



CONTRACT AND GRANT MANUAL

Chapter 10 -- Internal University Administration

Revised September 1, 2010

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INTERNAL UNIVERSITY ADMINISTRATION

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10-100 THE UNIVERSITY OF CALIFORNIA ORGANIZATION

The University of California is a statewide institution comprised of numerous organizational components, including the Office of the President, ten campuses, the Lawrence Berkeley Laboratory (operated by the University on behalf of the U.S. Department of Energy), five teaching hospitals, and numerous statewide research, training, and public service programs. The interactions among these University components and with external organizations are diverse and complex. For University personnel to carry out their University contract and grant administration responsibilities effectively and efficiently, it is important that they understand the University's organization, its operations and the relationships among the many organizational components.

Sections 10-110 through 10-140 describe the general organization of the University. Sections 10-200 through 10-253 discuss the "special" University organizational considerations in contract and grant administration including obtaining additional authorities from The Regents, handling multi-campus projects, and coordinating internal University "sponsor-recipient" transactions.

Chapter 1 of this *Manual* provides coverage on the basic mission of the University. Chapter 13 discusses the constitutional and corporate basis for the existence of the Board of Regents of the University of California which is charged with administering the University as a public trust. In addition, Chapter 13 discusses delegations of authority from The Regents which must be considered in the University's contract and grant administration function.

10-110 OFFICE OF THE PRESIDENT

The Regents have adopted Bylaws and Standing Orders which list many of the duties of the President as the executive head of the University. (See Standing Order 100.4.)

Various functional units within the Office of the President (OP) support the President's responsibilities to The Regents for the conduct of the University's academic, business, and fiscal operations. These functional areas include: the Executive Vice President - Business Operations; the Executive Vice President – Chief Financial Officer; the Senior Vice President – Health Sciences and Services; the Provost and Executive Vice President - Academic Affairs; the Senior Vice President – External Relations; the General Counsel and Vice President for Legal Affairs; and the Senior Vice President, Chief Compliance and Audit Officer .

Organization charts for the Office of the President are available online. In addition, Sections 10-111 through 10-115 below provide further information about OP units that most directly work with the University's contract and grant administration function.

10-111 Executive Vice President - Business Operations

As the chief administrative officer for the University, the Executive Vice President - Business Operations oversees a variety of administrative functions including: Human Resources; Budget and Capital Resources; Institutional Advancement; Information Resources and Communications; and UCOP Budget. The Executive Vice President also serves as the chief administrative officer for the internal administration of OP. The responsibilities of the Executive Vice President - Business Operations include: regulatory reform; corporate strategic business initiatives; legislative initiatives and analysis; University infrastructure development, renewal and sustainability; Public Safety coordination and advocacy; oversight of Office of the President

administrative operations, as these areas relate to the above listed departments within the Division of Business Operations.

(1) Information Resources and Communications

The Associate Vice President--Information Resources and Communications and Chief Information Officer (IR&C), who reports to the Executive Vice President - Business Operations, is responsible for the universitywide information technology (IT) department, offering services for both the campuses and OP. IR&C responsibilities cover such broad areas as: computer systems operation and development; telecommunications; networking; and IT policy analysis. It supports University administrative and business processes as well as new technologies for teaching and research. Among the functions of IR&C is development and maintenance of the Corporate Contract and Grant Information System (see 10-420), policies and procedures for procurement of computer hardware, software, and services, and records management policies.

(2) Institutional Advancement

Institutional Advancement is responsible for articulating, facilitating, and encouraging financial and other support to maintain and enhance the University's capacity to fulfill its mission. Within Institutional Advancement, the Office of Development Policy and Administration provides a number of private support-related services for the University community including endowment stewardship, administration and allocation of gifts and bequests, reports on private support, systemwide policy development and compliance review related to gifts and endowments, planned giving programs, and information for potential donors.

10-112 Executive Vice President – Chief Financial Officer

The Office of the Chief Financial Officer is responsible systemwide management of overseeing all aspects of financial management at the ten campuses, five academic medical centers and the Lawrence Berkeley National Laboratory. Responsibilities include: oversight on accounting and financial controls, risk management, strategic sourcing, tax compliance, payroll coordination and long range financial planning. In addition, the Office is responsible for external relationships with rating agencies, investment houses, banks, financial auditors and financial regulators. The Office administers cross-campus efforts on financial matters and works closely with the Division of Business Operations on budgeting and policy decisions.

(1) Vice President—Finance

Departments within the Office of Financial Management under the Vice President - Finance which have responsibilities related to contract and grant administration are described below. These areas include: Controls and Accountability; External Finance; Financial Management; Risk Services; and Purchasing Services.

Within the Department of Financial Management are: Corporate Accounting; Endowment and Investment Accounting; Financial Planning and Analysis; Costing Policy and Analysis; and Payroll Coordination and Tax Services.

The offices reporting to the Vice President--Finance that support contract and grant activities include:

a. Purchasing Services

The Executive Director – Purchasing Services is responsible for developing and implementing the overall policies governing purchasing activities including: monitoring compliance; providing effective coordination of purchasing; central storehouse operations; small business development; independent contractors and consultants; and equipment management. The Office administers the Strategic Sourcing Program, maintains the CALCODE classification and coding system for equipment and supply management. Strategic Sourcing negotiates products and services purchasing contracts for the system and represents the University with external suppliers, independent contractors and consultants.

Strategic Sourcing has administrative responsibility to provide for appropriate implementation of the policies and requirements of the State of California, funding agencies for federal contracts and grants, and other extramural agreements. This unit is further responsible for updating University subaward and purchase order terms and, in conjunction with OP Research Policy Analysis and Coordination (RPAC), terms and conditions which may be flow-down requirements under contracts or grants, as well as any special conditions required for research and development subcontracts and consultant agreements. (See the *Business and Finance Bulletin Manual*, in particular, BUS 29, Management and Control of University Equipment; BUS 43, Materiel Management; and BUS 34, Securing the Services of Independent Consultants.)

b. Risk Management Services

The Chief Risk Officer is responsible for developing and recommending policies and practices to manage the negotiation and purchase of insurance coverage, to manage the University's self-insurance programs, to adjust liability and property claims, to assess risk exposure, and to serve as principal coordinator within the University for all matters pertaining to risk management.

c. General Accounting Office

The General Accounting Office has primary responsibility for establishing uniform policies and procedures for recording accounting transactions and for preparing consolidated corporate reports, such as the University of California Financial Reports. Other duties include providing guidance to the campuses for application and interpretation of accounting policies and maintaining the records of the endowment funds and University investment.

