

**To:** CGX System Contacts  
Contract & Grant Officers

**Subject:** New Data Elements and File Layouts for Proposal and Award File Submissions

As has been discussed extensively with our CGX System Contacts at each campus, the corporate Contracts & Grants System (CGX) will undergo several changes as part of the overall update and modernization of the information systems managed by University of California Office of the President (UCOP), affecting the quarterly Proposal and Award data submissions from all reporting locations.

The new Proposal and Award files will be integrated into a set of data tables and a reporting system referred to as the Sponsored Projects System (SPX). This memo specifies the new data elements and values that will be incorporated into the quarterly Proposal and Award data submissions from campuses, and the fixed record-length file layouts for these submissions are appended to this document.

### **Sponsored Projects System (SPX) and Research Enterprise Management System (REMS)**

SPX is designed to provide both campuses and UCOP with more complete sponsored projects data made available through a flexible, online reporting environment. The preliminary phase for this upgrade has already been completed with the deployment of the Research Enterprise Management System (REMS), a campus-based data capture application for assigning sponsor codes to new project sponsors and for managing indirect cost exceptions.

Through REMS, every reporting location may generate new sponsor codes directly, without waiting for a centralized assignment process (though the new code and associated information will still be validated centrally). **SPX will require that every proposal record include a valid sponsor code.** The placeholder 9850 sponsor code currently used in CGX Proposal records will not be used in SPX Proposal records, and the *Sponsor Name – Non-Federal, Non-State* data element will no longer be part of the Proposal file.

This process change means that campuses will need to obtain a valid sponsor code at the time that a proposal record is generated in their local proposal and award managements systems.

## **Data Submission Timelines**

The next phase of this upgrade project involves changes to the Proposal and Award data files submitted by campuses and other reporting locations, as well as their respective data tables and reporting environments.

**These changes will be effective as of January 1, 2013, and will apply to all proposals and awards reported for Q213 (October-December 2012).** Data files for this quarter's activity should be submitted no later than March 1, 2013.

Consultation with each of the reporting locations has determined that this abbreviated period is generally feasible, but some of the new data elements may require a phase-in period. For this reason, as well as for purposes of system testing and data validation, both the current CGX system and the enhanced SPX system will be operated in parallel for a few quarters. However, reporting locations, once they have converted their data extracts to the new file layouts need submit only one set of Quarterly Proposal and Award data files.

## **Testing Extracts and Backfilling Records with Prior-Period Data**

To ensure that the new data extract programs and CGX/SPX edit and load systems are functioning properly, the submission and load process for each location should be tested prior to the March 1, 2013 submission requirement, utilizing proposal and award data from at least one previous reporting period. In addition, locations will be requested to submit a single extract of all available historic data, even if some of the newly required data elements cannot be supplied. This will allow OP and reporting locations to align and re-synchronize proposal and award data for previous fiscal periods, correcting prior errors and making the data more consistent with campus information systems. Arrangements for submitting prior-period data will be made individually with each reporting location.

## **File Naming Conventions**

### **Current Format**

Proposal and Award files are currently submitted via File Transfer Protocol (FTP) with the following file naming conventions:

'CGXPRP.Qqyy' for Proposal Files

'CGXAWD.Qqyy' for Award Files

where q is the quarter and yy the fiscal year

### **New Format**

Files in the new format should also be submitted via FTP, but with the following file-naming conventions, which replace "CGX" in the filename with "SPX":

'SPXPRP.Qqyy' for Proposal Files

'SPXAWD.Qqyy' for Award Files

See [secure FTP guidelines for vsftp.ucop.edu](#) for more information on VSFTP (Very Secure File Transfer Protocol) transmittal.

## Summary of Changes to the Current CGX System Proposal and Award Files

Three types of changes will be made to Proposal and Award files:

1. Modification of current data elements.
2. Addition of a new code value for Project Type.
3. A number of new data elements, some of which are intended for future use.

These changes are detailed below, and the full file layouts for Proposal and Award data submissions follow in an appendix.

### 1. Modification and Expansion of Current Data Elements

- a. **Principal Investigator** name field will be replaced by three name fields of 30 characters each, for First, Middle and Last names. This follows the name field convention of the PATH system.
- b. **Co-Principal Investigator** name field will also be replaced by three name fields of 30 characters each, similarly following the name field convention of the PATH system. If there are multiple co-principal investigators, reporting locations may use their discretion as to which is included.
- c. **Project Cost – Proposed, Award Amount** and **Matching Funds** fields will be expanded from 8 to 10 characters, in conventional numeric format with negative amounts indicated by a minus sign, rather than a signed numeric.
- d. **Award Number** and **Proposal Identifier Number** fields will be expanded from 10 to 50 characters **and 10 to 50, respectively**.
- e. **Project Name** will be expanded from 135 to 256 characters.
- f. **Sponsor Name – Non-Federal, Non-State** data element **is being removed from the Input file**.

