

**SPX Award File**

The Award file contains data on all university awards from governmental agencies and other extramural entities that support project-based activities with contractual or quasi-contractual agreements rather than gifts. SPX award information includes account and fund numbers, which permit a link to contract and grant expenditure data in the Corporate Financial System.

**Schedule**

Campuses should submit file every quarter from the UC campuses, the Office of the President, the Division of Agriculture and Natural Resources, and the Lawrence Berkeley National Laboratory

File Name: SPXAWD.Qqyy (in uppercase) where:

- q = quarter
- yy = fiscal year

**Record Format:** Fixed Length

**Record Length:** 842 [Any file with a different record length will be rejected]

**Transmission:** The input file is transmitted via UC PCSSC Production Go Anywhere [GoA] VSFTP process. Please contact your campus Managed File Transfer (MFT) personnel for file transfer matters. The contact list can be found on page 4 of the VSFTP Migration Presentation. If you are having trouble submitting a file through GoA, send a trouble ticket via email to [UC-PCSSC-Tickets@Berkeley.edu](mailto:UC-PCSSC-Tickets@Berkeley.edu). For more information on Production Control Shared Services (PCSSC) and the new vsftp transmittal process, visit: <https://pcssc.berkeley.edu/>. Visit <https://data.ucop.edu/file-submissions/goa-submission-requirements.html> for more information on PCSSC GoA Submission Requirements.

**File Layout – Physical Characteristics**

|               |              |  |
|---------------|--------------|--|
| File Name     | SPXAWD.Qqyy  | where q is the quarter and yy is the fiscal year |
| Record Format | Fixed Length |  |
| Record Length | 842          |  |

**Location codes**

|                    |  |
|--------------------|--|
| 01 – Berkeley      | 08 – Santa Barbara                         |
| 02 – San Francisco | 09 – Irvine                                |
| 03 – Davis         | 10 – Merced                                |
| 04 – Los Angeles   | AR – Agriculture and Natural Resources     |
| 05 – Riverside     | U – Office of the President                |
| 06 – San Diego     | IB – Lawrence Berkeley National Laboratory |
| 07 – Santa Cruz    |  |

**Contracts & Grants - Award File Layout**

**Last Updated 06/02/2021**

**Header Record**

**ERROR LEVEL:** S = Severe [Header Severe Error Means File Rejection. Record Severe Error Means Record Rejection], E = Element

| ELEMENT NAME                          | LOC    | LN  | FORMAT       | ERROR LEVEL | VALID VALUES                           |
|---------------------------------------|--------|-----|--------------|-------------|--|
| Award File Code (value: 'A')          | 1      | 1   | Alphanumeric | S           | Must be 'A'                            |
| UC Location Code 1 - Major Location   | 2-3    | 2   | Alphanumeric | S           | See location codes above.              |
| Header Record Indicator               | 4      | 1   | Alphanumeric | E           |  |
| Literal (value: 'HEADER SP DATA FOR') | 5-24   | 20  | Alphanumeric |             | Must be 'HEADER SP DATA FOR'           |
| Fiscal Quarter Code - UC              | 25     | 1   | Alphanumeric | S           | Must match fiscal quarter in filename  |
| Fiscal Year - UC                      | 26-27  | 2   | Alphanumeric | S           | Must match fiscal year in filename     |
| Filler                                | 28-32  | 5   | Alphanumeric |             |  |
| File Creation Date                    | 33-38  | 6   | Alphanumeric | S           | Cannot be blank, format must be YYMMDD |
| Unused                                | 39-842 | 804 | BLANK        | S           | Must be blank                          |
| Total Record Length                   |        | 842 |              |             |  |

**Data Record**

| ELEMENT NAME                        | LOC  | LN | FORMAT       | ERROR LEVEL | VALID VALUES                               |
|-------------------------------------|------|----|--------------|-------------|--|
| Award File Code                     | 1    | 1  | Alphanumeric | S           | Must be 'A'                                |
| UC Location Code 1 - Major Location | 2-3  | 2  | Alphanumeric | S           | See location codes above.                  |
| Sponsor Code                        | 4-7  | 4  | Alphanumeric | S           | Must be active, approved REMS sponsor code |
| Originator Sponsor Code             | 8-11 | 4  | Alphanumeric | S           | Must be active, approved REMS sponsor code |

