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V14
Updated March 20, 2018
Key Version Updates

1. Updated Advance Account Request process to include required information and documents.
2. Revised process for documenting cost sharing.
3. Addition of Investigator/Research Team Role definitions.
4. Addition of process for submitting proposals for investigators before their official UC Davis appointment (users without Kerberos IDs).
Getting Started

- Use Mozilla Firefox for best results.
- Login to: https://ucdavis.cayuse424.com/sp/ with your Kerberos ID and Password.

Is a New Internal Processing Form (IPF) Needed?

New Internal Processing Forms (IPFs) must be submitted to Sponsored Programs via Cayuse SP when approvals/authorizations are needed from the department chair(s) and/or dean's office(s). The following table outlines that relevant Proposal Type to be selected on the IPF.

<table>
<thead>
<tr>
<th>Proposal Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>Proposal submitted for the first time. Letters of intent and preliminary proposals that require a budget.</td>
</tr>
<tr>
<td>Revision (competitive)</td>
<td>Federal proposal submitted to expand budget or scope of current award. Proposal to be reviewed.</td>
</tr>
<tr>
<td>Renewal (competitive)</td>
<td>Federal proposal submitted for funds subsequent to current award. Proposal to be reviewed.</td>
</tr>
<tr>
<td>Resubmission</td>
<td>Federal unfunded proposal submitted again after modification within 37 months of the new application.</td>
</tr>
<tr>
<td>Preliminary Proposal (no budget)</td>
<td>Letters of intent and preliminary proposal for new funding when no budget is required. Letters of intent and preliminary proposals requiring institutional endorsement must be submitted to SPO. Preliminary proposals not requiring SPO review may be submitted through Cayuse SP if the department chooses (in order to have a record of the submission on file).</td>
</tr>
<tr>
<td>Supplement</td>
<td>Proposal submitted to continue previously funded project.</td>
</tr>
<tr>
<td>Amendment</td>
<td>Modification to existing award that does not include additional funding but requires department and/or dean approval. Such modifications include changes in Principal Investigator and the administrative unit of the award. If you are unsure if a new IPF is required, email <a href="mailto:awards@ucdavis.edu">awards@ucdavis.edu</a>.</td>
</tr>
<tr>
<td>After-the-Fact</td>
<td>Proposal submission for an award already received; or a proposal submission directly to the Sponsor and not routed first through SPO. Select “Paper” as the Submission Method, and enter the Sponsor’s contact information (including email) in the subsequent pop-up field.</td>
</tr>
</tbody>
</table>

Table 1: Proposal Types
### Investigator/Research Team Role Definitions

<table>
<thead>
<tr>
<th>Cayuse SP Role</th>
<th>Definition (Use)</th>
<th>Edit Access</th>
<th>Certification Required</th>
<th>Unit Approval Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead Principal Investigator</td>
<td>The lead investigator of the overall project. If the sponsor allows multiple Program Directors/Principal Investigators (PD/PIs), this would be the contact PI. <em>Cayuse 424 Translation: PD/PI</em></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>This role should only be selected if the sponsor allows multiple PIs. Other roles that may fall under this designation include Research Scientist, Research Specialist, Research Associate, or Scholar. <em>Cayuse 424 Translation: PD/PI or co-PD/PI</em></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Investigator</td>
<td>This individual is considered to be a primary contributor to the successful conduct of a research project; any person who is responsible for the design, conduct, or reporting of research. <em>Cayuse 424 Translation: Co-Investigator</em></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Postdoctoral Research Associate</td>
<td>This individual has received a doctoral degree and serves on the research project.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Fellow</td>
<td>This individual is a student, pre or postdoc, applying for a fellowship, or support for dissertation research whose mentor is the Lead Principal Investigator on this proposal.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Graduate Research Assistant</td>
<td>A post baccalaureate student who serves on the project.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Clinical Research Coordinator</td>
<td>This individual has significant responsibility for the conduct of a human subjects study. Responsibilities may include study subject recruitment, arranging subject visits, informed consent, regulatory documents, case report forms, and meeting with study monitors.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Project Manager</td>
<td>An individual is identified in this role on a limited basis such as on program project grants or on a clinical trial.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Technical Staff</td>
<td>This individual performs standardized or routine measurements, analyses, or procedures in support of the research project.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>An undergraduate student who does not meet the definition of Fellow</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Administrative Contact</td>
<td>This role is used on a limited basis on eligible funding opportunities, for example, program project or state contracts.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Other Key Participant</td>
<td>project participants whose role title differs from those above. After selecting Other Key Participant, a field labeled &quot;Role Title&quot; appears beneath the Role. Enter the participant's custom title into the Role Title field. The participant's unit will be included in the routing list on the Approving Unit's screen.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Proposal Editor</td>
<td>Grants permissions equal to the Proposal Creator in the SP record.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Other Participant (no routing)</td>
<td>This designation serves the same purpose as Other Key Participant, except that the participant's unit is excluded from the routing list on the Approving Units screen.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Table 2: Investigator/Research Team Role Definitions
Proposals

A new Internal Processing Form (IPF) is required for all proposals submitted to Sponsored Programs. Follow the general instructions below when creating a new Internal Processing Form unless otherwise noted.