### 2. Additional Code Value for Project Type

- a. **Project Type Codes** are used in both Proposal and Award records to identify the type of the award, and will receive the additional code value of 'C' to specify scholarships, fellowships and other similar awards intended primarily to provide student support. Current code values are 1-9 plus A and B, and they will retain their current definitions.

### 3. New Data Elements

- a. **Project Indicator Numbers** should be used to identify all proposals and awards associated with a specific research project, including all of its continuations, extensions and renewals. The Project Identifying Number should be assigned when the first Proposal is submitted to a sponsor, or when the initial award is received from a sponsor when there is no prior proposal. The format of the Project Identifying Number may be established by each reporting location. It may, for example, be the same as the first Proposal Identifying Number, or the first Award Number, or any unique alphanumeric string, not to exceed 50 characters in length. This data element is required for both Proposal and Award records.
- b. **Proposal Indicator Numbers are required for all Proposal records, and** should also be included in all Award records if a proposal was submitted to the sponsor, or if an internal Proposal record was generated at the same time as the Award record was created. This data element should not exceed 50 characters
- c. **Employee ID Numbers** should be used to identify Principal Investigators and Co-Principal Investigators in both Proposal and Award Records. This data element will be required, but only after the reporting location has indicated that it is available through their data systems. Currently, all UC Employees have a 9-digit Employee ID, and these numbers should be submitted until the PATH ID is implemented for each location, at which time the PATH ID should be used.
- d. **Researcher ID Number** (future use): This data element will be implemented when an industry-standard Researcher ID Number has been agreed to systemwide. The ORCID system (<http://about.orcid.org/>) is the most likely candidate.
- e. **Federal Award Numbers** are required for Federal Awards and should be reported here without modification. Some reporting locations report a modified Federal Award Number as the Award Number in their Award files. This data element should not exceed 50 characters.
- f. **Indirect Cost Exception Numbers** are assigned through the REMS system, and are required in Proposal and Award whenever the indirect cost rate varies significantly from the standard federal rate for indirect cost recovery.
- g. **Originator Sponsor Code** identifies the originating sponsor when UC receives a subaward from a prime contractor. The prime contractor is still identified using the Sponsor Code data element.
- h. **Clinical Trial Code** is identified with values of 1, 2, 3 or 4 depending on the phase of the trial.
- i. **Human Subjects Indicator** identifies awards that involve human subjects with a Y or N flag. Null is interpreted as "Unknown". This data element is not included in Proposal records.
- j. **Full IRB Committee Review Indicator** identifies awards that involve human subjects and Institutional Review Board involvement with a value of Y or N. Null is interpreted as "Unknown". This data element is not included in Proposal records.
- k. **SBIR/STTR Award Indicator** identifies proposals and awards intended to stimulate small businesses through the Small Business Innovation Research

(SBIR) and Small Business Technology Transfer Research programs (STTR). Such awards are identified with a value of Y or N. Null is interpreted as “Unknown”.

1. **F&A Class Code** assists in efforts to improve indirect cost/F&A recovery analysis. OMB Circular A-21 provides definitions of Organized Research, Instruction and Other Sponsored Activities—categories that are also used in UC’s F&A rate agreements. These categories will be used to classify all proposal and award records, regardless of sponsor type (i.e. both federal and non-federal proposals and awards will be classified with an F&A Class Code).

In addition to Organized Research, Instruction, and Other Sponsored Activities, there will be a “Special Rate” category to accommodate instances where projects are covered by a specially-negotiated rate in a campus’s F&A rate agreements (e.g. “Space Sciences Laboratory” rate at Berkeley), and an “Intergovernmental Personnel Act Agreements” category for campuses that have negotiated such rates in their F&A rate agreements.

The code values associated with the F&A Class Code data element are as follows:

- R - Organized Research
- I - Instruction
- O - Other Sponsored Activities
- S - Special Rates
- P – Intergovernmental Personnel Act Agreements

The consistent classification of projects using the definitions from A-21 and UC’s F&A rate agreements will enhance data analysis and reporting with respect to indirect cost recovery.

These revised data elements are the result of an exhaustive vetting process with our campus research data and technical leads, and I would like to thank our campus colleagues for participating in this effort.

In the coming months, RPAC and Institutional Research will coordinate with systemwide C&G and research data leadership to implement this new data collection process and collaboratively establish best practices to ensure more consistent data collection throughout the UC research enterprise. These efforts will serve as a cornerstone for the University’s on-going effort to provide richer data analysis of the research enterprise.

Attached to this memo you will find descriptions of the new proposal and award file layouts for SPX as well as documentation of the data element edit messages.

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Attachments: Proposal and Award File Layouts  
Data Element Edit Messages