneous Institutions, Private Sponsors, code) and complete data
& Foundations element Non/Federal Non/State Name

AWARDS
Federal Government X
State of California X
University of California System X
County, Municipal, Foreign Institutions X
Private Sponsors, & Foundations X

All contract and grant award sponsors must be coded and entered into the Sponsor Code Table. Sponsor codes are used when reporting proposals and awards from Federal and State sponsors. Therefore, new sponsor codes are assigned for proposals and awards from new federal and state sponsors.

Sponsor codes are not assigned for use in reporting proposals from County, Municipal and Foreign Institutions and Private Sponsors or Foundation sponsors. Therefore, when reporting proposals to any Nonfederal/Nonstate sponsor, enter the sponsor's name in the Data Field entitled "SPONSOR NAME -- NONFEDERAL/NONSTATE " and use the 9850 Miscellaneous Sponsor code. The Miscellaneous Sponsor Code must not be used in the award file.

In all other instances where a specific sponsor code is to be used for reporting proposal and award transactions but is not provided in the Sponsor Code Table, write for assignment of sponsor code number using the Sponsor Code Assignment Request form.

The Sponsor Code Table is updated at the close of every quarter to reflect newly assigned sponsor codes. Newly assigned sponsor codes will be summarized as quarterly updates to the Sponsor Code Table and may be downloaded in electronic form from the UCOP Research Administration homepage at http://www.ucop.edu/raohome/sponsors. The complete sponsor code table as of the last quarter is also available electronically at the same url.

B. Assignment of New Codes

When a sponsor code does not exist in the Sponsor Code Table, fax a request for a new sponsor code to the Office of the President Research Administration Office (510-835-3705) using the Sponsor Code Assignment Request form (See sample attached).

If, during the edit cycle, a sponsor code is needed to correct an error, telephone requests for sponsor codes will be accepted at 510-987-9838 simultaneously with submission of the Sponsor Code Assignment Request form.

C. Externally Sponsored Inter-campus Subawards

When an inter-campus subaward is received from another campus, DOE Laboratory, OP, or A&NR that received the prime award from an external sponsor, the dollar amount of the subaward is reported and the awarding campus, Laboratory, OP, A&NR, or UC program is identified as the sponsor using the Sponsor Code of the UC location or UC program. Subawards received by DOE Laboratories from campuses are not reportable by the DOE Laboratories.

Sponsor codes have been assigned to UC campuses, DOE Laboratories, OP, A&NR, and UC intramural programs. The following list includes sponsor codes assigned to UC locations and selected intramural programs.

NAME OF PROGRAM OR LOCATION SPONSOR CODE

UC Academic Geriatric Resource Program 6721
UC Agriculture and Natural Resources 6774
UC Berkeley 6761
UC Biotechnology Research and Education 6722
UC Breast Cancer Research Program 6745
UC CALCOR & INCOR 6723
UC California History-Social Science Project 6743
UC California Institute for Energy Efficiency (CIEE) 6741
UC California Literature Project 6744
UC California Math Project 6724
UC California Policy Seminar 6725
UC California Science Project 6740
UC California Space Institute 6726
UC California Writing Project 6727
UC Cancer Research Coordinating Committee 6728
UC Davis 6763
UC Davis National Institute for Global Environmental Change 6742
UC Energy Research Group (UERG) 6729
UC Industry-University Cooperative Research Economic Assessment 6704
UC Institute of Geophysics and Planetary Physics 6730
UC Institute of Global Conflict and Cooperation 6731
UC Irvine 6772
UC Laboratory of Biomedical and Environmental...
Sciences 6775  
UC Lawrence Berkeley Laboratory 6760  
UC Lawrence Livermore National Laboratory 6766  
UC Los Alamos National Scientific Laboratory 6770  
UC Los Angeles 6764  
UC Math Diagnostic Testing Project 6738  
UC Merced 6777  
UC Mexus 6732  
UC Micro-Microelectronics Innovation & Computer Research Opportunities 6733  
UC Office of the President 6773  
UC Pacific Rim Research Program 6734  
UC Riverside 6765  
UC San Diego 6778  
UC San Francisco 6762  
UC Santa Barbara 6771  
UC Santa Cruz 6769  
UC Sea Grant College Program 6735  
UC STAR Biotechnology Program 6776  
UC Tobacco-Related Disease Research Program 6739  
UC Toxic Substances Research & Teaching 6736  
UC Universitywide AIDS Research Program 6737  