Quick Reference

1. Start a Proposal.
2. Complete or view the status of a Proposal you started or on which you have an interest or are key personnel.
3. View Proposals in your unit that were initiated by someone else (requires appropriate access/permissions).

Cayuse SP Auto-generated Numbers

Cayuse SP creates identification numbers for each Project, Proposal, Award and Subcontract/Subaward.

1. Project Number
   a. Created by Sponsored Programs. Your Sponsored Programs analyst will assign each Proposal and Subcontract/Subaward to a Project. Awards are created from Proposals and assigned to a Project.

2. Proposal Number
   a. Created by Cayuse SP when the Proposal is created.

3. Award Number
   a. Created by Cayuse SP when the Award is added to the Project. The Award Number is the Project Number plus three digits at the end that indicate the number of Awards in that Project. The first Award is the Project Number-“001”, the second is the “Project Number-002” and so forth.

4. Subcontract/Subaward Number
   a. Created by Cayuse SP when the Subcontract/Subaward is added to the Project. The Subcontract/Subaward Number is the Project Number plus three digits at the end that indicate the number of Subcontracts/Subawards in that Project. The first Subcontract/Subaward is the Project Number-“S001”, the second is the “Project Number-S002” and so forth.
Necessary Information and Documents

Necessary Information

1. Sponsor Name *(Note: Use the code for Miscellaneous Sponsors if the Sponsor is not included in the list)*
2. Academic Department or Administrative Unit administering the project
3. Primary Administrative Contact
4. Project period (start and end date)
5. Activity Code

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Basic Research</td>
<td>Acquire new knowledge without view to its application.</td>
</tr>
<tr>
<td>02 Applied Research</td>
<td>Advance towards specific objective/application.</td>
</tr>
<tr>
<td>03 Developmental Research</td>
<td>Create improved or new product/process.</td>
</tr>
<tr>
<td>04 Other Research</td>
<td>Anything that does not fit Activity Code 01, 02 or 03.</td>
</tr>
<tr>
<td>05 Public Service</td>
<td>Direct benefit provided to non-sponsor affiliated people.</td>
</tr>
<tr>
<td>06 Other Service</td>
<td>Service activity that does not fit Activity Code 05.</td>
</tr>
<tr>
<td>07 Clinical Trial – Investigator Initiated</td>
<td>Self-explanatory.</td>
</tr>
<tr>
<td>08 Clinical Trial – Sponsor Initiated</td>
<td>Self-explanatory.</td>
</tr>
<tr>
<td>09 Equipment</td>
<td>Over $5000 for one item.</td>
</tr>
<tr>
<td>10 Infrastructure/Capital Improvement</td>
<td>Facility remodel needed.</td>
</tr>
<tr>
<td>11 Fellowship</td>
<td>Fixed amount of financial support to UC Davis employee.</td>
</tr>
<tr>
<td>12 Training/Instruction</td>
<td>Funds are used to deliver curriculum to people.</td>
</tr>
<tr>
<td>13 Material Transfer</td>
<td>MTA’s are needed.</td>
</tr>
<tr>
<td>14 Other</td>
<td>Anything that does not fit Activity Codes 01-13.</td>
</tr>
</tbody>
</table>

Table 3: Activity Codes

6. Type of proposal: See Table 1

7. Instrument Type

<table>
<thead>
<tr>
<th>Instrument Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant</td>
<td>An assistance relationship where the Principal Investigator has significant freedom to change the emphasis within the general area.</td>
</tr>
<tr>
<td>Contract</td>
<td>A procurement relationship that is a legally binding contract with detailed financial and legal requirements, a specific work statement, and/or a specific set of deliverables and/or reports due to the sponsor.</td>
</tr>
<tr>
<td>Cooperative Agreement</td>
<td>A project involving significant scientific or programmatic involvement from the sponsor. Scientific or programmatic staff may assist, guide, coordinate or participate in the project.</td>
</tr>
<tr>
<td>Non Monetary Agreement</td>
<td>An agreement that does not include money.</td>
</tr>
</tbody>
</table>

Table 4: Instrument Types
8. Sponsor submission method (i.e.; Email, website, etc.)
9. Sponsor deadline and date you want the proposal submitted to the Sponsor if different than the official deadline
10. Project Title
11. Number of budget years
12. F&A Rate(s) (determined by activity)
13. Are animal or human subjects involved? If so, is there IACUC/IRB protocol?
14. Location (i.e.; Building, laboratory, etc.) where the activities will occur
15. If there are outgoing subawards: Contact information for the Subawardees

