OFFICE OF THE PRESIDENT

ADMINISTRATIVE MEMORANDUM

SUBJECT Grants, Contracts, and Cooperative Agreements to Finance Sponsored Programs

NUMBER 68

DATE September 22, 1976 (Revised October 1, 1980)

- 1. <u>Purpose</u>. This memorandum establishes procedures with respect to grants, contracts, and cooperative agreements as defined in P.L. 95-224, to finance sponsored programs within The University of North Carolina.
- 2. <u>Definitions</u>. Sponsored programs are identified by two basic features: They are separately financed in whole or in part by external agencies, and they are carried out under the terms of agreements between The University, its constituent institutions, and the sponsoring agencies. Grants, contracts, and cooperative agreements, the devices for authorizing sponsored programs, although usually associated with specific individuals, are awarded to The University or to a constituent institution. Sponsored programs do not include individual consulting relationships. "Cooperative Agreement" does not include those cooperative arrangements between the United States Department of Agriculture and University Agricultural research personnel to carry out programs of joint interest where no solicitations of funds from the federal agency is made.

3. Policies

- a. All sponsored programs which are carried out by constituent institutions or other agencies of The University or on University-controlled premises by or under the direction of faculty or staff members of constituent institutions or other agencies of The University, shall be subject to review and approval with respect to funding arrangements by the President of The University of North Carolina or by the Chancellor or other persons who have been specifically designated by the President.
- b. All formal applications to donors and sponsors for support of sponsored programs, with the exceptions noted hereinafter, shall be submitted to donors and sponsors through the President

and reviewed under such instructions and guidelines as the President may deem necessary. Current instructions and guidelines are set forth in paragraphs 4 through 6 below. These procedures may be modified by the President as experience and need may warrant. Separate, specific instructions and guidelines may be adopted and issued as necessary for various types of programs, e.g., research, training, institutional development, or facilities programs. In the review of proposals for sponsored research, the President may seek the advice of The University Council on Research with respect to policies and standards. The President may establish such other councils or other special advisory committees as he may deem necessary for the review of sponsored programs, and he may use outside consultants to assist in reviews and evaluations.

- 4. <u>General Criteria</u>. The general criteria that must be considered in the development of applications for grants, contracts, and cooperative agreements are:
 - a. Adequate budgetary support, both direct and indirect, is to be provided by the funding agency and other appropriate sources, and no unauthorized obligations are to be assumed by the institution.
 - b. All sponsored programs and projects must be compatible with the overall mission of The University and of the constituent institution or institutions involved.
 - c. Projects and proposals must be consistent with all pertinent University policies and regulations.
- 5. Procedures for Review and Approval.
 - a. <u>Submission Standards</u>. Applications for grants, contracts, and cooperative agreements may be submitted by the Chancellor or his designated representative as approved in advance by the President directly to a funding authority, without prior approval by the President, with the following exceptions:
 - (1) Those under which The University or the institution assumes an express or implied responsibility to continue the program or activity beyond the life of the grant or to retain personnel initially employed under the grant, contract, or cooperative agreement.

- (2) Those involving the creation of a new organizational unit (a department, center, institute, school, etc.) within The University or a constituent institution.
- (3) Those involving the planning or establishment of a new degree program or program track.
- (4) Those requiring matching funds or contributions that cannot be provided from current institutional resource levels.
- (5) Those which would impede the elimination of racial duality in The University.
- b. Applications Not Requiring Prior Approval of the President.
 - (1) Upon a determination by the Chancellor or his designated representative as approved in advance by the President that prior approval of the President is not required, the application may be forwarded directly to the funding authority by the institution.
 - (2) The transmittal of the application to the funding authority will include the following notation:

An abstract of this (<u>application</u> or <u>proposal</u>) has been provided the President of The University of North Carolina.

- (3) One copy of the Report of Application for Grant, Contract, or Cooperative Agreement (Attachment A), an abstract of the application (Attachment B), and the Internal Processing Form (Attachment C) will be forwarded to the President of The University promptly following the transmittal of the application to the funding authority. In the submission, Attachment A should be on top, followed by B and C, in that order.
- (4) The President may at any time direct the withdrawal, revision, or amendment of an application or proposal forwarded under the provisions of this subparagraph.
- c. Applications Requiring Prior Approval of the President.
 - (1) Upon determination by the Chancellor or his designated representative that prior approval of the President is required, a copy of the proposal (which will remain on file

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with General Administration), the Internal Processing Form, the Request for Approval of Application for Grant, Contract, or Cooperative Agreement (Attachment D), and the abstract of the application will be forwarded to the President by the Chancellor or his designated representative as approved by the President.

- (2) Applications normally will be forwarded to the President at least two weeks in advance of the filing date established by the funding authority. Because of their greater degree of complexity, proposals under Title III (Developing Institutions) of the Higher Education Act of 1965 shall be submitted four weeks in advance of the filing date. In those instances in which the assumption is that the President's review will be particularly extensive, preliminary discussions should be initiated by the Chancellor earlier than indicated above.
- (3) The Chancellor normally will be provided the President's response to the application within one week of the date of receipt of the application. A signed copy of the Request for Approval will be returned to the Chancellor, and the Chancellor will then transmit the approved proposal or application to the funding agency.
- d. Report of Action by Funding Agencies. Each institution shall submit a Monthly Report of Awards and Rejections (Attachment E) not later than the fifteenth of the month following that in which the activity occurs. This form shall be used to report all grant, contract, and cooperative agreement awards and all proposal rejections.
- 6. Standard Forms and Records. Certain standard forms and procedures will be used in the preparation and review of applications for grants, contracts, and cooperative agreements, and for maintaining records and reporting on such sponsored programs.
 - a. Report of Application for Grant, Contract, or Cooperative Agreement (Attachment A). This form provides a standard method of reporting individual applications to the President at the time of submission to funding agencies. It will be used as the primary reference in identifying each project not requiring the approval of the President and for reporting to such external organizations as the State A-95 Clearinghouse. This form also will be used for classifying projects for communication and reporting purposes.