The Office is further responsible for monitoring various cash advance programs administered by the campuses and for directly administering a limited number of cash advance programs.

d. Costing Policy and Analysis

The Manager of the Costing Policy & Analysis unit is responsible for:

- Federal indirect cost rate proposals and negotiations;
- Federal costing regulation analysis;
- Primary liaisons with federal audit agencies;
- Federal costing systems development and maintenance;
- Extramural costing and audit policy development;
- Federal Audit Resolution; and
- Special Costing Studies and Analysis

10-113 Senior Vice President - Health Sciences and Services

The Senior Vice President - Health Sciences and Services(HSS) provides leadership and strategic direction to advance the education, research, and public service programs of the University's health sciences instructional system and clinical enterprise. The department's activities include:

- Representing and supporting the University's health profession schools of: dentistry, medicine, nursing, optometry, pharmacy, public health, and veterinary medicine in areas of planning, development, funding, and collaboration;
- Overseeing and coordinating the business and financial activities of the clinical enterprise, including: mergers, acquisitions, partnerships, contracting, product line development, strategic sourcing, operational improvement, and related capital and investment activities; and
- Developing and responding to state and federal policy programs aimed to improve health sciences education, clinical care, and medical research.

10-114 Provost and Executive Vice President – Academic Affairs

Provost and Executive Vice President – Academic Affairs is responsible for: Academic Personnel; Academic Planning Program and Coordination, Educational Partnerships, Office of Research and Graduate Studies, and Student Affairs. These areas encompass: academic planning; faculty and graduate student affirmative action; academic program review; Organized Research Units (see 10-130); research policy, compliance and administration, including research policy applicable to protection of human and animal subjects in research and conflict of interest; technology transfer; relations with the California Postsecondary Education Commission and with other segments of education in California; admissions and educational outreach services, student affairs, financial aid and loan collection, and student preparation; Agriculture and Natural Resources; library plans and policies, including the California Digital Library; University Extension; Continuing Education of the Bar; and the University Press. This office is also the principal liaison between the University administration and the Academic Senate.

(1) Research and Graduate Studies

The Office of the Vice President – Research and Graduate Studies supports research and graduate education across the University of California's ten campuses and three affiliated national labs. The Office of Research and Graduate Studies (ORGS) provides guidance and resources to individual

researchers and administrators, and strategic coordination of programs, policies and initiatives across the systemwide research enterprise. ORGS establishes and oversees University policies in certain areas relating to research and extramural projects. These include: research administration; research policies involving human and animal subjects, intellectual property, and conflict of interest; technology transfer; graduate studies; and special initiatives. The Office assists in the coordination of issues related to State and federal research projects and legislative initiatives related to research. It coordinates administration and review of multi-campus and organized research units and programs across the system. It administers or oversees a number of Universitywide research programs and units including the University Natural Reserve System.

a. Innovation Alliances and Services

The Executive Director –Innovation Alliances and Services (IAS) reports to the Vice President – Research and Graduate Studies. IAS provides leadership and strategic direction for the systemwide University of California technology transfer program and is responsible for oversight of the administration of intellectual property on behalf of the University. IAS’s responsibilities include managing inventions, patents and licenses which are not managed by a campus, as well as providing support services for campus-based licensing offices, including income distribution, legal oversight, and management of systemwide information systems. In addition, IAS provides outreach services for the community on behalf of the systemwide technology transfer program. These services include conducting forums on how to work with University, and providing ways to access the University technology transfer system through publications, web resources, and visibility at relevant meetings.

b. Research Policy Analysis and Coordination

The Executive Director - Research Policy Analysis and Coordination (RPAC) reports to the Vice President – Research and Graduate Studies. RPAC provides oversight and guidance to the University research administration function systemwide, including the negotiation of systemwide master agreements, as well as providing direct contract and grant services to the Office of the President. RPAC is the institution-wide focal point for extramural contract and grant policy. It is responsible for monitoring and responding to changes in sponsor requirements, and working to interpret and implement sponsor requirements consistent with University needs. It also oversees the University overall implementation of research policies such as policies applicable to protection of human and animal subjects in research, misconduct in science, and conflict of interest. RPAC is also responsible for the development and implementation of University intellectual property policies and training and providing guidance for campuses on intellectual property matters. This Office is further discussed below in 10-320.

(c) Research Accountability and Coordination

Research Accountability and Coordination (RAC) manages special initiatives or projects designated by the Vice President to improve accountability of the University’s research and to increase the impact of collaborative research. The RAC’s work includes: evaluating the University’s research progress to ensure that it maintains competitiveness in research and graduate education; articulating the impact of the

University's research and communicate its successes to the public and legislature; and facilitating a number of large, high-impact, collaborative initiatives.

(d) Research Grant Programs

The Research Grant Programs Office (RGPO) administers OP's research grant-giving programs and operations. These include: Special Research Programs (SRP); Discovery Grants, Lab Fees Research Program, Multicampus Research Programs and Initiatives, among others. The RGPO also houses all of the supporting units for these grant programs for pre-award and peer review evaluations of applications, for post-award grant management and for financial and general administrative support. These supporting units are the Program Application and Review Center (PARC), the Program Award Administration Center (PAAC) and a consolidated unit to provide grant financial management and database information.