Necessary Documents

The following documents are needed to submit an IPF:
1. Grant solicitation if applicable (i.e.; Request for Applications, Request for Proposals, etc.)
2. Proposal/Grant guidelines, if available, or communication from the sponsor regarding the information needed for the proposal,
3. If a Limited Submission, documentation of the Principal Investigator’s selection as the campus applicant
4. Proposal budget
5. Internal budget, strongly recommended (Note: Budget templates are available at: https://docs.or.ucdavis.edu/spo/)
6. Proposal budget justification
7. Scope of work (Note: A draft may be submitted, but the final Scope of Work must be provided to SPO before submission to the sponsor)
8. Biosketches
9. If there are subawards: Budget and budget justification, scope of work, biosketches, subrecipient monitoring form and letters of commitment from the institution(s)
10. Appropriate compliance forms, if not filed online (Note: The eCOI Online Disclosure System may be found at: https://or-forms.ucdavis.edu/)
11. Complete Principal Investigator Exception form, if applicable
12. Draft of Abstract (optional)
Creating and Submitting Proposals
(Note: All Proposal/IPF tabs must be complete, including the Budget section.)

1. Go to Start New Proposal under My Dashboard. (Note: Do not copy previous proposals.)

2. General information: Complete all fields for which you have information even if they are not indicated as required with a red *
   a. Sponsor: If the sponsor is not listed, select Miscellaneous Sponsor, type the Sponsor Name in Submission Notes (last step before routing) and follow Step 4 below.
   b. Admin Unit: Do not select a unit listed as “Non Admin/Home”.
   c. Short Project Name: [Sponsor Deadline/Submission Deadline in MM/DD/YY format] [Principal Investigator Last Name] [Sponsor] (e.g., “05/31/17 Smith NIH”).
   d. Click the hyperlink to select the appropriate Activity Code.
   e. Select any Affiliated Units that need to approve the proposal but do not have involved Key Personnel.
   f. Select the Submission Method.
   g. Enter the Submission Deadline, including the time due in Pacific Time, 24-hour format. (5:00 pm = 17:00)
   h. Project title: Full project title.
   i. Do not Pair with 424. If you are creating a 424 proposal, indicate this in Submission Notes.
   j. Select Save.
3. After saving the General Information page, tabs will appear to the left.
   a. Complete each section. (*Note: A green checkmark will display when each section is complete.*)
b. Investigators/Research Team: Add all Key Personnel and others that need edit access to the Proposal. (Note: The IPF/Proposal will route to approval by all units with personnel on this tab unless the Other Participant – No Routing role is selected. All Key Personnel must be entered.)
   
   i. Select the name of the Key Personnel to add. (Notes: You must enter the Lead Principal Investigator’s information first.)
      
      1. If the investigator is not listed and the person has a UC Davis appointment, email ORCayuseHelp@ucdavis.edu for assistance.
      2. If the investigator is not listed and does not yet, but will, have a UC Davis appointment either:
         a. Initiate, complete and process a Temporary Affiliates Form (https://itcatalog.ucdavis.edu/service/online-taf-temporary-affiliate-form) for the new appointed individual OR
         b. List the Department Chair as the Principal Investigator and update the Proposal after the individual has a UC Davis appointment. This may require you to request SPO update the proposal record.
   
   ii. Ensure the Unit listed is correct. If not correct, select the appropriate unit. Do not select a unit indicated as “Non Admin/Home”.
   
   iii. Select the Role. (See Table 2 for Role definitions)
   
   iv. Add the correct person months and sponsored effort. (Note: If the salary included in the proposal is not determined from effort committed, and no effort is being committed, enter 0% in the Sponsored Effort % and include the appropriate amount on your budget.)
   
   v. Add the Cost Shared effort if the proposal involves cost sharing.
   
   vi. Add the appropriate Allocation of Credit. (Note: Must equal 100% total for all key personnel. Determination by PI regarding who should get what % of intellectual credit for working on the project. This date may be use for ad hoc reports requested by campus leadership regarding investigator productivity.)
   
   vii. Select Save Personnel. (Note: Saved Personnel will display under List of Personnel.)
   
   viii. Repeat for each Key Personnel.
c. Budget (Note: A complete budget form is required for mandatory reporting requirements.)
   i. Select the Summary Budget Form.
   ii. Select the total # of Budget Periods (generally, a period lasts a year).
   iii. Select the Current (First) Period Start and End dates.

   iv. Complete the cost sharing section. If no cost sharing, skip to step 3.c.v. (Note: Voluntary cost sharing should also be noted here. Pop-up fields will appear to enter cost sharing information for the current/first period only. These amounts will auto-populate in the cost sharing amount fields in the Budget Categories section.)
      1. Select Yes if the proposal includes cost sharing.
      2. For Internal Cost Sharing: (Note: A letter or letters of commitment must be uploaded in Proposal Attachments to document internal cost sharing.)
         a. Select Add Unit under Internal Cost Sharing
b. Complete the subsequent pop-up screen with the following:
   i. Unit field: Search for and add “Intl Cost Sharing”
   ii. Period Total: Total amount of internal cost sharing for the first period
   iii. Project Total: Total amount of internal cost sharing for the entire project
   iv. Commitment Type: Choose Mandatory for Voluntary
   v. Match Type: Choose Cash Matching or In-Kind
   vi. Account: Enter Account number if the entire internal cost sharing will come from one account and that account is known. Otherwise enter “TBD.”
   vii. Comment: Enter the commitment details.
   viii. Select Add Unit