- b. Abstract of Application for Grant, Contract, or Cooperative Agreement (Attachment B). The abstract of each application provides summary information required for communications with various persons or organizations needing limited information on applications pending or funded.
- c. Internal Processing Form Application for Grant, Contract, or Cooperative Agreement (Attachment C). The basic purpose of this form is to ensure that all of the critical elements of concern to The University have been reviewed by the appropriate administrative officers. The form will be signed by the Principal Investigator or Project Director. Other endorsements may vary, but the signatures of approval indicating the reviews of the Chancellor and the chief finance officer of the institution, or their designated representatives as approved in advance by the President, are required in all instances.
- d. Request for Approval of Application for Grant, Contract, or Cooperative Agreement (Attachment D). This form provides a standard method of requesting the President's approval of applications and for notifying the Chancellor of the President's action. It will be used as the primary reference in identifying each project requiring the approval of the President and for reporting to such external agencies as the State A-95 Clearinghouse. This form also is used for classification of the project for communications and reporting purposes.
- e. Monthly Report of Awards and Rejections (Attachment E). This form has been designed primarily in response to State A-95 Clearinghouse requirements. It is keyed to Attachments A and D and to a standardized filing system for all proposals or applications.
- f. Filing System. Each institution will maintain a filing system which numbers each application with the institutional Federal Interagency Committee on Education (FICE) code, the last two digits of the State's fiscal year (July 1-June 30), and the chronological number. The first application in fiscal year 1980-81 from Fayetteville State University, for example, will be designated as 002928-81-0001. Requests for annual budget allotments to multi-year projects will carry the number of the original project.
- g. <u>Classification System</u>. On Attachments A and D, sponsored research and training activities will be classified according to the Taxonomy of Academic Disciplines (Attachment F), and

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the Smithsonian Institution taxonomy of research in process (Attachment G). Project categories will be classified according to The University of North Carolina Chart of Accounts purpose codes (Attachment H).

7. Effective Date. Effective January 1, 1981, applications for grants, contracts, cooperative agreements, and related correspondence will be processed as prescribed herein.

This memorandum supersedes all earlier instruction issued by this office on the same subject.

William Friday**k** President

Attachments: A-H

REPORT OF APPLICATION FOR GRANT, CONTRACT, OR COUPERATIVE AGREEMENT

10: President, The University of Nort	th Carolina DO NOT WRITE IN THIS SPACE
(Chancell	
(Constituent In	nstitution)
E: .	
ached are transmittal form	ns for proposal number <u>OO FICE Code FY 4 Digit #</u>
(Principal Investigator/P	ofOf(Department)
(Instituto Con	ter, School, College, or Other Administrative Unit)
(Institute, Cen	ter, School, College, or Other Administrative Unit)
(Complete Age	ency Name. Do not include address here.)
ng the period from Mont	
ng the period from Mont	to th Day Year Month Day Year TOTAL FUNDING REQUESTED:
ng the period from Mont GORY (Check <u>one</u> .) 100 Instruction	to th Day Year Month Day Year
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ng the period from Mont GORY (Check <u>one</u> .) 100 Instruction 110 Research	to th Day Year Month Day Year TOTAL FUNDING REQUESTED: Grant
ng the period from Mont GORY (Check one.) 100 Instruction 110 Research 140 Public Service	to th Day Year Month Day Year TOTAL FUNDING REQUESTED: Grant \$ Contract \$ Cooperative Agreement \$ Cash Matching Requirements, if any \$
ng the period from Mont GORY (Check one.) 100 Instruction 110 Research 140 Public Service 150 Academic Support	to th Day Year Month Day Year TOTAL FUNDING REQUESTED: Grant
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ng the period from Mont EGORY (Check one.) 100 Instruction 110 Research 140 Public Service 150 Academic Support 160 Student Services 170 Institutional Support 180 Physical Plant Operation	to th Day Year Month Day Year TOTAL FUNDING REQUESTED: Grant \$ Contract \$ Cooperative Agreement \$ Cash Matching Requirements, if any \$ RESEARCH/TRAINING CLASSIFICATION: HEGIS Smithsonian ECU and UNC-CH Only:
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GA FORM 1.81 January, 1981

(Chancellor or Designee)

INTERNAL PROCESSING FORM - APPLICATION FOR GRANT, CONTRACT, OR COOPERATIVE AGREEMENT

TYPE

	roposal		
X	sed Proposal	Number 00	
		Institution	
ren.	eval	Participating Institutions	
Car	plement		
Con	tinuation		
1.	Title of Proposal		
	Principal Investigator or Project Dir	ector	
	Department	Institute or Center	
	School, College, or Other Admin. Unit	ector	
2.	Funding Agency (Complete mailing addr	ess)	
	Agency Mailing Deadline	Total Amount Requested	
	If Multiple Year	, Current Year Request	
	Proposed Beginning Date	Year Month Day	
	(Current Request) Month Day	Year Month Day	Year
100	se answer the following questions. F	explain on a separate sheet any items 3-6	marked
	" and 7a-13b if the companion questions."		
, ==	. Line the Low All the Companion question	n 10 mgraed no.	Yes
		any expressed or implied commitment to	,
	continue this activity or to retain po activity beyond the expiration date o	ersonnel employed exclusively for this	
	activity beyond the expiration date o	this grant of contract:	
•	Does the proposal involve the creation	n of a new organizational unit within	
	the institution?		
	Dana it managed develop the smartde		
•	Does the proposal involve the creation program or program track? (A degree program track?	n of or planning for a new degree	1-1
	program of program track: (A degree prostudy leading to a degree or to profe	rogram is defined as all courses of	
		alty of the HEGIS taxonomy." A program	
	track is a course of study within a p		
	professional certification.)	rogram which leads to a degree of to	
	Professional callification.		
	Will the proposal impede the eliminat	ion of racial duality in The University?	
		•	
	Does the proposal regular funds or as	ntributions in the form of cash matching	
•	() or cost sharing ()? (Check as	meridations in the form of cash matching	
	/) of cost sharing (): (Check as	applicable)	
ъ.	If "yes." can they be provided from c	current institutional resource levels?	
	, , , , , , , , , , , , , , , , , , , ,		
	Dana she amarani danaini	edab buman auttaine () - 1 - 1	
	Does the proposal involve research w	vith numan subjects () animal	<u> </u>
	subjects ()?		_
ъ.	If human guhierte are involved has	the proposal been reviewed by the rele-	
	vant University Committee?	the brobosar been reviewed by the refe-	
	If yes, date of review	; Pending ()	<u> </u>
77 -			
ror	m 3,81 AT	TACHMENT C	