Other intramural programs not assigned sponsor codes are reported under the lead campus for the program. The following lists a few of the other intramural programs, the lead campus, and the sponsor code of the lead campus to be used for reporting:

UNIVERSITY-WIDE PROGRAM LEAD CAMPUS CODE

California Policy Seminar Berkeley 6761  
University Research Expedition Program Berkeley 6761  
President's Fellowship Office of the  
President 6773  

D. Reporting Awards from A&NR

The following are special instructions to A&NR and campus organizations for reporting awards signed by the A&NR contract and grant officer but performed on campus(es):

1. If performed entirely on a single campus, the campus will report the entire award and A&NR will not report the award.

2. If the prime award is assigned to a lead campus for performance and administration, and there are further subawards to other campuses, the lead campus will report the entire award, other campuses will report the amount of the subawards received from the lead campus, and A&NR will not report the award.

3. If the administration of the prime award is retained by A&NR but is performed on multiple campuses, A&NR will report the entire award, and each campus will report their parts of the whole as subawards from A&NR.

VI HOW DATA IS SUBMITTED

A. Campuses

Award and proposal data prepared throughout the quarter by the campus contract and grant office will be gathered by the campus information systems office according to procedures and schedules developed by each campus. The campus information systems office will forward the data quarterly to IR&C, Office of the President according to procedures and schedules developed by Office of the President IR & C. Refer to Campus Specifications for Corporate Contract and Grant Information Requirements, dated December, 1980 and revised March, 1981. This information is available electronically at http://www.ucop.edu/irc/campus_specs/cgx

Data for each quarter is due at Office of the President IR & C on the fifteenth working day of the month following the last day of the quarter. Third and fourth quarter due dates are the fifteenth working day of October, January, April, and July, respectively. Corrections to fourth quarter data are due within five working days of receipt of the edit, in order to complete year-end processing.

B. DOE Laboratories, Agriculture and Natural Resources, and Office of the President Offices

DOE Laboratories and Office of the President offices will report award and proposal activity to the CGX system by preparing data input forms, one per award or proposal action, and submitting them to the Office of the President Research Administration Office. The Office of the President Research Administration Office will provide a supply of these forms. A sample of the forms and instructions on their completion are provided in Table 8.

As soon as possible after the information arrives at the Office of the President Research Administration Office, the data will be edited for validity and completeness. A report of errors, if any, will be returned to the appropriate submitting office. The error report will be reviewed by the Laboratory, A&NR, or OP and a replacement form prepared for each rejected transaction. See Section VI for more information on error detection and correction.

VI CORRECTION OF ERRORS

A. Error Detection

Data submitted to the CGX System must pass strict editing and completeness tests. Similar testing should be done by campus systems. These tests are for:
The validation tests are described in detail in the Campus Specifications for Corporate Contract and Grant Information Requirements, distributed by the Office of the President. Table 1, Summary of Data Element Edits, lists each data element, indicates whether it applies to proposals and/or awards, and defines the data element edit criteria, the level of the error, and the error message that appears on the edit report.

B. Error Reporting

Errors detected by the Corporate System are reported on the "Corporate Contracts and Grants System Edit Error Report - Awards" (CGX0310A) and on the "Corporate Contracts and Grants System Edit Error Report - Proposals" (CGX0310P). These reports are sent to the responsible campus/lab Contract and Grant Office for appropriate action. See paragraph III.B. for required changes and correction to data previously submitted.

The edit reports identify the award or proposal record, give a message describing the error(s), display the actual value of the data in error, and indicate if the record was "processed" or "rejected".

If the record appears on the error report but shows "processed" in the right margin, then all of the data on the record is retained by the CGX System and will be processed in the quarterly reports.

If the record appears on the error report but shows "rejected" in the right margin, then none of the data on that record is retained by the CGX System, but must be resubmitted in order to be processed. See Table 2 for sample edit reports.