(e) Graduate Studies

Graduate Studies promotes graduate education through long-term graduate education planning, outreach and coordination, and the development of graduate research opportunities within system-wide initiatives and programs. The Director of Graduate Studies works closely with the Council of Graduate Deans and campus Graduate Division Staff as well as within OP to coordinate and plan initiatives and programs across the University system

(2) Division of Agriculture and Natural Resources

The Vice President—Agriculture and Natural Resources reports to the Provost and Executive Vice President – Academic Affairs. This Division is responsible for coordination of the statewide agricultural research programs carried out at the University's Davis, Berkeley, and Riverside campuses, and for the organization and operation of the Agricultural Experiment Station and Cooperative Extension public service offices serving all California counties. The Division also administers a number of Universitywide research programs. See 10-220 for coverage on internal contract and grant administration considerations unique to agricultural programs.

a. Agricultural Experiment Station

The Agricultural Experiment Station (AES) is the research arm of the Agriculture and Natural Resources. The Agricultural Experiment Station is a Universitywide Organized Research Unit with sub-units on the Berkeley, Davis, and Riverside campuses. In addition, the Agricultural Experiment Station has field stations and experimental areas throughout the State. The Station's research programs concern conservation and use of natural resources, environmental enhancement, the efficient production of food and fiber products, product improvement and marketing, protection of plants and animals, family and consumer welfare, and community resource development. The Agricultural Experiment Station is headed by the Vice President--Agriculture and Natural Resources.

b. Cooperative Extension

Cooperative Extension represents a national, publicly funded, non-formal educational system that links educational and research activities and resources of the United States

Department of Agriculture (USDA), land-grant universities, and county administrative units. This educational system includes professionals in each of America's 1862 land-grant universities (in the 50 states, Puerto Rico, the Virgin Islands, Guam, Northern Marianas, American Samoa, Micronesia, and the District of Columbia) and in the Tuskegee University; 1890 land-grant universities; and 1994 land-grant tribal colleges.

The University of California Cooperative Extension (UCCE) program is staffed by specialists attached to campus departments and with UCCE advisors working out of a statewide network of local UCCE offices working in almost all California counties. UCCE advisors work closely with local clientele, communities, and cooperators to identify critical and emerging needs in agricultural, natural, and human resources, and with campus partners to develop research-based approaches to solve local problems. UCCE specialists are headquartered at UC Berkeley, Davis and Riverside, where they conduct research and develop new technologies. UCCE specialists work to connect local UCCE advisors to the campus-based AES and other resources that may provide appropriate research and new technologies to address a myriad of issues and needs throughout California. AES faculty work directly with CE advisors and specialists to address critical California issues.

(3) Academic Personnel

The Vice Provost - Academic Personnel is responsible for developing and implementing policies on compensation, benefits, and employee relations for all academic personnel; for statistical analysis of graduate student and faculty populations to meet federal and state reporting obligations, and for University-wide planning and program evaluation efforts; and for developing and managing Universitywide outreach, recruitment, and retention efforts to enhance the diversity of the University's graduate student and faculty populations.

10-115 External Relations

The Senior Vice President--External Relations is responsible for communications and public affairs, federal and State governmental relations, alumnae affairs, public relations, institutional advocacy, and for analyses of major issues within these areas of responsibility.

(1) Office of Federal Governmental Relations

The Office of Federal Governmental Relations serves as the University's liaison to the federal government. Working with Congress, the Administration, federal agencies, and national organizations, the Office of Federal Governmental Relations advocates for the University and its missions in education, research and outreach. The Office is headed by Associate Vice President – Federal Governmental Relations, who reports to the Senior Vice President--External Relations and is responsible for reviewing proposed federal legislation in order to refer to the Office of the President all measures of concern to the University. This includes those matters of concern to the University's contract and grant administration function.

(2) Office of State Governmental Relations

The State Governmental Relations Office provides a liaison between the University and California governmental officials. The Associate Vice President and Director of State Governmental Relations is responsible for reviewing proposed State legislation in order to refer to the Office of the President all measures of concern to the University. This includes those matters of concern to the University's contract and grant administration function.

The Office serves to promote understanding of the University's purposes, achievements, and public service capacity as California's land grant institution; to inform and influence the legislative and executive branches of government and State agencies regarding University positions on legislative and budgetary matters; to enhance public trust and support for the University's mission; and to preserve the University's constitutional autonomy.

10-116 Laboratory Management

The Executive Vice President – Laboratory Management oversees the University's management of the Lawrence Berkeley National Laboratory for the U.S. Department of Energy (DOE). The Lawrence Livermore National Laboratory (LLNL) and the Los Alamos National Laboratory (LANL) have recently changed from University management and operation to operation by Limited Liability Corporations. The University partnered with Bechtel and other industrial partners to manage the Los Alamos National Laboratory and Lawrence Livermore National Laboratory. As of June 1, 2006, LANL is operated by Los Alamos National Security, LLC (LANS), and as of October 1, 2007, LLNL is operated by Lawrence Livermore National Security, LLC (LLNS).

10-117 General Counsel and Vice President for Legal Affairs

The General Counsel and Vice President for Legal Affairs is the chief legal officer of the University and reports to the Board of Regents and the President of the University. The Office of the General Counsel provides legal review and guidance to both campuses and Office of the President. For more information about the Office of the General Counsel and its relationship to research administration, see 13-330.

10-118 Office of Ethics, Compliance and Audit Services

Senior Vice President – Chief Compliance and Audit Officer oversees the University's compliance with applicable laws, rules and regulations governing ethics, research compliance, systemwide audits, and dissemination of University policies and delegations of authority.

(1) Research Compliance Program

A number of compliances areas related to extra-mural award administration are within the scope of the Research Compliance Program of the Office of Ethics, Compliance and Audit Services. These include: animal care and use; biosafety; conflict of interest; export controls; human subjects; and research integrity and misconduct.

(2) Audit Services

Audit Services is responsible for University-wide internal audit programs, investigators and advisory services. It provides training the campus auditors and develops University-wide audit policies, practices and procedures. The University Auditor assists the Board of Regents and University management in the discharge of their oversight, management, and operating responsibilities using independent audits and consultations designed to evaluate and promote the internal controls system.

(3) University Policy Office

University Policy Office oversees the policy-making process in all areas for which the President has authority. The Office issues and maintains all Delegations of Authority from the President to the Chancellors and senior managers and is the official repository of historical and current documents.

10-119 Institutional Research

The Office of the Director – Institutional Research provides a wide range of information and analysis to OP executives, departments, and the University community. The systemwide Contract and Grant Information Database is administered within this Office.

10-120 CAMPUSES

The University encompasses ten campuses--Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz. The Chancellor is the executive head of all activities on each campus. The Standing Orders of The Regents charge each Chancellor with responsibility:

. . . . for the organization and operation of the campus, its internal administration, and its discipline; and decisions made by the Chancellor in accordance with the provision of the budget and with policies established by the Board or the President of the University shall be final....(Standing Order 100.6(a), Duties of the Chancellor)

Activities designated by the Board as University-wide activities are within the purview of The Regents and the President. (See 10-110 through 10-116 for identification of University-wide activities within the Office of the President and 10-142 through 10-143 for discussion of University-wide Organized Research Units.) The Chancellor shall, however, be consulted on such activities occurring on his/her campus.