9a.	Does the proposal involve the use of consultants for other than educational services or research?	
9b.	If so, has it been cleared with the designated officer at your institution?	
10a.	Does the proposal involve research with potential biohazards () or using radioactive materials ()? (Check as applicable)	
106.	If so, has it been reviewed by the relevant institutional office or committee?	
lla.	Does the proposal require additional personnel (), space (), equipment (), alterations to physical plant (), or installation or maintenance of equipment ()? (Check as applicable)	
11b.	If so, have the appropriate officers of the institution agreed that they/it can be provided within the limits of funds being requested?	
12a.	Does the work described in the proposal require computer time () nuclear reactor time ()? (Check as applicable)	
12b.	If so, have the costs included in the proposal been reviewed by the appropriate institutional officer?	
177,	Does the proposal require clearance under state A-95 Clearinghouse regulations?	
13ь.	If so, has this clearance been secured? If yes, give date of clearance If not secured, give date of submission to Clearing-house	
	Student employment, if any, in the proposed project will be nondiscriminatory as to race, color, national origin, religion, sex, handicap, age, and veteran status, as required by federal law.	
Pı	ignature of rincipal Investigator or roject Director	
S	ignatures indicating approval (those not applicable should be so indicated):	
De	epartment Head Date	
D:	irector of Institute/CenterDate	
D	ean of SchoolDate	
:	Date	
	Date	
C	hief Finance Officer or DesigneeDate	
C	hancellor or DesigneeDate	·

THE UNIVERSITY OF NORTH CARULINA

ABSTRACT OF APPLICATION FOR GRANT, CONTRACT, OR COOPERATIVE AGREEMENT (See instructions on reverse.)

le: _							
Number:	00					· · · · · · · · · · · · · · · · · · ·	
Principal	Invest	igato	r/Projec	t Directo	r:	 	

Abstract of Application for Grant, Contract, or Cooperative Agreement

Instructions

A. Items to be included in the Abstract

The Abstract should be plainly written, limited to not more than one page, and in sufficient detail to summarize:

- 1. the purpose(s) or problem(s),
- 2. the hypothesis(es) or objective(s), and
- 3. the method(s) of the project.

B. <u>Keywords</u>

Keywords are used to identify certain aspects of the project not otherwise apparent from the title. Keywords may be the names of specific methods, processes, diseases, disorders, phenomena, test organisms, or other appropriate topics.

Underscore the keywords (not to exceed five) in your Abstract.

THE UNIVERSITY OF NORTH LAKULING REQUEST FOR APPROVAL OF APPLICATION FOR GRANT, CONTRACT, OR COOPERATIVE AGREEMENT

TO: President, The University of North Carolina	DO NOT WRITE IN THIS SPACE
ni -	Date
(Chancellor)	Type
(Constituent Institution)	
Att	tached is proposal number 00
titled:	FICE Code FY 4 Digit
,	of
(Principal Investigator/Project Director	r) (Department)
	College, or Other Administrative Unit)
(Complete Agency Name.	Do not include address here.)
	·
vering the period from Month Day	y Year Month Day Yea
SRY (îneck <u>one</u> .)	TOTAL FUNDING REQUESTED:
100 Instruction	Grant
110 Research	Grant
140 Public Service	Cash Matching Require-
150 Academic Support	ments, if any \$
160 Student Services	RESEARCH/TRAINING CLASSIFICATION:
170 Institutional Support	HEGIS
180 Physical Plant Operations	Smithsonian
230 Student Financial Aid	ECU and UNC-CH only: MEDICINE/HEALTH AFFAIRS
300 Capital Improvements (Including Ed	
400 Service Agreements (Training)	Approval of the proposal is recommended:
990 Multi-Activity (e.g., Title III, h	· · ·
•	Chancellor or Designee
·•••••••••••••••••••••••••••••••••••••	APPROVED:
FORM 4.81 ATTACHMENT D	7 /
nuary, 1981	President Date The University of North Carolina

CENERAL

Instructions

with the identifying information completed and the notation "NO AWARDS OR RESECTIONS RECEIVED DURING THIS REPORT MONTH."

COLUMN 1 Proposal Number:

List in chronological and numerical order; e.g., proposals from a previous fiscal year, even a higher numerical number, should be listed before proposals from a more recent fiscal year: 00xxxx-76-0064 though of

00××××-77-0001 00××××-77-0650

00xxxx-77-0650 00xxxx-78-0053

Budge ted Period:

For each award listed, enter the beginning and ending dates of the actual budgeted period of the award as determined by the funding agency.

COLUMN 2 Proposal Title:

List the proposal title as reported to General Administration on proposal transmittal forms.

COLUMN 3 Principal Investigator:

List the name(s) of the project director(s)/principal investigator(s)

COLUMN 4 Funding Agency:

List the specific department or subagency to which the proposal was submitted for funding; e.g., DOC-National Bureau of Standards.

COLUMN 5 Amount Requested from Funding Agency:

List the total amount requested from the funding agency, excludiny any matching or cost sharing amounts.

