Sponsored Purpose Codes for Annual & Financial Reporting

OVERVIEW

All sponsored activity at CUNY falls under one of the following functions:

- **Organized Research** – includes all externally funded research activities, both basic and applied, and all development activities. A systematic, intensive study intended to increase knowledge or understanding of the subject studied, specifically directed toward applying a new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devises, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. It also includes activities related to training of individuals in research techniques (commonly called *research training*) where such activities utilize the same facilities as other research development activities. Some specific types include:

  - Awards for CUNY faculty to support research activities
  - External Faculty "Career Awards" to support the research efforts of the faculty
  - External funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
  - External support for the writing of books, when the purpose of the writing is to publish research results
  - Awards of research training

- **Instruction/Training** - includes all sponsored teaching and training activities, _**except for research training**_, of an institution whether offered for credit toward a degree or certificate, on a non-credit basis, or through regular academic departments or by separate divisions, such as summer session. Examples consist of:

  - Any sponsored project for which the purpose is to instruct CUNY students, faculty or staff at any location
  - Instructing elementary or secondary schools teachers or students
  - Instructing the general public (e.g., vocational and English as a Second Language programs)
  - Projects involving CUNY students in community service activities where they receive academic credit

- Career development awards, <u>not including federal Research Training awards (refer to **RT**</u>), for CUNY undergraduate, graduate, and post-doctoral levels.
- Curriculum development projects including projects which involve the evaluation of curriculum or teaching methods: such evaluation may be considered *research* only when the preponderance of activity is data collection, evaluation and reporting.
- General support for the writing of textbooks or reference books, videos or software to be used as instructional materials
- Scholarships and fellowships - support may include grants to fund dissertation work and travel in relation to dissertation but (<u>not including federal Research or Research Training awards</u>)

- **Other Sponsored Activity –** programs and projects funded by federal and non-federal agencies and organizations that involve the performance of work or activities that are <u>not</u> considered *instruction* and *organized research*. Examples include:

  - Performing a service (e.g., production of goods or materials) for an outside entity, <u>unless</u> the CUNY College is a sub awardee on the entity's prime award that is primarily for research or instruction.
  - Support for library collections, acquisitions and bibliographies
  - Programs to enhance institutional resources including computer enrichments, data center expansion
  - Public service awards established primarily to provide non-instructional services beneficial to individuals and groups *external to CUNY*. Examples include:
    - Community service projects (non-credit)
    - Health service projects
    - Public outreach activities
    - Childcare block grants
    - Gallery and museum exhibits
    - Conferences, seminars and workshops
    - Special events open to the public

- **Other Institutional Activity –** when activities are undertaken by the institution without outside support, they may be classified as other institutional activities. OIA typically includes **auxiliary enterprises** in support of activities which include: Student Unions, Dining Halls, Athletics, Residence Halls, Theatres, etc.

SPONSORED ACTIVITY PURPOSE CODES – SNAPSHOT

Federal, State, City and Private sponsored grants and contracts (excluding CUNY Misc. and COLFND) should be coded to one of the following purpose codes:
- Organized Research (**RA1, RD1, RS1, RT1, RA2, RD2, RS2, RT2**)
- Training (**TG1, TG2**)
- Other Sponsored Activity (**OS1, OS2**)
- Equipment (**EQ1, EQ2**)
- Fellowship **(FEX)**
- Intergovernmental Personnel Act (**IPA**) – *Federal only*

CUNY Miscellaneous or **COLFD** awards should be coded to one of the following:
- Departmental Administration (**ADX**)
- General and Administrative (**GNX**)
- Instruction (**INS**)
- Library (**LIB**)
- Physical Plant (**PPX**)
- Student Support (**STX**)
- Sponsored Project Administration (**SPA**)
- Other Institutional Activity (**OIA**)

If the project is for IRB than use RS1. All of the above codes relate to on campus activities.

PSC CUNY awards should generally be coded to the following purpose code:
- INS – *except* in instances where the PI has a sponsored award and is using PSC money to support the sponsored project than use the code on the Federal, State, City or Private award.

SPONSORED ACTIVITY PURPOSE CODES – DEFINITIONS

ADX **Departmental Administration** **(Academic Department Support) NEW! (CUNY Miscellaneous and COLFND only)** These costs are incurred for administrative and supporting services in departments, interdepartmental laboratories, or centers, and provide a benefit to the research projects in these units. This category includes the salaries and wages of Department Heads and Professors, Academic Deans and Laboratory Directors and Deans. Office expenses and other costs related to the administration of the entire department.

Note: Departmental administrative and clerical staff salary expenses are normally treated as F&A costs, but they may be appropriately charged directly to sponsored programs based on criteria in 2 CFR Part 200, section 413. Additionally office supplies, postage, local telephone costs and memberships must normally be charged as indirect (F&A) costs.