On each campus, the Chancellor has established a Contracts and Grants Office, with staff who are is responsible for performing the campus contract and grant administration function as discussed in 10-310 and under authorities as discussed in Chapter 13.

10-130 ORGANIZED RESEARCH UNITS

Pursuant to the Regents Policy on Organized Research Units approved on September 17, 1971, Organized Research Units (ORUs) are organizational units established within the University to

..... contribute to the general goals of the University and, in particular, to strengthen interdisciplinary programs of research and teaching conducted by the faculty, as well as to provide graduate and post doctoral students with added research opportunities, facilities, and assistance.

Research programs administered by ORUs generally cut across departmental, college, and campus boundaries. The President's implementing policy, *Administrative Policies and Procedures Concerning Organized Research Units*, discusses definitions and purpose, authority and responsibility, administration and funding, and ORU establishment, directorship, and review.

Academic organizational units are recognized as ORUs by approval of The Regents. A Directory of Organized Research Units in the University of California is maintained and periodically issued by the Office of Research and Graduate Studies. As a general rule, ORUs are designated by one of the following titles: Institute, Laboratory, Center, or Station. These designations shall not be used as formal labels on research projects that are not ORUs. Use of the term "Project" is recommended for a research project that is likely to evolve into an ORU after a trial period of operation. Some long-established ORUs will continue to be designated by older titles no longer on the above list, such as Institution, Bureau, Division, Foundation, Museum, or Organization.

Regardless of name, however, all ORUs fall into one of the following ORU categories.

10-131 Single-Campus Organized Research Unit (ORU)

A single-campus Organized Research Unit is one contained within a single campus. An ORU Director or Chairperson is appointed by the Chancellor to whom the ORU is administratively responsible.

10-132 Multi-Campus/Major Research Units (MRU)

This designation applies to units with facilities and personnel on two or more campuses or locations and facilities at a single location on or near one of the campuses with the participation of faculty or staff from other campuses that are so extensive as to give the unit a Universitywide character.

10-133 Exceptions to ORU Administrative Policies

All exceptions to the President's *Administrative Policies and Procedures Concerning Organized Research Units* must be approved by the President. Exceptions to specific provisions of these policies and procedures are identified within the Presidential policy.

10-140 THE ACADEMIC SENATE

The Academic Senate is empowered by the Board of Regents under Standing Order 105. The duties, powers, and privileges of the Academic Senate as described in Standing Order 105.2 include the authority to: determine the conditions for admission, certificates, and degrees, other than honorary degrees; recommend to the President all candidates for degrees in course; authorize and supervise all courses and curricula offered under the jurisdiction of the departments, colleges, schools, graduate divisions, or other University academic agencies approved by the Board, with some exceptions; and advise Chancellors and the President on budget matters, administration of the libraries, or on any other matter pertaining to the conduct and welfare of the University.

Membership qualifications for the Academic Senate are described in Standing Order 105.1(a). The Senate is organized into ten divisions, one on each campus. Further detailed information on the Senate organization is presented in the University's *Faculty Handbook* and on the Academic Senate website

10-200 SPECIAL UC ORGANIZATIONAL CONSIDERATIONS IN CONTRACT AND GRANT ADMINISTRATION

Some University contract and grant administration issues and considerations are primarily a function of the University's internal organization and operation. These special considerations as described at 10-210 through 10-254 should be understood and accommodated by all University personnel involved in the contract and grant administration function.

10-210 PROPOSALS/AWARDS REQUIRING REGENTS' ACTION OR OP APPROVAL

10-211 General

Authority to solicit, approve, and accept or execute a contract, grant, lease, or other agreement or document remains with the Board of Regents unless otherwise delegated. (See 13-500 through 13-530.) Except as restricted by Standing Order 100.4(dd), authority needed for soliciting, accepting or executing contracts and grants for research, training and public service has been delegated to the President. In accordance with Standing Order 100.4(dd), Duties of the President, the President is authorized to execute all contracts and other documents necessary in the exercise of the President's duties, including documents to solicit and accept pledges, gifts, and grants except as otherwise specifically provided in the Bylaws and Standing Orders. The President has, in turn, delegated this authority to the Chancellors, Vice President for Agriculture and Natural Resources, and the LBNL Director, up to the limit of \$5 million dollar of direct costs in a year. The OP Research Policy Analysis and Coordination (RPAC) has authority to sign proposals and awards over this dollar threshold.

The Regents may, on a case-by-case basis, confer additional authority on others, usually the President and/or Officers of The Regents for selected individual projects, programs or actions. The President may, in turn, grant such additional authority to appropriate University officials.

10-212 Authorization Obtained at Scheduled Regents' Meetings

Any action which requires Regental approval under Standing Order 100.4(dd) are presented as Regents' Agenda Items at scheduled Regents' meetings. Most matters presented to The Regents are considered first by an appropriate Standing Committee of The Regents, which takes final action, if so authorized or makes a recommendation for action by The Board.

The Committee on Educational Policy has the responsibility to consider and recommend to the Board on the solicitation and acceptance or execution of grants and contracts for research, instruction, and public service, except as otherwise provided in the Bylaws and Standing Orders. Information concerning the scope of matters considered by various Committees appears in Bylaw 12 of The Regents.

10-213 Authorization Obtained on an Urgent Basis

Contract and grant matters which require Regental action, but which cannot be held for presentation at the next scheduled meeting of The Regents, fall into two categories of authority: Emergency Authority, which is exercised by the President acting alone; and Interim Authority, which is authorized by the President and the Chairman of the Board or the Chairman of The Regents' Committee having jurisdiction over the action.

a. Interim Authority

Interim Authority provides a mechanism for Regental action between The Regents' meetings. The Regents' meeting schedule is provided at:
<http://www.universityofcalifornia.edu/regents/meetings.html>.

b. Emergency Authority

In an emergency, the President is authorized to approve matters which normally require action by The Regents, as provided for in Standing Order (100.4(ee)). In practice, Emergency Authority is rarely required, but when it is, the President has full authority to act for The Regents following normal administrative review. Justification must be fully supported in a transmittal memorandum from a campus Chancellor or Laboratory Director as to why action cannot wait for a regular Board meeting or be handled under Interim Authority and why Emergency Authority action by the President is required. During the period when Interim Authority exists, Emergency Authority continues to exist, but seldom can be justified.