COLUMN 6 Actual & Award or Rejections

List the amount awarded to the proposal or check the block for rejection, as appropriate

COLUMN 7 Date of daniel Witter Pate. of Bedievillen Witter

List the complete actual date on the award or rejection notice or letter, regardless of the date of receipt by your office; e.g., an award notice dated June 15, 1980, forwarded to your office on September 26, 1980, would be included in your September Report but would be listed in Column 7 of that report as an award received on June 15, 1980.

CONVENTIONAL ACADEMIC SUBDIVISIONS OF KNOWLEDGE AND TRAINING 1

01XX AGRICULTURE and NATURAL RESOURCES 0305 African studies 0101 Agriculture, general 0306 Islamic studies 0102 Agronomy (field crops, and crop management) 0307 Russian and Slavic studies 0103 Soils science (management and 0308 Latin American studies 0309 Middle Eastern studies conservation) 0310 European studies, general 0104 Animal science (husbandry) 0311 Eastern European studies 0105 Dairy science (husbandry) 0106 Poultry science 0312 West European studies 0313 American studies 0107 Fish, game, and wildlife 0314 Pacific area studies management 0399 Other, specify 0108 Horticulture (fruit and vegetable production) 04XX BIOLOGICAL SCIENCES 0109 Ornamental horticulture (floriculture, nursery science) 0110 Agricultural and farm 0401 Biology, general management 0402 Botany, general Olll Agricultural economics 0403 Bacteriology 0112 Agricultural business 0404 Plant pathology 0113 Food science and technology 0405 Plant physiology 0114 Forestry 0407 Zoology, general 0115 Natural resources management 0408 Pathology, human and animal 0116 Agriculture and forestry 0409 Pharmacology, human and animal technologies (baccalaureate 0410 Physiology, human and animal and higher programs) 0411 Microbiology 0117 Range management 0412 Anatomy 0199 Other, specify 0413 Histology 0414 Biochemistry 0415 Biophysics O2XX ARCHITECTURE and ENVIRONMENTAL 0416 Molecular biology DESIGN 0417 Cell biology (cytology, cell physiology) 0201 Environmental design, general 0418 Marine biology 0202 Architecture 0419 Biometrics and biostatistics 0203 Interior design 0420 Ecology 0204 Landscape architecture 0421 Entomology 0205 Urban architecture 0422 Genetics 0206 City, community, and regional 0423 Radiobiology planning 0424 Nutrition, scientific (excludes 0299 Other, specify nutrition in home economics and dietetics) 0425 Neurosciences 03XX AREA STUDIES 0426 Toxicology 0427 Embryology 0301 Asian studies, general 0499 Other, specify 0302 East Asian studies

0303 South Asian (India, etc.) studies

0304 Southeast Asian studies

As used in the Higher Education General Information Survey (HEGIS) and defined by the U.S. Office of Education in its <u>Taxonomy of Instructional Programs in</u> Higher Education (Washington: National Center for Educational Statistics, 1970).

5XX BUSINESS and MANAGEMENT

	Business and commerce, general	0 805	Higher education, general
	Accounting	0 806	Junior and community college
0 503	Business statistics		ed ucation
	Banking and finance	08 07	Adult and continuing education
05 05	Investments and securities	08 08	Special education, general
0 506	Business management and	08 09	Administration of special
	administration		education
0 507	Operations research	0 810	Education of the mentally
0 508	Hotel and restaurant management		retarded
0 509	Marketing and purchasing	0811	Education of the gifted
0 510	Transportation and public	0812	
	utilities	0813	Education of the culturally
0511	Real estate		disadvantaged
0512	Insurance	0814	
0513	International business		handicapped
0514	Secretarial studies (baccalaureate	0815	
	and higher programs)	0816	Education of the emotionally
0515	Personnel management		disturbed
	Labor and industrial relations	0817	••
0517	Business economics	0818	
0599	Other, specify	0819	Education of the physically
	, ., ., .,		handicapped
		0820	Education of the multiple
າ6 ¥ X ເ	COMMUNICATIONS		handicapped
		0821	
0 601	Communications, general	0022	and philosophy of education)
0602	Journalism (printed media)	0822	Educational psychology (include
0603	Radio/television	0022	learning theory)
0 604	Advertising	0823	Pre-elementary education
0 605	Communication media (use of	0023	(kindergarten)
0005	videotape, films, etc.,	0824	Educational statistics and
	oriented specifically toward	0024	research
	radio/television)	0825	
0699	Other, specify	0023	and measurement
0077	other, specify	0826	Student personnel (counseling
		0020	and guidance)
07XX C	OMPUTER and INFORMATION SCIENCES	0827	Educational administration
U/AA U	COMPUTER AND INFORMATION SCIENCES		Educational supervision
0701	Computer and defermation	0829	
0701	Computer and information		
0702	sciences, general	0830	, ,
0 702	Information sciences and systems	0001	and theory)
	Data processing	0831	Art education (methodology and
	Computer programming	0022	theory)
	Systems analysis	0832	Music education (methodology and
0 799	Other, specify	0000	theory)
		0833	Mathematics education
		0001	(methodology and theory)
08XX E	DUCATION	0834	
		0005	and theory)
0801	Education, general		Physical education
0802	Elementary education, general		Driver and safety education
0803	Secondary education, general	0837	
0 804	Junior high school education		life education)