FEX **Fellowships**
Fellowships are typically awards made directly to an individual in support of specific educational pursuits and the fellow's professional growth. These awards are generally funded in response to proposals and are for modest amounts.

EQ1 **Equipment on Campus**
Stand-alone awards for the acquisition of equipment.

EQ2 **Equipment off Campus**
If more than 50% of the work was not performed at one of CUNY's owned or rented buildings, then the project is considered off campus.

GNX **General and Administrative** **(CUNY Miscellaneous and COLFND only)**
Projects set up for the general and administrative offices of the college, which include expenses of a general nature that do not relate solely to any major function of the institution (i.e. - instruction, organized research, other sponsored activities, or other institutional activities). Examples include the Offices of the President, Executive Vice President, and Vice Presidents; the Office of the Provost; Chief Counsel, the Business Office; and Human Resources, as well as central management information systems. General and administrative expenses shall <u>not</u> include expenses incurred within non-university-wide deans' offices (refer to ADX) or property management (refer to PPX).

INS **Instruction** **(Academic Program Support) (CUNY Miscellaneous and COLFND only) NEW!**
An internal program which develops or maintain fields of study offered by the institution or other scholarly activities. The funds may be used by the

institution at its own discretion as long as they are used for educational or departmental (non-sponsored) research purposes.

IPA **Intergovernmental Personnel Act (IPA)** **(Federal only) NEW!**
An IPA assignment agreement involves the temporary assignment of an educational institution's employee to work at a federal agency (such as a Veterans Administration) for a specified period, because of their expertise in a particular area. The federal agency agrees to pay the assignee's salary, fringe benefits, and sometimes travel expenses. The agreement provides for the assignee to return to their position (or similar position) at the educational institution. The IPA rate is the same for on and off campus.

LIB **Library** **(CUNY Miscellaneous and COLFND only) NEW!**
Awards used in support of operating and improving college libraries, including books and library materials as well as the personnel cost associated with library administration. Where an external sponsor provides grant support for library collections, acquisitions and bibliographies use OS1.

OIA **Other Institutional Activity** **(CUNY Miscellaneous and COLFND only) NEW!**
When activities are undertaken by the institution without outside support, they may be classified as other institutional activities. OIA typically includes **auxiliary enterprises** in support of activities which include: Student Unions, Dining Halls, Athletics, Residence Halls, Theatres, etc.

The National Association of College and University Business Officers (NACUBO) define auxiliary enterprise as an entity that exists to furnish service to students, faculty or staff acting in a personal capacity, and that charges a fee for the use of goods and services. The general public may also be served incidentally by the enterprise. If **Child Care** meets the aforesaid criteria, it may also be considered to be an auxiliary operation.

OS1 **Other Sponsored Activity on Campus** **NEW!**
Programs and **projects funded by federal and non-federal agencies and organizations** that involve the performance of work or activities that are not considered *instruction* and *organized research*. Examples include:
  o Performing a service (e.g., production of goods or materials) for an outside entity, unless the CUNY College is a sub awardee on the entity's prime award that is primarily for research or instruction.
  o   Support for library collections, acquisitions and bibliographies
  o   Programs to enhance institutional resources including computer enrichments, data center expansion
  o Academic Pathways or Pipelines – Programs to increase (or prevent dropout of) the number of underrepresented and/or economically disadvantaged students

- o Public service awards established primarily to provide non-instructional services beneficial to individuals and groups **external to CUNY**. Examples include:

  - Community service/center/development programs
  - Health service projects
  - Public outreach activities
  - Legal services
  - Economic Incubator program – entrepreneur support
  - Child Care block grants
  - Gallery and museum exhibits
  - Conferences, seminars and workshops
  - Special events open to the public

- o Programs for the employment of CUNY students (e.g. 311, work study)

When distinguishing between OSA and Research, consider if the Principal Investigator would conduct the project or work without an evaluation of outcomes or any academic recognition for the project such as publication of results and/or presentation of results at an academic meeting, then the project would be categorized as OSA.

OS2 **Other Sponsored Activity off Campus** **NEW!**
If more than 50% of the work was not performed at one of CUNY's owned or rented buildings, then the project is considered off campus.

PPX **Physical Plant** **(CUNY Miscellaneous and COLFND only)** Projects for the administration, supervision, operation, maintenance, preservation and protection of the institution's physical plant. They include expenses normally incurred for such items as janitorial and utility services; repairs and ordinary or normal alterations of building furniture and equipment; care of grounds; maintenance and operation of buildings and other plant facilities; security; environmental safety; hazardous waste disposal; property, liability and all other insurance relating to property; space and capital leasing; facility planning and management; and central receiving.