10-214 Submission of Revised Proposals for Regents' Items or OP RPAC Approval

On occasion, after a contract or grant proposal which required Regental or OP RPAC approval has been provided, an extramural sponsor will request additional submissions by the campus of revised proposal budgets and/or narratives. The process of submitting such revised proposals to a sponsor can be viewed as part of the negotiation phase for an award and does not require additional solicitation authority by Regents or RPAC, provided that the general intent and purpose of the proposed project, as approved, are not significantly changed by such negotiations.

10-215 Incrementally Funded Awards

Extramurally sponsored projects are sometimes incrementally funded through a series of modifications to the original award instrument. In this case, as in all circumstances, the solicitation and acceptance/execution authority as approved by the Board of Regents or RPAC remains in effect during the life of the award. As this authority is delegated by the President to the Chancellor and subsequently delegated to the campus Research Administration Office, each solicitation and award for each funding increment, regardless of amount, must be accepted or executed by the appropriate campus person who is delegated this authority.

10-216 Regents' Items Procedures and Administration

Information on Regents' Item formats, processing procedures and authorities, and other related administrative issues is issued by RPAC, through Contract and Grant Memos [<http://www.ucop.edu/raohome/cgmemos/97-05.html>]. The scope of campus authority is set forth in the delegation of authority to Chancellors as well as in the delegation of authority for each award subject to such approvals. Discussion on lease or construction items which need to be presented to the Board of Regents is contained in the University of California *Facilities Manual*.

10-220 AGRICULTURAL PROGRAMS

The Division of Agriculture and Natural Resources is responsible for the solicitation, execution or acceptance of extramural contracts, grants and cooperative agreements for all activities administered by the Director of the Agricultural Experiment Station and for all Cooperative Extension activities.

10-230 CONSTRUCTION PROGRAMS

Solicitation and acceptance of contracts and grants for construction which fall within authority pursuant to 13-1210, shall be handled in accordance with the *University Facilities Manual*. Solicitation and acceptance/execution of assistance awards or contracts for research which fall within the authority of Contracts and Grants Officers pursuant to Chapter 13, but which incidentally involve construction of facilities, shall be handled in accordance with the policies in this *Manual* and in the *University Facilities Manual*.

10-240 MULTIPLE UC CAMPUS PROJECTS

Campuses may engage in extramurally sponsored research, instruction, or public service projects which involve more than one University of California campus. Under such multiple University campus projects, one campus shall serve as the "prime" campus with respect to oversight and accounting, with other campuses considered "participating" campuses.

10-241 Authorities/Responsibilities

Authorities to solicit, approve, and accept/execute documents to support multi-campus projects are based on standard delegations of authority presented in Chapter 13.

a. Prime Campus

The "prime campus" is the campus which submits the overall multiple-campus proposal to and receives the award from a sponsor. For the overall project, the prime campus is responsible for carrying out all research administration policies and responsibilities as presented in this *Contract and Grant Manual*, including 10-240 through 10-248 of this policy, as presented in other relevant University policy issuances, and as are imposed by the extramural sponsor. Such policies and responsibilities include, but are not limited to:

- (1) submission of assurances required by a sponsoring agency,
- (2) equipment accountability, and
- (3) maintenance of records pertaining to grant related income and expenditures.

The prime campus may assign such responsibilities or delegate such authorities to participating campuses, as it judges appropriate, and within any constraints placed on it by University policy or the extramural sponsor. Contract and Grant Operating Guidance 02-02, UC Campus Subaward and Inter-Campus Award Administration, and 02-02, Supplement 1, provide model subaward documents for inter-campus transactions.

b. Participating Campus

"Participating campuses" are University of California campuses which assist in carrying out the scope of work awarded to the prime campus. Each participating campus is responsible, on its respective campus and for its portion of the project, for carrying out such contract and grant administration policies and responsibilities as are assigned or delegated by the prime campus. In exercising all responsibilities, prime and participating campuses shall comply with the communication and coordination policies in 10-242 through 10-244, below.

10-242 Communication with Extramural Sponsors

All written communications with the extramural sponsor shall be routed through the prime campus. Participating campuses should not engage in direct communications with the sponsoring agency. Participating campuses should transmit through the prime campus all communications, approvals, assurances, requests, and financial and technical reports covering its portion of the project intended for the sponsoring agency.

10-243 Intercampus Communications

All intercampus communications concerning proposal, award, and other contract and grant administration matters between prime and participating campuses should occur between campus Research Administration/Sponsored Projects Offices. This is not meant to preclude routine communications between campus Extramural Funds Accounting Offices regarding fiscal administration or day-to-day collaboration between Principal Investigators on the performance of the work of sponsored projects.

10-244 Coordination of University Multiple Campus Projects

Responsibility for overall coordination of the multiple-campus project rests with the prime campus. However, before submitting proposals or assurances, accepting awards, revising budgets or awards terms, closing out awards, or carrying out any other contract and grant administration policies and responsibilities, the prime campus shall secure the concurrence of each affected participating campus. Each participating campus is responsible for advising and coordinating with the prime campus all contract and grant administration issues concerning its portion of the project.

10-245 Fiscal Arrangements

Fiscal arrangements shall be in accordance with Accounting Manual Chapter F-351, under terms of which participating campuses will be reimbursed via intercampus transfer of funds. The prime campus, in its award notification to the participating campus, shall clearly inform the participating campus of the extent of its rebudgeting authority and of related prior approval requirements as determined by the terms of the award and by the prime campus' need to monitor and control budget actions. Prime campuses are encouraged to recognize participating campuses' organizational prior approval systems. (Also see C&G Memo 02-02, UC Campus Subaward and Inter-Campus Award Administration, and 02-02, Supplement 1, for documents for inter-campus financial transactions.)

10-246 Direct Costs

Each campus involved in a multiple campus project is entitled to recover allowable direct costs associated with its participation.

10-247 Indirect Costs/Facilities & Administrative Rates

Each campus is entitled to recovery of indirect costs or facilities and administrative costs (F&A) on its own modified total direct costs at the rate negotiated with the University's cognizant audit agency, the Department of Health and Human Services. These negotiated rates are published by each campus as well as by OP Costing Policy & Analysis. The prime campus shall not recover indirect costs on the expenses of participating campuses. Indirect costs are applied to subcontracts to campuses from LBNL. Any agency-specific exceptions to federally negotiated indirect cost rates must be approved with an indirect cost rate exception. (See Chapter 8.)