0838	Business, commerce, and distributive education	1004	<pre>Music (performing, composition, theory)</pre>
0839		1005	
	technical education	1006	`
0899	Other, specify		(musicology)
		1007	Dramatic arts
		1008	Dance
09XX 1	ENGINEERING	1009	Applied design (ceramics, weaving, textile design, fashion design.
0 901	Engineering, general		jewelry, metalsmithing, interior
0902			decoration, commercial art)
	astronautical engineering	1010	
09 03		1011	
09 04		1099	Other, specify
0 905			
09 06	Chemical engineering (include	11XX F	OREIGN LANGUAGES
	petroleum refining)		
0907	Petroleum engineering (exclude	1101	Foreign languages, general
	petroleum refining)	2101	(includes concentration on more
09 08			than one foreign language
	transportation engineering	•	without major emphasis on one
09 09	Electrical, electronics, and		language)
•,,,,	communications engineering	1102	French
0 910	Mechnical engineering	1102	
0911		1103	
0912	Geophysical engineering	1104	
0913	Industrial and management		•
0913	_	1106	Russian
0914	engineering	1107	
0914	Metallurgical engineering	1108	Japanese
0916	Materials engineering	1109	Latin
	Ceramic engineering	1110	
0917		1111	
0918		1112	
0919		1113	•
0920	Nuclear engineering	1114	
0921	Engineering mechanics	1115	
0922	•		Russian)
	engineering	1116	U U V
0923	Naval architecture and marine engineering	1199	Other, specify
	Ocean engineering		
0 925	(baccalaureate and higher	12XX H	EALTH PROFESSIONS
	programs)	1201	. , , ,
0999	Other, specify	1202	•
			administration
		1203	Nursing (baccalaureate and
10XX F	INE and APPLIED ARTS		higher programs)
		1204	Dentistry, D.D.S. or D.M.D. degree
1001	Fine arts, general	1205	
10 02	Art (painting, drawing, sculpture)		first-professional degree,
1003	Art history and appreciation		D.D.S. or D.M.D.)

	Medicine, M.D. degree	15XX	LETTERS
1207	•		
	first-professional degree, M.D.)	1501	<i>.</i> , ,
1208	• • • • • • • • • • • • • • • • • • • •	1502	,
1209	•	1503	•
1210		1504	
1211	Pharmacy	1505	Linguistics (include phonetics,
	Physical therapy		semantics, and philology)
	Dental hygiene (baccalaureate and higher programs)	1506	science (rhetoric and public
	Public health		address)
	Medical record librarianship	1507	C
1216	Podiatry (Pod.D. or D.P.) or podiatric medicine (D.P.M.)	1508	B Teaching of English as a foreign language
1017	Biomedical communication	1509	
1210	Veterinary medicine (D.V.M. degree)	1310	·
1219	Veterinary medicine specialties	1500	theological professions)
	<pre>(work beyond first-professional degree, D.V.M.)</pre>	1599	Other, specify
1220	Speech pathology and audiology		
	Chiropractic	16XX	LIBRARY SCIENCE
1222	Clinical social work (medical and		
	psychiatric and specialized	1601	Library science, general
	rehabilitation services)	1699	Other, specify
1223	Medical laboratory technologies		
	(baccalaureate and higher		
	programs)	17XX	MATHEMATICS
1224	Dental technologies (baccalaureate		
	and higher programs)	1701	Mathematics, general
1225	Radiologic technologies (bacca-	1702	
	laureate and higher programs)		theoretical
1299	Other, specify	1703	Applied mathematics
		1799	
13XX H	OME ECONOMICS	18XX	MILITARY SCIENCES
13 01	Home economics, general	1801	Military science (Army)
1302	Home decoration and home equipment	1802	
	Clothing and textiles	1803	
1303 1304	Consumer economics and home	1899	
1304	management	1099	other, specify
13 05	Family relations and child		
	development	19XX	PHYSICAL SCIENCES
1306	Foods and nutrition (include		
	dietetics)	1901	Physical sciences, general
1307	Institutional management and	1902	Physics, general (exclude
	cafeteria management		biophysics)
1399	Other, specify	1903	
	• - • ·	1904	
		1905	• •
14XX L	AW		biochemistry)
	 -	19 06	
1401	Law, general	1907	•
	Other, specify	1908	•
-7//	, ,		,

1909		2205	History
	Pharmaceutical chemistry	22 06	Geography
	Astronomy	2207	Political science and government
	Astrophysics	220 8	Sociology
1913	Atmospheric sciences and	2 209	Criminology
	meteorology	2 210	International relations
1914	Ge ology	2211	Afro-American (black culture)
1915	Geochemistry		st udies
	Geophysics and seismology	2212	American Indian cultural studies
1917	Earth sciences, general	2213	Mexican-American cultural
1918	Paleontology		s tudies
	Oceanography	2214	Urban studies
	Metallurgy		Demography
199 9	Other, specify	2299	Other, specify
20XX P	SYCHOLOGY	23XX 1	THEOLOGY
20 01	Psychology, general	2301	Theological professions, general
20 02	Experimental psychology (animal	23 02	
	and human)	23 03	Biblical languages
20 03	Clinical psychology	23 04	
20 04	, ,,	2399	Other, specify
2005	, O,		
20 06		_	
	Statistics in psychology	49XX I	INTERDISCIPLINARY STUDIES
20 08	• • • • • • • • • • • • • • • • • • • •		
2009		4901	
2010	Physiological psychology	4902	
2099	Other, specify	4903	
		4904	Engineering and other disciplines
		4999	Other, specify
21XX P	UBLIC AFFAIRS and SERVICES		
2101	Community services, general	99 99	NA (Not Applicable) HEGIS
2102	· · · · · · · · · · · · · · · · · · ·		
2103	Parks and recreation management		
21 04	Social work and helping services		
	(other than clinical social work)		
2105	Law enforcement and corrections (baccalaureate and higher)		
2106	International public service		
. 2100	(other than diplomatic service)		
2199	Other, specify		
2277	other, specify		
2 2XX s	OCIAL SCIENCES		
2201	Social sciences, general		
2202			
2203	Archaeology		
2204	Economics		