The "Update Warning Message Report - Awards", (CGX0410A) and Update Warning Messages Report - Proposals", (CGX0410P) lists awards and proposals for which the sponsor, contract/grant type, or project type changed between the record that is in the data base and the quarterly file input.

C. Error Correction

All locations must correct all awards identified as "rejected" by the error reports if the transaction is to be included in the quarterly report. Correction of "rejected" and "processed" errors on awards may be deferred until the next quarter during the First through Third Quarters. All rejected and processed errors for awards must be corrected by the Fourth Quarter of each year so that the Annual Listing of Awards is correct. Correction of proposal errors is not required, but locations are encouraged to correct errors, particularly large errors in project cost. It is preferable to correct errors in the quarter in which they occur rather than deferring corrections to the next quarter.

Correction of errors is accomplished by resubmitting the entire quarterly file with erroneous records corrected to the Office of the President. Contract and Grant offices on campuses will utilize campus-developed procedures for data correction and its subsequent submittal to IR & C by the campus information systems office. The correcting entry for an award must have a different Award Form Preparation Date from the transaction in error, otherwise the correcting transaction will be rejected on the basis of the edit for same date award preparation. DOE Laboratories and Agriculture and Natural Resources work directly with the OP Research Administration Office to correct errors.

VII CORPORATE CONTRACT AND GRANT REPORTS

A. Standard Reports and User Access Reports

The CGX system generates quarterly and annual fixed-format reports, some of which are distributed to the campus, Laboratory, and OP locations. The CGX system also is available for generating reports through User Access. Using an account at the Office of the President Corporate Data Center, User Access allows reports to be developed from the CGX award or proposal database according to specifications developed by the user. Campus, Laboratory or OP locations may obtain access to the CGX data base and receive a copy of the CGX User Manual which describes the data elements available for reporting and instructions on how to access the CGX data base.

The CGX system also is available for generating reports through User Access. Using an account at the Office of the President Corporate Data Center, User Access allows reports to be developed from the CGX award or proposal database according to specifications developed by the user. Campus, Laboratory or OP locations may obtain access to the CGX data base and receive a copy of the CGX User Manual which describes the data elements available for reporting and instructions on how to access the CGX data base.

B. Awards

1. Quarterly Award Reports

   CGX0310A *Edit Error Report - Awards
   CGX0410 *Update Warning Messages Report - Awards
   CGX0601A *Campus Awards by Major Sponsor & Comparison With Prior Year
   CGX0601B *Total Award by Major Sponsor & Comparison With Prior Year
   CGX0602 *Quarterly Campus List of Awards
   CGX0603 Quarterly Summary of Awards by Campus by Sponsor Category
   CGX0604A *Quarterly Campus Awards by Major Sponsor Category and Project Type
   CGX0604B *Quarterly Summary of Awards by Major Sponsor Category and Project Type
   CGX0605 Quarterly Summary of Awards by Major Federal Sponsor
   CGX0606A *Quarterly Campus Awards by Private Major Sponsor Category
   CGX0606B *Quarterly Summary of Awards by Private Major Sponsor Category
   CGX0607 Quarterly Summary List of Awards
   CGX0609A Quarterly Campus Inventory of Active Contracts & Grants as of mmddyy
   CGX0609B Summary Campus Inventory of Active Contracts & Grants as of mmddyy
   CGX0610A *Quarterly Campus Inventory of Active Awards by Sponsor Category & Project Type as of mmddyy
   CGX0610B Quarterly Summary Inventory of Active Awards by Sponsor Category & Project Type as of mmddyy
   CGX0610C *Quarterly Campus Inventory of Active Awards by Project Type as of mmddyy
   CGX0611A *Quarterly Campus Total Awards by Project Type
2. Annual Award Reports