10-248 Time and Effort Reporting

Time and Effort Reporting/ Personnel Activity Reports by personnel hired on multiple campus extramural projects shall be in accordance with the procedures established by the hiring campus.

10-250 INTERNAL SPONSOR/RECIPIENT RELATIONSHIPS

On occasion, when the University contract and grant administration function does not directly involve extramural sponsors. This occurs when procurement of services or support of projects occurs within the University, between several University organizational components, using University funds. (In the

case of funding from LBNL, the funds are generally DOE funds.) In these cases, both the "sponsor" and the "recipient" are the University.

Sections 10-251 through 10-253 provide coverage on the unique organizational considerations with respect to various internal University sponsor/recipient relationships which may be encountered. C&G Memo 02-02, UC Campus Subaward and Inter-Campus Award Administration, and 02-02, Supplement 1, provides model intercampus transfer documents for programs using University funds.

10-251 Campus Procurement of Laboratory Services

RPAC (formerly Contract and Grant) Operating Guidance Memos provide the approved boilerplate for funds-in agreements for campuses to use when funding work at the Lawrence Berkeley National Laboratory or the Lawrence Livermore or Los Alamos National Security (LLNS and LANS) Laboratories.

10-252 Laboratory Procurement of Campus Services

RPAC Operating Guidance Memos also provide the approved LBNL Intra-University Transaction Agreement or subcontract boilerplate for use by LLNS and LANS for work performed by campuses for the Laboratories.

10-253 University Internal Funding Programs

The University has initiated a number of internal University funded programs to support individual or campus projects serving a special or emergency research, instruction, or public service need. Awards issued under such funding programs are internal allocations of funds involving no contractual or other arrangements with external sponsors. All such programs, however, must be carried out within the internal policies of the University. These programs, therefore, should be coordinated with the Contracts and Grants Office, Office of the President, and with campus Contracts and Grants Offices, as appropriate. Contract and Grant Operating Guidance Memo 02-02, UC Campus Subaward and Inter-Campus Award Administration, and 02-02, Supplement 1, provides a model award document for inter-campus program award and financial transactions.

On occasion, such programs are carried out in conjunction with programs to acquire services from external private or governmental sources. Acquisition of such external services is discussed in Chapter 16.

10-300 CONTRACT AND GRANT ADMINISTRATION: RESPONSIBILITIES AND DUTIES

The research administration function of the University is a broad and complex function involving University personnel with expertise in varied subject areas and located in many different University organizational units. As discussed throughout this *Manual*, personnel involved in the administration of extramural awards are responsible for the research administration function from proposal development and submission through project closeout in accordance with the policies presented in this *Manual* and other applicable University policies, regulations, and guidance documents.

Many of the responsibilities and duties in contract and grant administration flow from the formal delegation of authority from The Regents to the President and the subsequent redelegation to

appropriate other University officials as discussed in Chapter 13. Policy coverage on issues related to the submission of proposals and the acceptance and administration of awards, as discussed in Chapter 2, also applies to the responsibilities and duties related to the administration of contracts and grants for research, training and public services. Sections 10-310 through 10-350, below, present the general contract and grant administration duties and responsibilities of those segments of the University community involved in contract and grant administration.

10-310 CONTRACT AND GRANT OFFICERS

Contract and Grant Officers are responsible for ensuring that sponsors' policies and procedures as accepted under an award document are in accordance with University policies. Through appropriate coordination and follow up, Contract and Grant Officers inform the responsible University personnel of sponsor requirements. Contract and Grant Officers' responsibilities support the research, instruction, and public service objectives of the individual sponsored project in conjunction with the broader University-wide contract and grant administration function and the basic missions of the University as presented in Chapter 1.

To exercise such responsibility successfully, Contract and Grant Officers must possess a broad knowledge of and familiarity with current University policy, the organization and operation of academic departments, Organized Research Units, and a wide range of related administrative offices such as, Purchasing/Materiel Management, Risk Management, Extramural Funds Accounting, Academic Personnel, and compliance review boards. It is important that Contract and Grant Officers consult, as necessary, with other campus and Office of the President Contract and Grant Officers (see 10-360), in order to ensure University policy consistency with external sponsors. In addition, Contract and Grant Officers must possess a broad knowledge of current governmental and private sector procurement and assistance policies, requirements, regulations, and practices. (See 10-360 through 10-362 and 10-370 for discussion on professional conferences and career development).

More specifically, Contract and Grant Officers are responsible for the following:

a. Proposal Review and Execution

Review all proposals to extramural sponsors for research, instruction, and public service projects submitted on behalf of The Regents for consistency with University policy and with sponsor terms and conditions and assure proper acceptance or execution of legally binding proposals on behalf of The Regents (see Chapter 13).

b. Negotiating, Accepting, Executing Awards

Negotiation of contract, grant, or cooperative agreement awards for scopes of work and terms and conditions acceptable to the Principal Investigator and academic department which are reasonable and consistent with University policy; obtain the approval of General Counsel when required (see 13-330); and assure proper acceptance or execution of such awards.

c. Interpreting and Explaining Award Conditions and Requirements

Advise Principal Investigators, other academic officials, project administrators, and appropriate or participating administrative offices and departmental staff of the commitments they are undertaking in the name of The Regents under accepted or executed awards.

d. Assisting Others in Discharging Responsibilities under an Award

Provide appropriate assistance and follow up to Principal Investigators, academic departments, and administrative offices to assure full compliance with the terms and conditions of the award, including deadlines and reporting requirements.

e. Implementing Contract and Grant Administration Policies

Take other actions as necessary for the proper implementation of all contract and grant administration policies as are set forth in this *Manual* and applicable campus manuals.

f. Participating in Conferences

Participate in internal University and external professional conferences as described in 10-360 through 10-362.

10-320 OP RESEARCH POLICY ANALYSIS AND COORDINATION (RPAC)

The Office of the President (OP) Research Policy Analysis and Coordination (RPAC) Research Policy Managers have the same responsibilities for extramural projects located within the Office of the President as those described for all Contracts and Grants Officers in 10-310. RPAC staff are responsible for advising and assisting, as appropriate, campus Contracts and Grants Officers to ensure the adequate implementation of University policy and discharge of campus Contracts and Grants Officers' responsibilities as presented in 10-310.