RESEARCH CLASSIFICATION SYSTEM

The Smithsonian Subject Index 1

10XX A	AGRICULTURAL SCIENCES		Physiological Psychology
1001	A.m.d	1116	· · · · · · · · · · · · · · · · · · ·
	Agricultural Administration	1117	· · · · · · · · · · · · · · · · · · ·
	Agricultural Engineering	1118	•
1003	Agricultural Industries and	1119 1120	_
100/	Agribusinesses	1120	Therapy of Mental Diseases and Conditions
	Agronomy Animal Environments	1199	
1005		1133	Other, specify
1000	Breeding Parameters	12XX B	IOLOGICAL SCIENCES
1007	Animal Husbandry	IZXX D	TOLOGICAL SCIENCES
	Applied Entomology	1201	Animal Pharmacology
1000		1201	0 ,
1010		1202	
1011	•	1204	Biophysical Chemistry and
	Fish and Wildlife Biology	1204	Molecular Biology
1013	· · · · · · · · · · · · · · · · · · ·	1205	
	Forestry	1206	•
	Home Economics	1207	Developmental Biology
	Horticulture	1208	
	Parasitology	1209	0 ,
	Pest Control Measures	1210	
	Pesticides		Entomology - Physiology
	Plant Diseases	1212	
- ,	Plant Environments		Genetics
	Plant Parameters	1213	
_	Plant Pathology	1215	•
	Soil Science	1216	
	Veterinary Sciences	1217	0 .
	Weeds	1218	• 0.
	Zoonoses	1219	, 0,
1099		1220	
	• •		Plant Developmental Biology
11XX B	EHAVIORAL SCIENCES		Plant Morphology and Anatomy
44.			Plant Morphology Parameters
1101	Aging - Psychological Factors		Plant Physiology
	Clinical Psychology and Psychiatry		Plant Taxonomy
	Cognitive Processes		Reproduction
	Communication		Vertebrate Anatomy
	Counselling and Guidance		Vertebrate Injury
	Developmental Psychology		Vertebrate Nutrition
	Education and Training		Vertebrate Pathology
	Engineering Psychology	1231	
	Evaluation and Measurement		Virology
	Learning and Retention	1233	
	Motivation and Instinctive Behavior	1299	
	Performance		
	Personality	13XX C	HEMISTRY AND CHEMICAL ENGINEERING
	Personnel	_	•
		1301	Analytical Chemistry

¹Smithsonian Science Information Exchange, Inc.

	Atomic and Molecular Structure	1502	Components and Electron Devices
	Catalysis	1503	Electrical Engineering
	Chemical Effects	1504	Electronics
1305	Chemical Engineering	15 05	Electronic Technical Services
1306	Chemical Reactions	1506	Systems Engineering
1307	Chemistry of Coordination	1599	
	Compounds		
1308	Elements and Inorganic Compounds	16XX E	INGINEERING SCIENCES
	Energy Storage, Conversion, and		
	Utilization	1601	Aeronautical Engineering
1310	Heat and Thermodynamics		Air Pollution
	Instrumentation	1603	Building and Land Development
13 12	Kinetics and Mechanisms	1604	
	Ore Refining		Fluid Dynamics
	Organic and Biochemical Compounds	1606	
	Organic Sulfur Compounds	1607	
	Photography and Other	1608	9
	Reproduction Processes	1,000	Naval Architecture
1317	Physical and Chemical Properties	1600	Mechanical Power
	Polymer Chemistry	1610	
	Surface and Colloid Chemistry		Mechanics of Structure Military Sciences
	Wastewater Treatment and Disposal	1612	
1320 1399		1612	
1355	other, specify	1613	
'/.VV E	ADMI CCIENCEC		
4AA E	ARTH SCIENCES	1615	
1/01	Faceronia Carlesu	1616	•
	Economic Geology	1617	, ,
	Environments	1618	
	Fossil Invertebrates	1619	
	Fossil Plants		Disposal
	Fossil Vertebrates	1699	Other, specify
	Geochemistry		
	Geologic Time Index	17XX M	IATERIALS
	Geomorphology		
	Geophysics		Casting
1410	• · · · · · · · · · · · · · · · · · · ·	1702	
	Meteorology		Coatings
	Mineralogy		Composites
	Minerals		Corrosion
1414	Oceanography		Fabrication, Machining, Joining
1415	Paleontology		Ferrous and Nonferrous Metals
1416	Petrology	1708	Lubricants and Fluids
1417	Sedimentology	1709	Materials Applications
1418	Soils Geology		Mechanical and Physical
	Stratigraphy - Historical Geology		Properties
	Structural Geology	1711	Nondestructive Testing
	Water Resources		Plastics, Adhesives, and Elastomers
	Other, specify		Powder Metallurgy
_7//			Structure and Defects
15XX E	LECTRONICS AND ELECTRICAL		Textiles
_	NGINEERING		Thermal Treatment
	517 = 518 ± 17		Other, specify
1501	Biomedical Engineering		

18XX	MATHEMATICS	1933	Skin
		1934	Space Medicine
	Algebra	1935	Submarine and Diving Medicine
	2 Analysis	1936	Surgery
1803	3 Geometry	1937	Syndromes
1804	Information Systems and	1938	Urogenital System
	Operations Research	1939	Venereal Disease
1805	Logic and Foundations	1999	Other, specify
1806	Number Theory		
1807	Numerical Analysis	20XX P	HYSICS
1808	Probability and Statistics		
	Topology	2001	Acoustics
	Other, specify	20 02	
		2003	
19XX	MEDICAL SCIENCES	20 03	
		2 005	•
1901	Accident	2006	
	Aging	2007	•
	Anesthesiology	2008	-
	Aviation Medicine	2009	
	Blood, Lymphatics, and Reticulo-	2010	-
1703	Endothelial System	2010	•
1906	Cancer	2011 2012	
	Cardiovascular System	2012	<u> </u>
1907		2013	•
1900	Rheumatic Diseases	001/	Radiation
1000	Dental Studies	2014	
		2015	-
	Digestive System	2016	
	Endocrine System		Physics
1912	•	2017	
1913		2099	Other, specify
1914		01	
1915		21XX S	OCIAL SCIENCES AND ECONOMICS
1916			
	Medical Physics	Econo	
1918		2101	
1919	•	2102	Economics Planning and
1920	· · · · · · · · · · · · · · · · · · ·		Projections
1921		2103	Fiscal Studies
1922		2104	Income Analysis
1923		2105	International Economics
1924	Pharmacology	2106	Market Structure
1925	Physical Anthropology	2107	Microeconomics
1926	Prostheses and Artificial Organs	2108	Natural Resources Economics
1927	Public Health and Community	Socia	1 Sciences
	Medicine	2109	
1928	Radiation Effects	2110	•
	Radiology	2111	
	Rehabilitation and Physical Medicine		<u> </u>
	Respiratory System	2113	
	Sensory Organs and Systems		Government Studies and Policy