3. For Third-Party (external) Cost Sharing:
   a. Select Add Organization under Third-Party Cost Sharing (Note: A letter or letters of commitment must be uploaded in Proposal Attachments to document external cost sharing.)
b. Complete the subsequent pop-up screen with the following:
   i. Organization: Find and add the organization. If it is not listed, select “Miscellaneous Sponsors”
   ii. Period Total: Total amount of internal cost sharing for the first period
   iii. Project Total: Total amount of internal cost sharing for the entire project
   iv. Commitment Type: Choose Mandatory for Voluntary
   v. Match Type: Choose Cash Matching or In-Kind
   vi. Account: Enter Account number if the entire internal cost sharing will come from one account and that account is known. Otherwise enter “TBD.”
   vii. Comment: Enter the commitment details and, if Miscellaneous Sponsors was selected, the organization’s contact information
   viii. Select Add Organization
v. F&A Rates (Note: The F&A Rate is required.)
   1. Select the appropriate F&A Rate(s) for the Current Period and the Entire Project.
      (Note: The Entire Project column will auto-populate if there is only one budget period.)
   2. Leave the Use Calculated Values box checked unless you want to manually calculate the 
      Effective Rate.

<table>
<thead>
<tr>
<th>F&amp;A Rates</th>
<th>3.c.v.1.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Current Period</td>
</tr>
<tr>
<td>F&amp;A Rate (1):</td>
<td>57.000%</td>
</tr>
<tr>
<td>F&amp;A Rate (2):</td>
<td>0.000%</td>
</tr>
<tr>
<td>F&amp;A Rate (3):</td>
<td>0.000%</td>
</tr>
<tr>
<td>Use calculated values:</td>
<td>✔</td>
</tr>
<tr>
<td>* Effective Rate:</td>
<td>0.000%</td>
</tr>
</tbody>
</table>

* The Effective Rate is for reporting purposes. To report different rates than those calculated, uncheck the box and enter the percentage values.
vi. Budget Categories (*The fields below are required, as applicable.*)
1. Enter the Sponsor Direct Costs for the Current Period and Entire Project.
2. Enter each Base amount for each F&A Rate for the Current Period and the Entire Project.
3. Leave the Use Calculated Values box checked unless you want to manually calculate the total Indirect Cost (F&A) for the Current Period and the Entire Project.
4. **Do not** enter anything in the Fee fields.
5. Leave the Use Calculated Values box checked unless you want to manually calculate the Total Sponsor Proposed Costs for the Current Period and the Entire Project.

![Budget Categories](image)

vii. Indicate if any Additional Resources will be used *(Note: If you selected an Affiliated Unit, include the details of what resources you will be using.)*

viii. Select Save.
d. Financial Conflicts of Interest in Research *(Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.)*
   i. Complete the applicable COI Disclosures now or at a later time.
   ii. Select Yes to indicate that you have filed or will file the applicable COI Disclosures.
   iii. Select Save.
e. Regulatory Compliance (Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.)

i. Complete Human Subjects field and enter the IRB protocol numbers, if applicable. (Note: A text field will appear for protocol number entry as appropriate.)

ii. Complete the Animal Subjects field and enter the IACUC protocol numbers, if applicable. (Note: A text field will appear for protocol number entry as appropriate.)

iii. Complete the Hazardous Research Materials Section. If no Hazardous Materials, check None.

iv. Select Save.
f. Subrecipients
   i. If there is/are a subrecipient(s)
      1. Enter the subrecipient(s) in the Subcontractor field. If the subrecipient is not listed, select Miscellaneous Sponsor and type the Subcontractor Name and contact information in Submission Notes (last step before routing).
      2. Select Add Subcontractor. (Note: The required documents must be uploaded in the Proposal Attachments tab.)

