

September 17, 2021

To: Contract and Grant Officers
UC Research Administration IT Community

Subject: Updates to SPX – Inclusion of Other Transactions and Chart of Account Changes

Purpose

The memo incorporates “Other Transaction” as an Award Type and other input specifications for the [Corporate Contracts and Grants System \(SPX\)](#).

Background

SPX is a set of databases and processes that provides information about sponsored projects at the University of California. SPX contains data on University proposals to and awards from extramural sponsors of University project-based activities. SPX award information includes contracts, grants, and other agreements, excluding gifts. The SPX database is updated quarterly with files from the UC campuses, the Office of the President, the Division of Agriculture and Natural Resources, and the Lawrence Berkeley National Laboratory.

SPX is occasionally updated to reflect changes in sponsor policies and UC processes.

Other Transaction (OT) awards

Financial Assistance (i.e., Grants and Cooperative Agreements) and Contracts issued under the Federal Acquisition Regulations are the primary mechanisms used by federal agencies to fund research and development projects. However, over the last decade, some federal agencies have increased their use of Other Transaction (OT) awards under Other Transaction Authority (OTA) granted by Congress.

As of 2021, the following federal agencies have been granted OTA:

- National Aeronautics and Space Administration (NASA)
- Department of Defense (DoD)
- Defense Advanced Research Projects Agency (DARPA)
- Federal Aviation Administration (FAA)
- Department of Transportation (DOT)
- Department of Homeland Security (DHS)

- Transportation Security Agency (TSA)
- Department of Energy (DOE)
- National Institutes of Health (NIH)

SPX been revised as follows to include a new Contract/Award Code for OT awards when reporting proposal and award information:

CONTRACT/GRANT CODE

Field Length: 1, Type: alphanumeric Applies to: Proposal and Award All award and proposal transactions, including project agreements, task orders or individual awards issued pursuant to a Basic Agreement or Master Contract, must indicate whether the award instrument is a contract, grant, cooperative agreement, or (in the case of federal transactions) other transaction authority (OTA) agreement.

K Contract

G Grant

A Cooperative Agreement

T Other Transaction Authority (OTA) Agreement

UC locations are requested to report federal awards, whether received directly by a federal agency or through a Pass-Through-Entity, using these revised definitions. This may require changes to local C&G systems to record OTs distinctively from federal contracts, grants, and cooperative agreements.

Note that most DoD OT awards are typically awarded through third-party consortia. NIH OT awards are typically made directly by NIH.

Common Chart of Account impacts to SPX

[UC implemented a new financial system - Oracle Financials Cloud \(OFC\) - with a new Chart of Accounts \(COA\), effective July 1, 2020.](#) On April 1, 2021, the Interim Chief Information Officer issued a memo to the IT Leadership Council specifying changes to SPX necessitated by the COA.

Proposal file specifications have been revised to include:

- **CCOA ENTITY CODE**
Natural Code or Number to Uniquely Identify an Entity associated with an award as sourced from CCOA
- **CCOA DEPARTMENT CODE**
Natural Code or Number to Uniquely Identify a Department, within an Entity associated with an award as sourced from CCOA
- **CCOA PROJECT CODE**
Natural Code or Number to Uniquely Identify a Project, within an Entity associated with an award as sourced from CCOA

The proposal file specifications are documented on the [Contracts & Grants - Proposal File Specifications webpage](#).

Award file specifications have been revised to include the CCOA ENTITY CODE, CCOA DEPARTMENT CODE, CCOA PROJECT CODE, as well as the **CCOA AWARD IDENTIFIER**, defined as a “Unique identifying number assigned by the sponsoring agency (or by the campus contract and grant office in the absence of a sponsor assigned award number) to the contract, grant, or cooperative agreement award document as sourced from CCOA.”

The award file specifications are documented on the [Contracts & Grants - Award File Specifications webpage](#).

The effective date for using these revised requirements are July 2020 for San Diego, January 2021 for Merced, and no later than July 2023 for all other campuses.

Contact

Any questions about these updates to SPX should be directed to Andy Perkins in Research Policy Analysis and Coordination at Andy.Perkins@ucop.edu or Vince Cook in Institutional Research at Vincent.Cook@ucop.edu.



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Attachment: April 1, 2021 Memo from Interim Chief Information Officer Cianca