- 2115 History
- 2116 Law and Legal Procedures2117 Management Sciences
- 2118 Manpower
- 2119 Medical Health Care Administration
- 2120 Political Science
- 2121 Race and Ethnic Relations
- 2122 Riots, Social Unrest
- 2123 Rural Sociology
- 2124 Sciences and Technology
- 2125 Social Indicators
- 2126 Social Sciences Methodology
- 2127 Social Sciences Theory
- Social Services
- 2128 Human Resources Development
- 2129 Poverty and Welfare
- 2130 Services for the Poor and Dependent
- 2131 Urban Research
- 2199 Other, specify

9999 NA (Not Applicable) Smithsonian

OUTLINE OF COMMON STANDARD CLASSIFICATION AND HIERARCHY OF EXPENDITURES AND REVENUES *

100	INS	TRUCTION
	101	Regular Term Instruction
	102	Summer Term Instruction
	103	Extension Instruction
	104	ECU Div of Health Affairs
	105	ECU School of Medicine
	106	NCSUR Veterinary Medicine

110 ORGANIZED RESEARCH

140 PUBLIC SERVICE 141 Educational Television 142 Community Services

150 ACADEMIC SUPPORT 151 Libraries 152 General Academic Support

160 STUDENT SERVICES

170 INSTITUTIONAL SUPPORT

180 PHYSICAL PLANT OPERATIONS

230 STUDENT FINANCIAL AID

300 CAPITAL IMPROVEMENTS 301 through 399.....

400 SERVICE AGREEMENTS
401 Educational Agreements
402 International Agreements

990 MULTI-ACTIVITY

^{*}Excerpted from The University of North Carolina Chart of Accounts.

THE UNIVERSITY OF NORTH CAROLINA CHART OF ACCOUNTS

Part I: COMMON STANDARD CLASSIFICATION, HIERARCHY, AND GLOSSARY OF EXPENDITURES AND REVENUES

Revenues and expenditures utilize a common standard classification with regard to the data elements identified as activities and purposes. These data elements identify the basic programs and operations of the institution, and are utilized when recording both expenditures and revenues. The broadest common standard classification of expenditures and revenues is by activity, <u>e.g.</u>, <u>INSTRUCTION</u>. Most activities are divided into purposes, <u>e.g.</u>, <u>Regular Term Instruction</u>. Conversely, purposes summarize into activities.

The system is designed so that activity and purpose classification codes and classification titles are standardized and not subject to amendment, modification, deletion, or addition by individual institutions. Elements which are not appropriate for or needed by an institution should not be utilized by that institution.

The chart which follows identifies the numerical classification code for each data element, the classification titles, the glossary of classification titles, and the hierarchy and ordering of the data elements. The definition of an activity is applicable to each of its constituent purposes.

The hierarchy of classification (except for capital improvements) is:

XXO ACTIVITY

XXX Purpose

For capital improvements, the hierarchy of classification is:

X00 ACTIVITY

XXX Purpose

- 100 INSTRUCTION: This activity includes those actions, endeavors, services, and aids which permit knowledge, experience, expertise, skill, and training to be acquired and accumulated by departmental research and transmitted by instruction.
 - 101 Regular Term Instruction: This purpose includes departmental research and general academic instruction offered for credit or non-credit through a regular academic department during a regular term or session. It includes academic departmental heads, departmental chairpersons, all budgeted teaching positions, and support personnel subject to supervision and direction by persons filling the aforementioned positions.

- 102 Summer Term Instruction: This purpose includes departmental research and general academic instruction offered for credit or non-credit through a regular academic department during a summer term or session.
- 103 Extension Instruction: This purpose includes departmental research and instruction offered for credit or non-credit through an extension or other special. exclusively instructional, division of the institution. Such offerings or functions are primarily, but not exclusively, directed to members of the community, groups external to the institution, persons otherwise unable to take advantage of traditional on-campus instruction, and may be presented both on- or off-campus. It includes avocational education, adult education, professional review and refresher courses, and continuing education. Forms of instruction included are short courses, conferences, seminars, and workshops. It excludes special divisions of the institution which primarily provide public services but which also may provide instruction related to those services.
- 104 ECU Div of Health Affairs: This purpose includes regular term instruction and departmental research in the Division of Health Affairs at East Carolina University.
- 105 ECU School of Medicine: This purpose includes instruction and departmental research in the School of Medicine at East Carolina University and Pitt County Memorial Hospital.
- 106 NCSUR Veterinary Medicine: This activity includes the planning and operational functions for Veterinary Medicine at North Carolina State University at Raleigh.
- 110 ORGANIZED RESEARCH: This activity includes research efforts of a specified scope which are conducted for the primary purpose of producing identified research outcomes, whether commissioned by an external agency or separately budgeted within the institution. It includes research project personnel and excludes research administrators and their support personnel.
- 140 PUBLIC SERVICE: This activity includes the services which are not exclusively instructional or research provided primarily, but not necessarily exclusively, for persons external to the institution.
 - 141 Educational Television: This purpose includes the administration and technical operation of the services provided by the statewide University Television Network, and the affiliated campus stations and facilities.