3. Select Authorize Subcontractor List.
ii. If no subrecipients, select No Subcontractors.
g. Foreign Activity (Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.)
   i. Answer the Foreign Activity questions and complete any associated text fields and drop-down lists. (Note: A text field and/or drop-down list will appear as appropriate.)
      1. If the project will involve export control but the foreign location is unknown at the time of proposal, select To Be Determined for the foreign location. (Note: Select control and the country simultaneously to select multiple countries.)
   ii. Select Save.
i. Special Interest
   i. Answer the questions, entering protocol numbers as applicable. *(Note: A text field will appear for protocol number entry as appropriate.)*
   ii. Select Save.
j. **Additional Questions**
   i. Answer all required Additional Questions (indicated by a red *).
   ii. If this is a Limited Submission, upload the selection notification email in the Proposal Attachments tab.
   iii. Select Save.
k. Location of Sponsored Activities
   i. Indicate all locations where the work under this proposal will be performed and the Percent of Work at each location. Do not enter location of Subawardee(s).
   ii. Select Add. (Note: The location will appear under the appropriate listing. An error will display until the total Location of Sponsored Activities equals 100%.)
I. Proposal Abstract
   i. Indicate if the Proposal Abstract may be made public within UC Davis.
   ii. Enter the Abstract Details. *(Note: The field will accept more than one page of text.)*
   iii. Select the applicable Field of Science (optional).
   iv. Select Save.
m. Proposal Attachments
   i. Upload applicable documents. (*Note: Proposals that include an SVM investigator, must upload the Adjunct SVM Questions form.*)
      1. Browse your computer and select the document to upload.
      2. Select the Document Type.
      3. Select Add.
      4. Repeat the Upload Process until all documents are loaded.
   ii. If no attachments, select No Attachments.
n. Approving Units
   i. Check the Approving Units that auto-populate for accuracy. (Note: Contact ORCayuseHelp@ucdavis.edu if a Unit name is blank. If a Non Admin unit is listed, ensure it is a rollup unit from one of the other units listed. Rollup will display under Role(s).)
   ii. Add other Units if appropriate. (Note: Do not add Sponsored Programs.)
   iii. Re-order the Routing if needed. (Note: If the proposal is being routed to the School of Medicine, reorder it to after all School of Medicine units. If the proposal is being routed to the School of Veterinary Medicine, reorder it to after all School of Veterinary Medicine units.)
   iv. Select Authorize Unit Listing.

---

o. Submission Notes (optional)
   i. Add any notes regarding this proposal in the Notes field, such as:
      1. If you selected “Miscellaneous Sponsors” for either the Sponsor or Subcontractor(s), enter the name, address and contact information (person’s name and phone number) of Sponsors or Subcontractor(s). (Note: You would have selected Miscellaneous Sponsors.)
      2. Note to “See 424 proposal” if a 424 proposal was created. (Note: You will need to list your Sponsored Programs proposal analyst and AOR, if different than the proposal analyst, in the 424 Routing & Approval chain.)
   ii. Select Add Note. (Note: Notes cannot be edited or deleted.)
p. Submit for Routing
   i. Ensure green checkmarks are indicated for all tabs.
   ii. Select Submit for Routing. (Note: The Principal Investigator should complete this step as the proposal can no longer be edited after it is submitted for routing.)
   iii. Select Yes when asked “Are you sure you wish to submit this Proposal Record?”.

4. If you selected Miscellaneous Sponsor for a Subaward, email ORCayuseHelp@ucdavis.edu and request the Sponsor or Subawardee be added.
Submitting an After the Fact Proposal

If you receive a Notice of Award for a proposal that was not submitted through Sponsored Programs, follow the steps above for Creating and Submitting Proposals with the following differences.

1. General Information (Note: All of the fields indicated as required in the previous section are also required for ATF proposals.)
   a. Short Title: Begin with “ATF for Awards” for “ATF for [Analyst Name]” instead of the submission deadline (e.g., “ATF for Awards Obelleiro NIH”).
   b. Select After-the-Fact for the Proposal Type.
   c. Select Paper at the Submission Method.
   d. Provide the Sponsors contact information.
   e. Select Save.
2. Special Interest
   a. Question #5: Answer “Yes”.
   b. Select Save.

3. Proposal Attachments
   a. Upload the Notice of Award and/or draft agreement to fund the project.
Submitting a Pre-Proposal Not Requiring Departmental Approval

If a pre-proposal is required by the Sponsor but does not include a budget or require institutional signature, department level approvals may not be needed. Check with the department contract and grant analyst if unsure.

Start a New Proposal as in the instructions for Creating and Submitting Proposals. However, only complete the following tabs.

1. General Information tab
   a. Proposal Type: Select Preliminary Proposal.

2. Investigators/Research Team tab
   a. Add all Key Personnel and those needing access to edit the Proposal as described in Creating and Submitting Proposals.

3. Attachments tab
   a. Upload the Request for Proposals or Solicitation as described in Creating and Submitting Proposals.

4. Email ORCayuseHelp@ucdavis.edu and request the Proposal be changed to Admin Office in Process status.

Editing a Proposal that has been Submitted for Routing

Once an IPF/Proposal has been Submitted for Routing, it may no longer be edited. If you need to make revisions, please follow the appropriate instructions below.

- Revisions that require re-approval from the IPF Approvers are:
  - Budget Cost Share, Incorrectly Applied (match/in-kind)
  - Effort Changed from Direct Charge to Cost-Share
  - Key-personnel added to the project after routing to SPO
  - Subawards added to the budget after routing to SPO
  - Incomplete IPF/Proposal (refer to Necessary Information and Documents)
  - Other revisions representing a significant change in commitment of departmental and/or campus resources

- Minor revisions that do not require re-approval from IPF Approvers include, but are not limited to:
  - Change in project title
  - Change in project dates
  - Edits to the abstract field
  - Minor budget edits
Requires Re-approval by IPF Approvers

1. Find the Proposal from My Proposals or Proposals in My Unit.
   a. Select the Proposal Number

2. Go to the Notes tab.
   a. Enter Note in the text box that you request this proposal/IPF be returned to Unsubmitted status.
   b. Select Add Note.
c. The added Note will display under Note.