Additionally, OP RAO is responsible for the following:

a. University Policy Development, Implementation, and Dissemination

Formulating University contract and grant administration policies to meet internal University needs as well as to address externally imposed sponsor requirements; coordinating approval of such policies by appropriate University officials; and disseminating such policies and information using via *RPAC Memos* or other applicable guidance documents.

b. Sponsor Policy Review and Comment

Providing ongoing recommendations and analysis to governmental and private sponsors concerning the sponsor's policies and requirements in order to establish optimum consistency between externally imposed sponsor requirements and University policies. Such information is transmitted through direct personal contact and negotiation, through formally proposed regulation review and

comment, and through cooperation and coordination on issues and policies with the higher education community.

c. Master/Basic Agreements--Other Campus Assistance

Negotiating and administering Universitywide master contracts and grants and basic agreements for use by all campuses. Assisting campuses in carrying out their contract and grant administration responsibilities as discussed at 10-310 for those projects involving multiple University campuses (see 10-240), involving internal Universitywide funding programs (see 10-251 through 10-254), or involving Regental approval (see 10-210), as necessary.

d. Analysis and Planning

Conducting analyses of long range problems and preparing plans for improvement of the University's contract and grant administration function.

10-330 PRINCIPAL INVESTIGATORS

Eligibility for Principal Investigator status is covered in 1-530. Although formal legal obligations related to solicitation and acceptance/execution of extramural funding ultimately rests with the Board of Regents (see 13-510), and although responsibility for reviews and negotiation, coordination, guidance, and follow-up rests with Contracts and Grants Officers (see 10-310 and 10-320), a Principal Investigator is the individual with primary responsibility for:

- the scientific integrity and management of the sponsored project;
- the financial management of project funds (see 6-440);
- adherence to all internal University policies; and
- adherence to externally imposed sponsor terms and conditions including reporting and record keeping requirements contained in the award document.

10-340 COLLEGE AND SCHOOL DEANS, PROVOSTS, DEPARTMENT CHAIRS, AND ORU DIRECTORS

University College/School Deans, Provosts, Department Chairs, and ORU Directors are accountable for the performance of Principal Investigators within their units. Specific responsibilities related to this accountability vary among and within University campuses as a function of various academic organizational arrangements. Basic responsibilities, however, include:

- determining an individual's eligibility for Principal Investigator status;
- determining the consistency of the proposed project with the educational, research, and/or public service objectives of the organizational unit;
- determining the appropriateness and acceptability of faculty time, space, equipment, and University financial commitments contained in proposals for sponsored projects;

- assuring that project scope of work is consistent with internal University policies, with externally imposed sponsor terms and conditions, and with the organizational unit's educational, training, and/or other objectives; and
- identifying appropriate funding sources to cover project costs not covered by the project sponsor's funds or by other funds available to the Principal Investigator.

10-350 ADMINISTRATORS OF CONTRACT AND GRANT RELATED SERVICES

In addition to the responsibilities and duties of Contracts and Grants Officers, of Principal Investigators, and of administrators of academic units as discussed in this Chapter, the University's contract and grant administration function includes contract and grant related responsibilities of a wide range of Office of the President and campus organizational units.

These organizational units possess expertise in varied subject areas and perform a wide spectrum of contract and grant related services. Many of the offices most involved with contracts and grants, along with references to coverage on the authorities, responsibilities, and policy issues related to these offices addressed in other Chapters of this *Manual*, include:

- Accounting Officers - Chapter 6
- General Counsel - Chapter 13
- Internal Auditors - Chapter 4
- Materiel Managers - Chapter 15, 16
- Patent Administrators - Chapter 11
- Personnel Officers - Chapter 12, Chapter 14
- Purchasing Managers - Chapter 15, Chapter 16
- Risk Managers - Chapter 21

10-360 PROFESSIONAL CONFERENCES

University personnel involved in contract and grant administration are encouraged to attend appropriate professional conferences as discussed in 10-361 and 10-362. Such participation assists them in discharging their responsibilities as discussed in 10-300 through 10-350.

10-361 University Conferences

Personnel involved in the University's contract and grant administration function, particularly Contract and Grant Officers, should attend periodic Universitywide research administration, technology transfer and other subject-specific conferences and trainings in order to:

- Promote better understanding of University policy and to maximize consistency of University policy as presented to external sponsors;
- Share information and experiences to develop a better understanding of sponsors' programs, policies, and procedures; and
- Discuss unique problems and solutions encountered in the contract and grant administration function and exchange management concepts and innovations.

10-362 External Professional Conferences

Personnel involved in the University's contract and grant administration function are encouraged to attend external professional contract and grant administration-related conferences and courses sponsored by the higher education community and related associations and by external sponsors, as appropriate, in order to:

- Share information, and stay apprised of current developments and develop a better understanding of sponsors' policies and programs;
- Become familiar with higher education community positions on issues and maximize consistency among educational institutions on positions taken with external sponsors; and
- Establish personal contacts with other university and sponsor representatives to enhance contract and grant administration policy development and negotiation processes.

10-400 CONTRACT AND GRANT INFORMATION MANAGEMENT SYSTEM

Contract and Grant Officers must know and have ready access to University policies and requirements of external sponsors to negotiate effectively terms and conditions of extramural awards and to ensure internal compliance of University administrative systems with federal requirements. A comprehensive contract and grant information management system which allows ready access to such policies and requirements helps the efficiency and effectiveness of contract and grant administration at the University.

The OP RPAC has implemented a system for classifying, filing, and retrieving research administration information and material by organization and subject codes in order to carry out its responsibilities more effectively. The information groups to which this system is applied are:

- Contract and Grant Policies/*Contract and Grant Manual* (see 10-411);
- RPAC (formerly Contract and Grant) Operational Requirements and Guidance Memos (see 10-412);

The corporate contract and grant information system is a separate database system. (See 10-420.)

For related policy coverage on University records management, see Chapter 17.

10-410 OP RPAC PUBLICATIONS

10-411 Contract and Grant Policies/Systemwide *Contract and Grant Manual*

a. Definition

This information group consists of policies which the University issues to meet its own institutional needs or creates to implement federal, State, or other governmental or private sponsor requirements. Such policies are issued in this *Manual* and Contract and Grant Memos.

b. Scope, Applicability, and Issuance Authority

The scope, applicability, and issuance authority of research administration policies are discussed in the "Introduction", page i, of this *Manual*.

c. Distribution

Contract and Grant Manual chapters are published on the OP RPAC homepage.