- 142 Community Services: This purpose includes those public services, whose primary function is not instruction and departmental research or organized research, directed to members of the community, i.e., persons external to the institution, and not classified elsewhere. It includes community counseling and consulting, advisory and reference services, and community projects. It includes organizational divisions which provide varying combinations and types of services, and excludes divisions which are exclusively instructional in their operation. It includes The Institute of Government, continuing education centers, the Community Service and Continuing Education Program (Title I), direct patient care and health care supportive services, and other organized institutes, centers, and services.
- 150 ACADEMIC SUPPORT: This activity includes the services which provide support to, and are an integral part of, one or more of the three primary activities, i.e., instruction, research, and public service. These primary activities are numbered 100, 110, and 140, including their constituent purposes.
 - divisions whose responsibility includes the collection, classification, cataloging, displaying, maintenance, restoration, and distribution of published, recorded, duplicated, discovered, and created materials and objects. Also, it includes the various forms of aid and assistance provided to facility users.
 - 152 General Academic Support: This purpose includes the nonlibrary services which provide support to, and are an integral part of, one or more of the three primary activities (i.e., instruction, research, and public service) numbered 100, 110, and 140, including their constituent purposes. It includes academic and research administration (e.g., college deans, faculty deans, and research deans), academic computing services (e.g., instructional computing and research computing), ancillary support (e.g., demonstration schools, glass blowing shops, laboratory schools, nuclear reactors, and planetariums), audiovisual services (e.g., closed circuit television, learning resource facilities, and film, record, and video facilities), and museums and galleries (e.g., arboretums, botanical and zoological gardens, and traveling displays).

- which contribute to the students' emotional and physical well-being and to their intellectual, cultural, and social development. It includes student services administration (e.g., Dean of Students), student admissions and records (e.g., recruitment, evaluation, registration, catalogs, and identification of students), student counseling and career guidance (e.g., placement and testing), student financial aid administration (e.g., administration of student loans, grants, and work-study programs, and financial counseling), student social and cultural development (e.g., orientation programs, minority affairs, and student religious and political organizations), aural broadcasting services, and symphony orchestras.
- 170 INSTITUTIONAL SUPPORT: This activity includes the actions and services which provide daily operational support, excluding physical plant operations, to the institution. It includes all central, executive-level management of and long-range planning for an entire institution, all areas of executive direction (e.g., the governing board, the chief executive officer, and the senior executive officers), fiscal operations (e.g., accounting, payroll, contracts and grants, trusts, systems, cashiers, budgeting, and internal auditing), administrative data processing (e.g., institutional accounting, payroll, and room scheduling), facility management, employee personnel and records, central purchasing, central transportation (e.g., campus traffic, campus buses, receiving and shipping), central mail service, central telephone service, campus safety and security (e.g., environmental health and safety, campus security and watchmen), alumni and community relations (e.g., alumni records and publications, public information, news service, and commencement), and fund raising and development (e.g., foundations).
- of operating, repairing, and maintaining existing facilities and grounds and providing utility services. It includes custodial services, property insurance and controls, utility plants, utility purchase and distribution, fire protection, and campus architects. It excludes capital expenditures for plant expansion, modification, and architectural services related to such projects; these expenditures are provided in activity number 300. The costs of physical plant operations associated with auxiliary enterprises and independent operations are excluded from this activity; these costs are charged or allocated to the appropriate self-supporting entity.

- 230 STUDENT FINANCIAL AID: This activity includes the monies presented to individuals enrolled in formal institutional coursework as scholarships, fellowships, traineeships, grants-in-aid, prizes, or awards. The individuals are not required to and do not render services as consideration for the monies presented and are not required to repay the amount received. Also, this activity includes the state's contribution or matchings for work-study, in auxiliary enterprises or elsewhere in an institution, and student loan programs. It excludes the ultimate disbursements of work-study and student loan monies to student-beneficiaries. The disbursements of workstudy monies to student-employees are classified according to the activity or purpose in which the services are rendered. The disbursement of student loan monies is classified within the loan fund group as the creation of loans receivable. The mandatory transfer of state matchings for student loan programs from the current fund group to the loan fund group is an element of this activity. It includes the awards to students from the supplemental educational opportunity grant programs, but excludes the awards from the basic educational opportunity grants program. The receipts and disbursements of basic educational opportunity grants program monies are contained within the agency fund group. Also, it excludes student financial aid administration; it is included in activity number 160.
- 300 <u>CAPITAL IMPROVEMENTS</u>: This activity includes the authorizations for capital acquisitions, constructions, additions, improvements, and furnishings when purchasing land, buildings, and equipment.
 - specific capital improvement projects of individual institutions. The ninety-nine numbers beginning with 301 are used by each institution to identify its capital improvement projects within open capital improvement budget codes. A single purpose code number, such as 324, when used by two or more institutions, does not suggest similarity in the nature of the capital improvement projects authorized for those institutions. The specific titles of each of these ninety-nine purposes are determined by the needs of the institution, and are not standardized. The purpose classification will have significance only when associated with its related budget code and expenditure code. A purpose code number and title is limited to thirty spaces.

- 400 SERVICE AGREEMENTS: This activity includes the special service programs financially supported by grants from departments or agencies of the United States Government and designed to achieve identified goals.
 - 401 Educational Agreements: This purpose includes federallyfinanced training and educational service programs subject
 to the terms of grants or contracts. These educational
 service agreements include summer institutes, special
 training programs for selected participants, professional
 or technical services to cooperating countries, the
 development and introduction of new or expanded courses,
 and similar instructional-oriented undertakings,
 including special research training programs. It
 excludes awards for organized research, awards exclusively
 for student financial aid, and institutional grants.
 - 402 International Agreements: This purpose includes the management, direction, and fiscal operations of endeavors intended to contribute to the development for peaceful purposes of underdeveloped countries. Such endeavors are usually undertaken under agreements with the United States Agency for International Development, Department of State, and may involve the utilization of expertise in a variety of disciplines.
- 990 MULTI-ACTIVITY: This activity is applicable with those revenue and indirect cost transactions not identifiable with an existing sole activity or purpose, but indistinguishably associated with two or more activities or purposes. Its use is limited.