CGX0650 Annual Award Amount by Sponsor and Campus
CGX0651 Annual Award Amount by Sponsor Category and Campus
CGX0652A *Annual Campus Total Awards by Sponsor
CGX0652B Annual Summary of Total Awards by Sponsor
CGX0653A *Annual Campus Total Award by Sponsor Category
CGX0653B *Annual Summary of Total Awards by Sponsor Category
CGX0654 Annual Summary of Awards by Discipline from Major Federal Sponsors & Sponsor Categories
CGX0655A *Annual Campus Awards by Discipline and Project Type
CGX0655B Annual Summary of Awards by Discipline and Project Type
CGX0656 Annual Summary List of Awards
CGX0657 Annual 5-Year Comparison of Award Amount by Sponsor
CGX0660 *Annual Campus List of Awards
CGX0661 Annual List of Federal Award Amount Across Campuses
CGX0662 *Annual Award Amounts by On/Off Campus Location

C. Proposals

1. Quarterly Proposal Reports

CGX0310P *Edit Error Report - Proposals
CGX0420 *Update Warning Messages Report - Proposals
CGX0701 *Quarterly Campus List of Proposals
CGX0702A *Quarterly Campus Proposals by Sponsor and Project Type
CGX0702B Quarterly Summary of Proposals by Sponsor and Project Type

2. Annual Proposal Reports

CGX0750A *Annual Campus Proposals by Project Type & Major Sponsor Category
CGX0750B *Annual Summary of Proposals by Project Type & Major Sponsor Category
CGX0751A *Annual Campus Proposals by Project Type & Major Federal Sponsors
CGX0751B *Annual Summary of Proposals by Project Type & Major Federal Sponsors
CGX0752A *Annual Campus Proposals by Project Type & Private Sponsor Category
CGX0752B *Annual Summary of Proposals by Project Type & Private Sponsor Category
CGX0753A *Annual Campus Proposals by Sponsor and Project Type
CGX0753B Annual Summary of Proposals by Sponsor and Project Type

D. Sponsor Code Tables (Updated and Distributed Quarterly)

CGX1121 *All Sponsors--Sponsor Code Order
CGX1122 All Sponsors--Alphabetical Order
CGX1123A *Federal Sponsors Only
CGX1123B *State Sponsors Only
CGX1124 *Sponsors Other Than Federal/State--Sponsor Name Order
CGX1125 All Sponsors - Sponsor Category Order
CGX1126 Foreign Sponsors Only
CGX1127 *Additions and Changes During Quarter
CGX1128 Private Sponsors--Sponsor Alternate
Table 8

DOE LABORATORY AND OFFICE OF THE PRESIDENT

DATA ADVICE FORMS AND PREPARATION INSTRUCTIONS

Lawrence Berkeley National Laboratory, Lawrence Livermore National Laboratory, Los Alamos National Laboratory and Agriculture and Natural Resources will report award and proposal activity to Office of the President by submitting Award and Proposal Data Advice Forms to the Office of the President Research Administration Office by quarter. The purpose of Table 5 is to describe how to prepare these forms.

Refer elsewhere in the Corporate Contract and Grant Information Requirements for instructions on what information to report (Sections III and IV), how to submit information (Section V.B.), and how to correct it (Section VI).

General Instructions

(1) Always report the most up-to-date information.

(2) The Award Amount (Awards) and Proposed Project Cost (Proposals) are specially reported depending upon the circumstance. These are described in detail with the instructions for coding these particular fields.

(3) Follow the data coding conventions given below:

- Code numbers in the normal manner with the following exception:
  Code zero as (0 with a / through it)

- Code alphabetic characters in the normal manner, using capital letters, with the following exception:
  Code I crossed at the top and bottom
  Code Z crossed in the middle (-)

Advice of Contract, Grant or Cooperative Agreement AWARD Instructions

Complete the form as described below.

1 Prepared by: Enter the name of the person who prepared the advice form.

2 Approved by: Enter the name of the person who approved/authorized the information contained on the advice form.

3 Date Prepared: Enter the date on which the advice form is prepared, in month/day/year format.

4 Location Code: Check the location that is submitting the information.

5 Sponsor Code: Enter the 4-digit code from the Sponsor Code Table that identifies the organization sponsoring the project. Refer to Section V, Assignment and Use of Sponsor Codes.

If the Sponsor Code is for a miscellaneous sponsor group, then the name of the sponsor is required in "Nonfederal/Nonstate Sponsor Name", item 11.