| ELEMENT NAME  | LOC     | LN  | FORMAT       | ERROR LEVEL | VALID VALUES   |
|---|---------|-----|--------------|-------------|--|
| Filler  | 12      | 1   |              |             |  |
| Contract / Grant Code                               | 13      | 1   | Alphanumeric | S           | Must be 'K', 'A', 'G', or 'T'                          |
| Project Identifier Number                           | 14-63   | 50  | Alphanumeric | S           | Cannot be blank  |
| Project Name  | 64-319  | 256 | Alphanumeric | S           | Cannot be blank  |
| F&A Class Code                                      | 320     | 1   | Alphanumeric | E           | 'R', 'I', 'O', 'S', or 'P'                             |
| Project Type Code                                   | 321     | 1   | Alphanumeric | S           | Must be '1' thru '9' or 'A' or 'B' or 'C'              |
| Clinical Trial Phase Code (not in use at this time) | 322     | 1   | Alphanumeric | E           |  |
| Human Subjects Indicator                            | 323     | 1   | Alphanumeric | E           | 'Y' or 'N' or blank                                    |
| Full IRB Committee Review Indicator                 | 324     | 1   | Alphanumeric | E           | 'Y' or 'N' or blank                                    |
| Filler  | 325     | 1   |              |             |  |
| Proposal Identifying Number                         | 326-375 | 50  | Alphanumeric | S           | Cannot be blank  |
| Filler  | 376     | 1   |              |             |  |
| Federal Award Number                                | 377-426 | 50  | Alphanumeric | E           |  |
| Award Number  | 427-476 | 50  | Alphanumeric | S           | Cannot be blank  |
| SBIR/STTR Award Indicator                           | 477     | 1   | Alphanumeric | S           | Must be 'Y' or 'N' or blank                            |
| Award Action Code                                   | 478     | 1   | Alphanumeric | S           | Must be '1' or '2'                                     |
| Indirect Cost Exception Number                      | 479-485 | 7   | Alphanumeric | E           | Active, approved REMS ICE number or blank              |
| Award Form Preparation Date                         | 486-491 | 6   | Alphanumeric | S           | Cannot be blank, format must be YYMMDD                 |
| Award Period Start Date                             | 492-497 | 6   | Alphanumeric | S           | Cannot be blank, format must be YYMMDD                 |
| Award Period End Date                               | 498-503 | 6   | Alphanumeric | S           | Cannot be blank, format must be YYMMDD                 |
| Filler  | 504     | 1   |              |             |  |
| Account Number - Project                            | 505-510 | 6   | Alphanumeric | E           | CAF account number                                     |
| Fund Number   | 511-515 | 5   | Alphanumeric | E           | CAF fund number  |
| Award Amount  | 516-525 | 10  | Alphanumeric | S           | Must be numeric  |
| Matching Funds                                      | 526-535 | 10  | Alphanumeric | S/E         | Must be numeric or blank                               |
| Special Fund Source                                 | 536     | 1   | Alphanumeric | S           | Must be 'A' or blank                                   |
| Indirect Cost - Applicable Rate                     | 537-540 | 4   | Alphanumeric | S/E         | Must be numeric, rate cannot exceed '0750' (75.0%)     |
| Filler  | 541     | 1   |              |             |  |
| Principal Investigator Last Name                    | 542-571 | 30  | Alphanumeric | S           | Cannot be blank  |
| Principal Investigator First Name                   | 572-601 | 30  | Alphanumeric | S           | Cannot be blank  |
| Principal Investigator Middle Name                  | 602-631 | 30  | Alphanumeric |             |  |
| Principal Investigator Employee Identifier          | 632-642 | 11  | Alphanumeric | E           | UC Employee ID consistent w/PI name                    |
| Principal Investigator Researcher Identifier        | 643-662 | 20  | Alphanumeric | E           |  |
| Filler  | 663     | 1   |              |             |  |
| Co-Principal Investigator Last Name                 | 664-693 | 30  | Alphanumeric | E           |  |
| Co-Principal Investigator First Name                | 694-723 | 30  | Alphanumeric | E           |  |
| Co-Principal Investigator Middle Name               | 724-753 | 30  | Alphanumeric |             |  |
| Co-Principal Investigator Employee Identifier       | 754-764 | 11  | Alphanumeric | E           | UC Employee ID consistent w/co-PI name (if any)        |
| Co-Principal Investigator Researcher Identifier     | 765-784 | 20  | Alphanumeric | E           |  |
| Filler  | 785     | 1   |              |             |  |
| Transaction Reference Number SPX                    | 786-791 | 6   | Alphanumeric |             |  |
| CCOA Department Code                                | 792-798 | 7   | Alphanumeric | E           | For locations on new CCOA, please supply Level E value |

| ELEMENT NAME          | LOC     | LN         | FORMAT       | ERROR LEVEL | VALID VALUES   |
|-----------------------|---------|------------|--------------|-------------|--|
| CCOA Project Code     | 799-808 | 10         | Alphanumeric | E           | For locations on new CCOA, please supply Project Code        |
| CCOA Award Identifier | 809-838 | 30         | Alphanumeric | E           | For locations on new CCOA, please supply Award Identifier    |
| CCOA Entity Code      | 839-842 | 4          | Alphanumeric | E           | For locations on new CCOA, please supply Entity Level C Code |
| Total Record Length   |         | <b>842</b> |              |             |  |

**NOTE:** The CCOA Department Code, CCOA Project Code, CCOA Award Identifier and CCOA Entity Code are only required for locations on the new chart of accounts. Locations on the old chart of accounts can leave these fields blank.