3. Email ORCayuseHelp@ucdavis.edu and request the proposal/IPF be returned to Unsubmitted status, indicating you will need to acquire re-approval by the IPF Approvers.

4. Once the Proposal has been moved back to Unsubmitted status, make necessary edits.

5. Select Submit for Routing.
Does Not Require Re-approval by IPF Approvers

1. Find the Proposal from My Proposals or Proposals in My Unit.
   a. Select the Proposal Number.

2. Go to the Notes tab.
   a. Enter Note in the text box that you request this proposal/IPF be returned to Unsubmitted status
   b. Select Add Note.
3. Email ORCayuseHelp@ucdavis.edu and request the proposal/IPF be returned to Unsubmitted status and state reason, indicating that this does not require re-approval by the IPF Approvers.

4. Make necessary edits in the proposal/IPF.

5. Email ORCayuseHelp@ucdavis.edu and request the proposal be returned to Admin Office in Process status, or Dept Approval In Process status (if the IPF Approval process was incomplete). (Note: Do not Submit for Routing again. If Submit for Routing is selected, all IPF Approvals already obtained will need to be re-obtained).
Certifying/Signing a Proposal


2. Select the PI Certification Inbox.

3. Select the appropriate Proposal Number.
4. Review the Proposal. (*Note: You may view the electronic IPF/proposal or a PDF.*)
5. Select Certify Proposal when ready to “sign”.

6. Review the Certifications.
7. Select Submit Certification.
8. The Proposal will now show as Certified within the Approvals tab.
Checking the Status of a Routed Proposal

Proposal Status Definitions

<table>
<thead>
<tr>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unsubmitted</td>
<td>Not submitted for routing</td>
</tr>
<tr>
<td>Dept Approval in Process</td>
<td>Pending IPF approvals</td>
</tr>
<tr>
<td>Admin Office in Process</td>
<td>Received by SPO but not assigned</td>
</tr>
<tr>
<td>PS Review</td>
<td>Under review by Proposals Analyst</td>
</tr>
<tr>
<td>CS Review</td>
<td>Under review by Awards Analyst</td>
</tr>
<tr>
<td>Proposal Approved</td>
<td>Proposal approved for submission to sponsor</td>
</tr>
<tr>
<td>Reopened</td>
<td>Proposal reopened for department to edit</td>
</tr>
<tr>
<td>Submitted to Sponsor</td>
<td>Proposal has been submitted to the sponsor</td>
</tr>
<tr>
<td>Withdrawn</td>
<td>Proposal withdrawn by the Principal Investigator</td>
</tr>
<tr>
<td>Not Funded</td>
<td>Proposal not funded by the sponsor</td>
</tr>
<tr>
<td>JIT Request Received</td>
<td>SPO or Principal Investigator received a JIT request from the sponsor</td>
</tr>
<tr>
<td>JIT Request Approved</td>
<td>SPO has approved the JIT information provided by the Principal Investigator/department</td>
</tr>
<tr>
<td>JIT Request Unsubmitted</td>
<td>The Principal Investigator decided not to submit JIT information</td>
</tr>
<tr>
<td>Funded</td>
<td>Notice of Award received by the sponsor (This does not mean the award has been executed)</td>
</tr>
</tbody>
</table>

Table 5: Proposal Status Definitions

For Proposals You Initiated

1. From the Proposal Dashboard, open the My Proposals tab.
2. Select the Submitted Proposals tab if the Proposal has already been submitted to SPO.
3. Search for the Proposal by date created, Proposal Number, Principal Investigator’s name, Project Name, Sponsor Deadline or your role.
4. The Proposal Status will display in the last field (to the right).
5. To view the detailed status, open the relevant Proposal by selecting the Proposal Number.

![Image of Proposal Dashboard and search results with steps 1 to 5 highlighted]
6. View the bottom of the Approvals tab.

7. View the Notes tab to see if there are any outstanding items.
For Proposals Initiated by Someone Else

If you are a Principal Investigator or key personnel, you will have access to Proposals started on your behalf. However, if you are not key personnel, this will require the appropriate level of access. See the Role Manager in your department if you need access but do not have it.

1. From the Proposal Dashboard, open the Proposals in My Unit tab
2. Search for the Proposal by date submitted, Proposal Number, Lead Principal Investigator, Project Name, Sponsor, Admin Unit or Status. (*Note: This list may be filtered by multiple fields simultaneously.*)
3. Follow **Steps 4 to 7 above.**
Requesting Advance Accounts

UC Davis policy 230-06 provides Principal Investigator’s the opportunity to plan activities and under certain circumstances, begin a project before actual receipt of the award document. An Advance Account may be established for a project prior to receipt of award only if all of the following criteria are met:

1. There is a compelling reason to expend funds prior to receipt of award.
2. There is verbal or written confirmation to the Office of Research from the sponsor’s contract officer or grants management officer that an award is forthcoming.
3. The requested advance dates fall within the sponsor’s anticipated award period.
4. The guidelines from the sponsor do not prohibit commitment of funds before an award is fully executed.
5. Expenditures will be in accordance with the expected budget categories and limits, sponsor’s guidelines and UC Davis policies and procedures.
6. There are funds available within the department, organized research unit or college/school to cover the expenditures in the event an award fails to materialize.