6 Contract/Grant Code: Check the appropriate type.

7 Project Type Code: Check the appropriate type.

8 Award Action Code: Check the appropriate type of action.

9 Investigators: The name of the Principal Investigator is required on the first line. The name of the Co-Principal Investigator, if any, is required on the second line.

Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

10 Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

11 Nonfederal/Nonstate Sponsor Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here.
Beginning at the left of the first line, enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

12 Award Number: Beginning at the left, enter the award number.

13 Award Period: Both the award period begin date and the award period end date are required.
For each date, enter the two-digit month, followed by the two-digit day, followed by the two-digit year.

14 Account Number: Enter the six-digit account number associated with the project.

15 Fund Number: Enter the five-digit fund number associated with the project.

16 Award Amount: Enter the proper dollar amount associated with this award action. Enter eight-digits using zeroes in the left-most positions to complete the field.
If this is the initial reporting of the award or if this is a resubmission of an expired award, enter the total award amount.
If this is a correction to an award that appeared on a corporate error report as "processed", enter zeroes.
For all other changes and corrections, enter the amount of change in the award. If the change is negative, code a minus sign "-" in the parenthesis to the right of the amount field.
For example:
If the amount is: The coded entry is:
$10,000 0001000 ( )
$1,234,500 01234500 ( )
$50,000 negative 00050000 ( )

17 State Matching Funds: Enter the state matching funds dollar amount, if any, associated with this award. The amount is right-justified. Enter eight-digits placing zeroes (X) in the left-most positions, to complete the field.
If no state matching funds apply, leave blank.

18 Indirect Cost: Enter the appropriate rate (as a percentage figure) in the space provided. Align at the decimal point which is already entered for you.
For example:
If the rate is: The entry is:
34.2% 034.2%
25% 025.0%
No entry is required if no indirect costs are recovered.

Advice of Contract, Grant or Cooperative Agreement PROPOSAL
Complete the form as described below.

1 Prepared by: Enter the name of the person who prepared the data advice form.

2 Approved by: Enter the name of the person who approved/authorized the information contained on the advice form.

3 Date Prepared: Enter the date on which the advice form is prepared, in month/day/year format.

4 Location Code: Check the location that is submitting the information.

5 Sponsor Code: Enter the 4-digit code from the Sponsor Code List which identifies the organization sponsoring the project. Refer to Table 2, Sponsor Code, for detailed instructions on Sponsor Code selection.
If the Sponsor Code is for a miscellaneous sponsor group, then the name of the sponsor is required in "Nonfederal/Nonstate Sponsor Name", item 9.

6 Project Type Check the appropriate type.
Code:

7 Investigators: The name of the Principal Investigator is required on the first line. A second, Co-Principal Investigator, may be optionally entered on the second line.
Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

8 Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

9 Nonfederal/
Nonstate Sponsor
Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here.

Beginning at the left of the first line enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

10 Proposal Identifying Number: Beginning at the left, enter the number: Which identifies the proposal.

11 Proposed Project Duration: Enter the duration of the project in: months.

For example:
If the duration is: The entry is:
6 months 006
36 months 036

12 Account Number: Enter the six-digit account number associated with the project.

13 Proposed Project Cost: Enter the duration of the project in: months.

For example:
If the duration is: The entry is:
6 months 006
36 months 036

For all other changes and corrections, enter the amount of change in the project cost. If the change is negative, code a minus sign " - " in the parenthesis to the right of the amount field.

For example:
If the amount is: The coded entry is:
$.1010.00 00010000 ( )
$1,234,500 01234500 ( )
$50,000 negative 00050000 ( - )

14 State Matching Funds: Enter the state matching funds dollar amount, if any, associated with the project. The amount is right justified. Enter eight-digit placing zeroes (0) in the left-most position to complete the field.

If no state matching funds is anticipated, leave blank.

(click here for Table 1)

Table 2 is unavailable in an electronic format. Please see the hard copy.

(Table 3)

SPONSOR CODE ASSIGNMENT

TO: MALINDA WAN DATE: _____/_____/_____
RESEARCH ADMINISTRATION, UCOP
TEL: (510) 987-9838 FAX: (510) 835-3705
E-MAIL: Malinda.Wan@ucop.edu

FROM: Campus: ______________Person Requesting_________________________________________________
Telephone #: _ Fax #: _ Email: ____________ ___

SPONSOR NAME: ____________________________________________

SPONSOR TELEPHONE #: _______________________

DOCUMENTATION: Attach a copy of the cover letter and/or face page of the contract from the Sponsor. This helps to identify sponsor category.