10-412 RPAC (formerly Contract and Grant) Operational Requirements and Guidance (RPAC Memos)

a. Definition

RPAC Memos provide information or materials concerning University or sponsor operating requirements or guidance. Typically, these memos discuss operating concerns and implementation guidance for individual government agencies or single sponsors, but may also include material about government-wide operating issues.

b. Issuance

OP RPAC publishes two types of RPAC Memos. Operating Requirement memos contain material which campuses are expected to follow as issued. Operating Guidance memos contain information issued principally to offer guidance or assistance to campuses. Guidance materials may be used "as is", modified, or not used, at the discretion of the recipient. All RPAC Memos are serially numbered by calendar year, i.e., 02-01, 02-02 etc.

c. Distribution

All RPAC Memos are distributed by e-mail and published on the OP RPAC homepage

10-413 Federal Register Information

a. Scope

The daily *Federal Register* publishes Presidential proclamations and Executive Orders, federal agency documents with general applicability or legal implications including notices, proposed rules and final rules, documents required to be published by Acts of Congress, and other federal agency documents of public interest. A portion of the notices, proposed and final rules, and schedules of meetings and hearings presented in the *Federal Register* have specific impact on the business of the University and on contract and grant administration, in particular.

b. Review

OP RPAC's ongoing review of the *Federal Register* provides University personnel with proposed federal rules in their respective subject areas, in a timely manner. These personnel are responsible for determining whether written or oral comment, when appropriate, should be submitted in order to influence positively the final rule's impact on the University.

10-420 CORPORATE CONTRACT AND GRANT INFORMATION SYSTEM REQUIREMENTS

The Office of the President collects and retains contract and grant proposal and award information in order to make informed corporate management decisions and respond to numerous inquiries related to the University's extramural awards. In conjunction with OP Information Resources and Communications and Institutional Research, the Corporate Contract and Grant Information System (CGX) facilitates compilation and retrieval of proposal and award information. This system manages contract and grant data originating from ten campuses, LBNL (and LLNL and LANL when they are operated by the University), the Division of Agriculture and Natural Resources, and the Office of the President. A detailed discussion of the information requirements and the operation of the CGX system is issued by RPAC Memos.

Reports produced from the data in the corporate CGX system are electronically available to campus research administration offices and other University units. Specialized reports can be created upon request of RPAC staff.

10-500 **BASIC INSTITUTIONAL INFORMATION**

In carrying out the University's contract and grant administration function, University personnel may be asked to supply extramural sponsors with various forms of basic institutional information on a Universitywide or campus/Laboratory basis. Sections 10-510 through 10-550 provide or reference much of this required basic institutional information.

10-510 LEGAL, TAX, AND FINANCIAL STATUS OF THE UNIVERSITY

The University's legal and tax status are discussed in Chapter 13. Information on the University's financial status may be obtained from several University reports published annually by the Executive Vice President, Business Operations, including the "University of California Financial Report" and the "University of California Campus Financial Schedules". In addition, further contract and grant proposal and award financial information is available through the University's Corporate Contract and Grant Information System as discussed in 10-420 through 10-424.

10-520 NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM

Occasionally, the University is asked to provide sponsors with the institution's North American Industry Classification System (NAICS). The NAICS number refers to a classification system set forth in the NAICS-United States Manual issued by the federal government's National Technical Information Service (NTIS). The NAICS number for all universities, colleges, and professional schools is Code Number 61131. The old NAICS code, 61131 or S.I.C. Code Number, 8221, may still be found on some federal agencies' documents.

10-530 DUNS NUMBERS

Federal agencies are now using the institution's Data Universal Numbering System (DUNS) number as an applicant identifier on proposals and in payment systems. Dun and Bradstreet provide DUNS numbers upon request. However, the University has thousands of DUNS numbers. The following

DUNS numbers have been identified by Contract and Grant Offices as the specific numbers for use by campuses and LBNL in federal systems:

Office of the President	00-398-5512
DANR	60-459-1925
Berkeley	12-472-6725
Davis	04-712-0084
Irvine	04-670-5849
Los Angeles	09-253-0369
Merced	11-364-5084
Riverside	62-779-7426
San Diego	80-435-5790
Scripps	17-510-4595
San Francisco	09-487-8337
Santa Barbara	09-487-8394
Santa Cruz	12-508-4723
LBNL	07-857-6738

10-540 INTERNAL REVENUE SERVICE EMPLOYER'S IDENTIFICATION NUMBER

The University's Internal Revenue Service Employer's Identification Numbers are:

Office of the President	94-3067788
Berkeley	94-6002123
Davis	94-6036494
Irvine	95-2226406
Los Angeles	95-6006143
Merced	27-0093858
Riverside	95-6006142
San Diego	95-6006144
San Francisco	94-6036493
Santa Barbara	95-6006145
Santa Cruz	94-1539563
LBNL	94-2951741

See also *Accounting Manual Chapter T-182-735, Taxes: Taxpayer Identification Numbers.*

10-550 OTHER INSTITUTIONAL CODES

a. Contractor Establishment Codes (CEC)

Berkeley	87-402-396D
Davis	18-562-770A
Irvine	12-161-045F
Los Angeles	09-354-046G
Riverside	62-870-752D
San Diego	80-536-589H
San Francisco	61-956-771C
Santa Barbara	16-216-437A

Santa Cruz	04-880-204F
OP	00-499-561K

b. Federal Interagency Committee on Educational Institutions (FICE) Codes

Berkeley	001312-8
Davis	001313-6
Irvine	001314-4
Los Angeles	001315-1
Riverside	001316-9
San Diego	001317-7
Scripps	405416-9
San Francisco	001319-3
Santa Barbara	001320-1
Santa Cruz	001321-9
DANR	000103-2
OP	001311-0

c. Commercial and Government Entity (CAGE) Codes

Berkeley	50853
Davis	1CBG4
Irvine	0VWL0
Los Angeles	4B557
Merced	3MTG5
Riverside	4W611
San Diego	50854
Scripps	7H459
San Francisco	4B560
Santa Barbara	4B561
Santa Cruz	1CB82
LBNL	1D444
UC Press	1K169