At a minimum, an alternate account number to be used in the event the project is not awarded and evidence of firm commitment must be included as part of the request. Please note that all compliance items must be received before fund are released. Typically, Advance Account requests will not be approved if the project requires IRB and/or IACUC approvals that are not in place.

Follow the instructions below to request an Advance Account.

Proposal Not Submitted in Cayuse SP

1. If the Proposals in not Cayuse SP, email awards@ucdavis.edu with the following information.
   a. Subject field: CGT # - Advance Account Request
   b. Email body: Include the PI name, project title and primary contact
2. Proceed to the following section once SPO emails you with the Proposal Number.

Proposal Submitted in Cayuse SP

1. From the Proposal Dashboard, go to the My Proposals tab.

![Proposal Dashboard Screenshot]
2. Find the relevant Proposal and select the Proposal Number.

3. Go to the Documents tab and upload the firm commitment of funding, (usually an email or letter from Program Officer) and any required compliance items (i.e., IRB, IACUC, BUA, SCRO, HASTOC, 700U, 800, PHS Annual Disclosure and Training if PHS (or adopted sponsor) funded). (Note: If the Financial Conflict of Interest Disclosers were filed in the eCOI system, they do not need to be attached.).
   a. Browse your computer and select the document to upload.
   b. Select the Document Type.
   c. Select Next.

4. Go to the Advance Account tab.
5. Select Add Advance Account Request to Proposal.
6. Complete the pop-up and select Submit Advance Account for Processing
   a. Enter the following in the Description field.
      i. Sponsor contact
      ii. Department Account Number to be changed in the event the sponsor does not fund the project
      iii. Amount of request
      iv. Project for requested funds
      v. Justification for request
   b. Indicate if the funding is federal or federal flow through.
   c. Indicate if a New or Supplemental account will be needed.
   d. Provide the contact information for whom should be contacted if additional information is needed.
   e. Select Submit Advance Account Request for Processing.
Awards

Quick Reference

Note: If you receive a Notification of Award (NOA) and SPO is not copied, email that NOA to awards@ucdavis.edu and reference the original Proposal Number and the Principal Investigator’s name.

1. View the status of an Award for a Proposal you initiated or on which you are key personnel.
2. View the status of an Award for a Proposal initiated by a Principal Investigator or another department administrator in your unit.

[Diagram of a user interface for viewing award status]
Submitting Award Modifications and Supplemental Proposals

If an Award modification requiring approval by the department and/or dean is received a new Internal Processing Form (IPF) must be submitted. Such modifications include, but are not limited to:

1. Change in Principal Investigator
2. Change in Administrative Unit of the award

Follow the steps above for Creating and Submitting Proposals with the following differences.

1. General Information (Note: Variation from Creating and Submitting Proposals)
   a. Short Title: Begin with [Action] instead of the submission deadline (e.g., “Change in PI” [Principal Investigator Last Name] [Sponsor]).
   b. Select the appropriate Proposal Type.
   c. Select Save.
Checking the Status of an Award

Award Status Definitions

<table>
<thead>
<tr>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending</td>
<td>The award is not fully executed</td>
</tr>
<tr>
<td>Active</td>
<td>The award has been fully executed and routed to Contracts and Grants Accounting</td>
</tr>
</tbody>
</table>

Table 6: Award Status Definitions

For Proposals You Initiated

1. From the Award Dashboard, open the My Awards tab.
2. Search for the Award by Project Number, Project Title, Lead Principal Investigator, Sponsor, etc. (Note: Filter this list by multiple fields simultaneously.)
3. The Award status is shown to the far right side of the screen.
4. Open the relevant Award by selecting the Award Number.
5. View the Notes tab to see if there are any outstanding items.
6. View the Documents tab to see the Award documents.

For Proposals Initiated by Someone Else

If you are a Principal Investigator or key personnel, you will have access to Proposals started on your behalf and the associated Awards. However, if you are not a Principal Investigator this will require the appropriate level of access. See the Role Manager in your department if you need this access but do not have it.

1. From the Award Dashboard, open the Awards in My Unit tab.
2. Follow Steps 2 to 6 above.
Subawards/Subcontracts

Quick Reference

1. View the status of a Subaward/Subcontract for a Proposal you initiated or on which you are key personnel.
2. View the status of a Subaward/Subcontract for a Proposal initiated by a Principal Investigator or another department administrator in your unit.