ADDITIONAL INFORMATION:________________________________________

THIS SECTION IS COMPLETED BY Office of the President RESEARCH ADMINISTRATION ONLY
SPONSOR CODE: __ CGX: Yes ___ No ____ Current QTR: Yes ___ No ____
BUSINESS: Yes ___ No____
IRS: Yes ___ No____
SPONSOR CATEGORY CODE: ______ IRS ENTRY: Code_________
IRS Name_________________________
FEDERAL/STATE ONLY: FND DIR: Yes __ No ___
SUPER AGENCY CODE: DONORS: Indv __ Bus __ Mix __
SUB SUPER AGENCY CODE: INTERNET: YES___ No____
FOREIGN SPONSOR: Yes No
SPONSOR NAME ASSIGNED (MAXIMUM 70 CHARACTERS):
Unique First 25 characters: Yes ___ No ___ Abbreviation: Yes ___ No___
________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/________/____
8 Award Action Check the appropriate type of action.
Code:

9 Investigators: The name of the Principal Investigator is required on the first line. The name of the Co-Principal Investigator, if any, is required on the second line.

Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

10 Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

1. Nonfederal/Nonstate Sponsor
Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here.

Beginning at the left of the first line, enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

12 Award Number: Beginning at the left, enter the award number.

13 Award Period: Both the award period begin date and the award period end date are required.
For each date, enter the two-digit month, followed by the two-digit day, followed by the two-digit year.

14 Account Number: Enter the six-digit account number associated with the project.

15 Fund Number: Enter the five-digit fund number associated with the project.

16 Award Amount: Enter the proper dollar amount associated with this award action. Enter eight-digits using zeroes in the left-most positions to complete the field.
If this is the initial reporting of the award or if this is a resubmission of an expired award, enter the total award amount.
If this is a correction to an award that appeared on a corporate error report as "processed", enter zeroes.
For all other changes and corrections, enter the amount of change in the award. If the change is negative, code a minus sign "-" in the parenthesis to the right of the amount field.
For example:
If the amount is: The coded entry is:
$10,000 001000 ( )
$1,234,500 01234500 ( )
$50,000 negative 00500000 (---)

17 State Matching Funds: Enter the state matching funds dollar amount, if any, associated with this award. The amount is right-justified. Enter eight-digits placing zeroes (X) in the left-most positions, to complete the field.
If no state matching funds apply, leave blank.

18 Indirect Cost: Enter the appropriate rate (as a percentage figure) in the space provided. Align at the decimal point which is already entered for you.
For example:
If the rate is: The entry is:
34.2% 034.2%
25% 025.0%
No entry is required if no indirect costs are recovered.

Advice of Contract, Grant or Cooperative Agreement PROPOSAL
Complete the form as described below.

1 Prepared by: Enter the name of the person who prepared the data advice form.
2 Approved by: Enter the name of the person who approved/authorized the information contained on the advice form.

3 Date Prepared: Enter the date on which the advice form is prepared, in month/day/year format.

4 Location Code: Check the location that is submitting the information.

5 Sponsor Code: Enter the 4-digit code from the Sponsor Code List which identifies the organization sponsoring the project. Refer to Table 2, Sponsor Code, for detailed instructions on Sponsor Code selection.

If the Sponsor Code is for a miscellaneous sponsor group, then the name of the sponsor is required in "Nonfederal/Nonstate Sponsor Name", item 9.

6 Project Type: Check the appropriate type.

7 Investigators: The name of the Principal Investigator is required on the first line. A second, Co-Principal Investigator, may be optionally entered on the second line. Enter the last name beginning in the left-most position. Enter the initial of the first name in the initial box.

8. Project Name: Beginning at the left of the first line, enter the complete project title. Do not split words at the end of a line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word. This means that the next word would begin in the second space of the next line.