Organized Research - On Campus:

- **RA1** **Applied Research on Campus**
  Applied Research is original investigation conducted to gain new knowledge. It is directed primarily towards a specific, practical aim or objective. Examples include:
  - o A researcher is investigating the properties of particular substances under various heat and cold conditions with the objectives of finding longer-lasting components for highway pavement.

- o A researcher is studying the implementation of specific math curriculum to determine what teachers needed to know to implement the curriculum successfully.

- **RD1   Experimental Development Research on Campus** Experimental Development Research is the systematic work drawing on knowledge gained from research and practical experience directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes. Examples include:
  - o A researcher is working with state transportation officials to conduct test of a newly developed highway pavement under various types of heat and cold conditions.
  - o A researcher is developing and testing a software and support tools, based on fieldwork, to improve mathematics cognition for student special education

- **RS1   Research on Campus (also known as Basic Research)**
  Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.
  - o A researcher is studying the properties of molecules under various heat and cold conditions
  - o A researcher is investigating the effect of different types of manipulatives on the way first graders learn mathematical strategy by changing manipulatives and then measuring what students have learned through standardized instruments.

  Research terms:
  Consider, Explore, Observe, Study, Develop, Investigate, Probe, Discover, Look into, Search, Examine, Make Inquiries, Seek

  Sponsors include:
  Department of Defense (DOD) More likely to engage in classified research related to matters of national security. DOD includes *Army, Air Force, Navy and Defense Advanced Research Projects Agency (DARPA).*

  Department of Energy (DOE)
  Most likely to engage in classified research related matters of national security (nuclear programs)

- **RT1   Research Training on Campus NEW!**

  Organized Research which also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development. For example:

- o External awards to train/prepare individuals for "careers" in science and math.

Sponsors include:
NSF Research Training Activity codes:
NSF –IGERT and RTG are Research Training awards from NSF

Where the parent is coded to any Research code so should the sub

Organized Research - Off Campus:

- **RA2   Applied Research off Campus**
  If more than 50% of the work was not performed at one of CUNY's owned or rented buildings, then the project is considered off campus.

- **RD2   Experimental Development Research off Campus**
  If more than 50% of the work was performed off of the college's campus, then the project is considered off campus.

  R&D does not include:
  Public service grants
  Curriculum development (unless part of a research grant)

- **RS2   Research off Campus**
  If more than 50% of the work was not performed at one of CUNY's owned or rented buildings, then the project is considered off campus.

- **RT2   Research Training off Campus NEW!**
  If more than 50% of the work was not performed at one of CUNY's owned or rented buildings, then the project is considered off campus.

SPA   Sponsored Project Administration (CUNY Miscellaneous and COLFD only) NEW!
Projects that include expenses to administer sponsored projects are classified under this heading. At CUNY, the Office of Sponsored Programs at the college and the Research Foundation (RF) are included in this category.

STX   Student Support (CUNY Miscellaneous and COLFD only) Student Support includes programs incurred for the administration of student affairs and for services to **CUNY students**, including expenses of such activities as dean of students, admissions, registrar, financial aid administration, counseling and placement services, student advisers, student health and infirmary services, catalogs, and commencement and convocations.

TG1   Training Grant on Campus
Sponsored training means specific instructional or training activity established by a grant, contract, or cooperative agreement. Sponsored training **(*excludes research training*)** includes:

- Any sponsored project for which the purpose is to instruct CUNY students, faculty or staff at any location
- Instructing elementary or secondary schools teachers or students
- Instructing the general public (e.g., vocational and English as a Second Language programs)
- NYS STEM programs
- Paid internship, work experience programs (e.g. CUNY Service Corps)
- Projects providing academic, personal and career planning support
- Vocational Pathways or Pipelines (e.g. Teaching Fellows, SBS Healthcare Sector Training)
- Projects involving CUNY students in community service activities where they receive academic credit
- Career development awards, not including federal Research Training awards (refer to **RT**), for CUNY undergraduate, graduate, and post-doctoral levels.
- Curriculum development projects including projects which involve the evaluation of curriculum or teaching methods: such evaluation may be considered *research* only when the preponderance of activity is data collection, evaluation and reporting.
- General support for the writing of textbooks or reference books, videos or software to be used as instructional materials

To determine if an award should be coded to *Research Training* refer to **RT** for examples. **Where the parent is coded to any Research code so should the sub**.

Sponsors include:
US Dept. of Ed
https://www2.ed.gov/fund/grant/find/edlite-forecast.html

TG2   Training Grant off Campus
If more than 50% of the work was performed off of the college's campus, then the project is considered off campus.

XX1   Undefined
Items to be defined. Also used for the LLC account codes.

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