



University of California  
Office of the President

Senior Vice President—Academic Affairs

Research Administration Office

# Memo Operating Guidance

No. 01-04,  
Supplement 1  
October 11, 2006

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## CONTRACT AND GRANT OFFICERS CGX SYSTEM CONTACTS

Subject: Contracts and Grants (CGX) Report System, Assignment of Sponsor Codes

This memo provides guidance on the process for requesting and assigning sponsor codes for use in the Contracts and Grants (CGX) reporting system. It supplements instructions issued in Contract and Grant Memo 01-04, Corporate Contract and Grant Information Requirements. The full text of Memo 01-04 is at: <http://www.ucop.edu/raohome/cgmemos/01-04.html>

Code Format: Effective immediately, new four-digit sponsor codes will contain both alpha and numeric characters. While the specification for the sponsor code field has always been alpha-numeric, past practice was to assign only numerics in the field. Since we have run out of numbers, we will now assign 4 digits that contain alpha and numeric characters. This change in practice was previously announced in a May 28, 2004 memo to all campus Contracts and Grants system contacts and the IT Leadership council from Kristine Hafner, Associate Vice President, Information Resources and Communications, and was to take effect January 1, 2005.

### When to Submit Requests for New Codes

Federal and State of California Agencies: For new federal and State agencies, a request for a new code can be submitted at the time the proposal is submitted to a new agency. Please note that for most federal and State agencies, we have assigned a code for miscellaneous departments within the agency. Thus, if the division within the agency you are dealing with is not one that is expected to make numerous awards to the University and for which it would be useful to have a unique code assigned, please use the miscellaneous agency code already assigned. However, if the agency is a new federal or State department that is likely to make numerous awards and for which there are separate agency rules and regulations, then it is appropriate to request a new sponsor code.

Local Government and Private Agencies: New codes for local government and private agencies are only assigned at the award stage. When submitting a proposal to a private agency for which no code has been assigned, the proposal is reported under the code 9850, Miscellaneous Sponsor, and then the name of the sponsor is reported by the campus in the field, Non-Federal/Non-State Sponsor Name in the proposal file submitted by the campus. It is important that the name of the sponsor be inserted in this Non-Federal/Non-State Sponsor Name field because the quarterly proposal report uses the name to identify the agency to whom the proposal was submitted.

\*Note: The addressees above represent the standard distribution of Contract and Grant Memos. Additional addressees, if any, may be added based on the subject of the Memo. See cc's.

New codes for local government and private agencies will be assigned as soon as the campus has received notice that an award will be made and negotiation of the terms commences. The campus should not wait until the actual award is received to request assignment of a new sponsor code.

Sponsor Code Assignment Form: A copy of the form to use to request new codes is available on our web site at <http://www.ucop.edu/raohome/sponsors/> under "5. SPONSOR CODE ASSIGNMENT Form." Please use the most recent version of the request form. Suggestions for improving the form are always welcome. The completed form with supporting documentation can be submitted via email to [Lynn.Fissell@ucop.edu](mailto:Lynn.Fissell@ucop.edu), or faxed to Lynn at 510-587-6090.

Documentation: A copy of letterhead, official stationary, a business card, or a check from the entity is preferred because this helps establish legal name and the location of the entity, along with a web address if known. If letterhead or other such documentation is not available, then a copy of the face page of the agreement, with the sections regarding address for notice and signature page, are acceptable in cases where the agency issued the award. However, if the campus has used its own format for the agreement and filled in the sponsor's name, such award documentation is not useful. One of our tasks in assigning a new code is to determine the location of the headquarters for the entity; thus, if you have done a web search and identified the headquarters office, it would be very helpful if you could include a copy of the relevant web page in your request. However, long print outs of information from the web site of general information about the entity is not useful to us. In such cases, you should simply complete the web address on the Sponsor Code assignment form and omit sending numerous pages of print outs from the web site.