9. Nonfederal/Nonstate Sponsor Name: If the sponsor code entered in item 5 does not uniquely identify the sponsor, but identifies a miscellaneous group of sponsors, then the name of the sponsor must be provided here. Beginning at the left of the first line enter the name of the sponsor. Do not split words at the end of the line, but begin the word on the next line. If a word ends in the last position of a line, then a space must be provided in front of the next word beginning the next line. This means that the next word would begin in the second space of the next line.

10. Proposal Identifying Beginning at the left, enter the number which identifies the proposal.

11 Proposed Project Enter the duration of the project in months.

For example:

If the duration is: The entry is:
6 months 006
36 months 036

12 Account Number: Enter the six-digit account number associated with the project.

13 Proposed Project Enter the proper dollar amount associated with this proposal action. Enter eight-digits using zeroes (0) in the left-most positions to complete the field.

If this is the initial reporting of the proposal, enter the total proposed project cost.

If this is a correction to a proposal that appeared on a corporate error report as "processed", enter zeroes.

For all other changes and corrections, enter the amount of change in the project cost. If the change is negative, code a minus sign "-" in the parenthesis to the right of the amount field.

For example:

If the amount is: The coded entry is:
$.1010.00 00010000 ( )
$1,234,500 01234500 ( )
$50,000 negative 00050000 ( - )

14 State Enter the state matching funds dollar amount, Matching if any, associated with the project. The Funds: amount is right justified. Enter eight-digit placing zeroes (0) in the left-most positions to complete the field. If no state matching funds is anticipated, leave blank.

Enclosure 1

Assembly Concurrent Resolution No. 45
Assembly Concurrent Resolution No. 45 -- Relative to institutions of higher learning.

[Filed with Secretary of State June 28, 1979]

LEGISLATIVE COUNSEL'S DIGEST

ACR 45, Levine. Institutions of higher learning.

This bill would express the Legislature's belief that it is in the best interest of California's institutions of higher learning and the citizens of California that the terms and conditions of significant endowments, gifts, and grants to, and contracts with, such institutions be made available to the community of higher learning and the general public.

Whereas, California's institutions of higher learning have earned a reputation for the highest standards of intellectual integrity and academic freedom; and

Whereas, Institutions of higher learning depend on endowments, grants, contracts, and on gifts and grants from private individuals, corporations, and foundations; and

Whereas, The conditions attached to endowments, grants, contracts, and gifts can, on occasion, affect the independence and restrict the freedom of the recipient institution; and

Whereas, A strong safeguard against such occurrence is full knowledge and free debate by trustees and regents, faculty, students, staff, and general community of the terms of endowments, grants, contracts, and gifts; now, therefore, be it.

Resolved by the Assembly of the State of California, the Senate thereof concurring,

That the Legislature believes it to be in the best interests of California's institutions of higher learning and the citizens of California that the board of trustees or governing board of each such institution make available the terms and conditions, if any, of significant endowments, gifts, grants, and contracts, to the general community of higher learning and that those terms and conditions also be made available upon request from any person; and be it further

Resolved, That the Chief Clerk of the Assembly transmit a copy of this resolution to the Board of Governors of the California Community Colleges, the Trustees of the California State University and Colleges, the Regents of the University of California, and the governing boards of independent postsecondary educational institutions in California, including those institutions with membership in the Association of Independent California Colleges and Universities.

Enclosure 1.1

STATE REQUIREMENT TO DISCLOSE CONDITIONS OF CONTRACTS AND GRANTS

Assembly Concurrent Resolution No. 45 (June 28, 1979) requires that the University disclose to the public upon request the conditions attached to significant contracts, grants, and other instruments of sponsorship. Most of the conditions of contracts and grants from major sponsors already have been made public by the sponsors.

An aggregate listing of contracts and grants from extramural sources for approximately five fiscal years is available for inspection at the Research Administration Office, University of California, Office of the President, 1111 Franklin Street, Fifth Floor, Oakland, CA 94607-5200.

The contract and grants are listed by sponsor, by campus, and by fiscal year. The Research Administration Office can help identify the campus holding a particular contract or grant and can identify a contact point at the campus.

Contracts and grants are awarded to The Regents of the University of California, at individual campuses.

Copies of contract or grant conditions are available from campus contract and grant offices.