Researching the Request Before Submission: You will note that we do not assign codes to subsidiaries of companies. Researching to determine if a code has already been assigned to the organization prior to submitting a request is most effective if you identify the keywords in the name, and then search our web site, filling in all the keywords separated by commas. Because we may have abbreviated a word because of the 70 character limit or the need for the name to be unique within the first 25 characters, it is not effective to search for the specific sponsor name. However, using the words in the name separated by commas in the search field usually allows you to locate a name previously assigned. The Sponsor Code Table page on our web site allows you to search for codes, download the complete table, as well as view reports of assigned codes. Please contact us if you have any questions about how to search for already assigned codes or to use our Sponsor Code Table web page, located at: <http://www.ucop.edu/raohome/sponsors/>

Transactions Not Reported in CGX: The CGX reporting requirements are outlined in the C&G Memo 01-04, referenced above. Please note that the following types of agreements are not reported in CGX, and thus sponsor codes should not be requested for these types of agreements: Non-Disclosure/Confidentiality Agreements, Out-Going MTA's, Consulting Agreements, or UC Purchase Agreements.

VOID and Do Not Use Codes: Occasionally, we find that duplicate codes have been assigned to the same sponsor, and we then rename one of the codes VOID. Also, there are a few codes assigned solely for use in the Corporate Financial System, named "Misc Spon Cat--Do Not Use". It will be greatly appreciated if you would review the handful of codes named "Void", and "Do Not Use" and eliminate them from your local CGX file input. Please contact me if you have any questions about this request.

CGX System Specifications: In addition to the Contracts and Grant Memo 01-04, UCOP Information Systems maintains a site that provides technical information about the CGX system, including file layout,

data dictionary, edit criteria, and other essential information. The site is:

[http://www.ucop.edu/irc/campus\\_specs/cgx/](http://www.ucop.edu/irc/campus_specs/cgx/)

**CGX Data Warehouse Environment:** The CGX system is moving to the Corporate Systems Data warehouse and in the process, some changes will be made in the process and reporting environment. However, there are no changes in the specifications for the input files from the campus. Nonetheless, the transition presents some opportunity to improve some of the corporate processes and reports. Therefore, it is an appropriate time to suggest changes in the format of the sponsor code table, the content of the edit reports, as well as the quarterly and annual reports. We hope to have a meeting to discuss proposed changes and opportunity for improvement in the near future; in the meantime, any suggestions for things you propose be changed should be sent to me and Lynn with a copy to: [Dominique.Pfaff@ucop.edu](mailto:Dominique.Pfaff@ucop.edu).

**CGX Contact Information:** Lynn Fissell has assumed responsibility for Sponsor Code assignments, as well as for processing the quarterly files. Lynn can be reached by email at: [Lynn.Fissell@ucop.edu](mailto:Lynn.Fissell@ucop.edu), and by telephone at: 510-587-6038. We have discontinued the generic email address [rao-cgx@ucop.edu](mailto:rao-cgx@ucop.edu), and copies of email correspondence should no longer be sent to that address.

The above information is being issued as a Contract and Grant Operating Guidance Memo, to supplement the existing Memo 01-04. For ease of reference, the following is the text of the relevant sections of the current Contract and Grant Memo 01-04, on the topic of Sponsor Codes.

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Text from sections of the Contract and Grant Memo 01-04, Corporate CGX System Requirements, on the topic of Sponsor Codes (Note, some information is outdated, such as where to send requests)

**From Section IV.C. Data Elements Definition:**

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.

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From Section V: Assignment and Use of Sponsor Codes:

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

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, email or fax a request for a new sponsor code to the Office of the President Research Administration Office (510-587-6090) 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 510-587-6038 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 (partial list--see current table for complete list

of UC program and location codes)

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

University Research Expedition Program--Berkeley, code 6761

President's Fellowship--Office of the President, code 6773

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If you have any questions about the assignment and use of sponsor codes, suggestions for improvement of the process, or recommendations for changes to consider during the move to the data warehouse environment, please do not hesitate to write or contact [Barbara.Yoder@ucop.edu](mailto:Barbara.Yoder@ucop.edu), 510-987-9848.

Refer: Barbara Yoder  
(510) 987-9848  
[Barbara.Yoder@ucop.edu](mailto:Barbara.Yoder@ucop.edu)

Subject: 10  
Organization: U-115

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