Checking the Status of a Subaward/Subcontract

Subaward/Subcontract Status Definitions

<table>
<thead>
<tr>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Awaiting) Admin Dept</td>
<td>Action is required by the Principal Investigator /department</td>
</tr>
<tr>
<td>(Awaiting) Award Mgr/Analyst</td>
<td>Action is required by the Award Analyst</td>
</tr>
<tr>
<td>(Awaiting) Subcontractor</td>
<td>Action is required by the Subcontractor/Subawardee</td>
</tr>
<tr>
<td>Fully Executed</td>
<td>The Subaward/Subcontract is fully executed and has been sent to CGA</td>
</tr>
</tbody>
</table>

Table 7: Subaward Status Definitions
For Proposals You Initiated

1. From the Award Dashboard, open the My Awards tab.
2. Go to the Active Projects tab.
3. Search by Project Number, Project Title, Lead Principal Investigator, Sponsor, etc. (Note: Filter this list by multiple fields simultaneously.)
4. Select the Project Number associated with the Subaward/Subcontract.

5. Go the Subcontracts tab.

6. Select the Subcontract Number to view Subaward/Subcontract details.
   a. The Status is shown in the Subcontracts list.
7. View the Notes section for status updates from the Subawards team, including the name of the assigned analyst.

8. Go to the Documents tab to retrieve the fully executed Subaward document(s).
For Proposals Initiated by Someone Else

If you are a Principal Investigator or key personnel, you will have access to Proposals started on your behalf and the associated Awards. However, if you are not a Principal Investigator this will require the appropriate level of access. See the Role Manager in your department if you need this access but do not have it.

1. From the Award Dashboard, open the Awards in My Unit tab.

2. Follow steps 2 to 7 above.
Approving Proposals and Endorsing Advance Accounts

- Users with the IPF Approver role in Cayuse SP may approve Proposals in their unit.
- Users with the Pre-Award Spending Approver role may endorse Advance Account requests for Proposals in their unit.

Approving Proposals in Your Unit

1. Go to the Unit Approval Inbox.

2. Select the Proposal Number to open the Proposal.
   - note: PI certification
3. Review the Proposal using one of the following options:
   a. View the IPF (Internal Processing Form/Proposal); OR
   b. View as the Proposal as a PDF.

4. Once you have reviewed the Proposal, either:
   a. Select Authorize Proposal to approve and select Submit Authorization;

OR

   b. Select Reject Proposal to return it to the initiator. (Note: This is the method for returning a Proposal for correction.)
i. Enter the reason for rejecting the proposal.
ii. Select Submit Rejection.
Endorsing Advance Accounts (Pre-Award Spending) in Your Unit

Note: Pre-Award Spending Approvers must also have Proposal Data Access to view the relevant Proposal attachments.

- Schools and colleges other than School of Veterinary Medicine
- School of Veterinary Medicine

Schools and Colleges other than the School of Veterinary Medicine

1. Go to the Advance Accounts Inbox.

2. Find the Proposal under To Be Authorized and select Manage.

3. View the PDF Proposal.
4. View Proposal Attachments to ensure evidence of firm commitment was provided.
   a. Go to Proposals in My Unit.

   b. Find and open the relevant Proposal. (Note: Proposal Number is in the PDF of the Proposal – Step 3 above.)
c. Go to the Attachments tab and find the relevant document

5. Go to the Advance Account Inbox and select Manage next to the relevant Advance Account Request.

6. Select View/Print Advance Account Request.
7. Review the Description of Assurances of Funding in the PDF to ensure necessary information, including an account number for the alternate source of funds, was provided.

8. From the Advance Account Inbox:
   a. Select Manage.
b. Select the appropriate Status from the dropdown.
   i. Authorized (Will Route to SPO).
   ii. Rejected (Principal Investigator will receive an email notification).

   ![Select Status Image]

   8.b.

   ![Submit Status Image]

   8.c. Select Submit.
School of Veterinary Medicine

- Department/Unit Pre-Award Spending Approver
- Dean’s Office Pre-Award Spending Approver

Department/Unit Pre-Award Spending Approver

1. Go to the Advance Accounts Inbox.

2. Find the Proposal under To Be Authorized and select Manage.

3. View the PDF Proposal.
4. View Proposal Attachments to ensure evidence of firm commitment was provided.

a. Go to Proposals in My Unit.

b. Find and open the relevant Proposal. (Note: Proposal Number is in the PDF of the Proposal – Step 3 above.)
c. Go to the Attachments tab.
d. Find the relevant document

5. Go to the Notes tab.
   a. Enter Note indicating that the Advance Account Request is endorsed by the department in the text field.
   b. Select Add Note.
Dean’s Office Pre-Award Spending Approver

1. Go to the Advance Accounts Inbox.

![Proposal Dashboard]

2. Find the Proposal under To Be Authorized and select Manage.

![To Be Authorized]

3. View the PDF Proposal.

![PDF Proposal]
4. Ensure department level endorsement has been provided.
   a. Go to Proposals in My Unit.
   b. Find and open the relevant Proposal. (Note: Proposal Number is in the PDF of the Proposal – Step 3 above.)
c. Go to the Notes tab and look for relevant note.

5. Go to Advance Account Inbox and select Manage next to the relevant Advance Account Request.

6. Select View/Print Advance Account Request.
7. Review the Description of Assurances of Funding in the PDF to ensure necessary information, including an account number for the alternate source of funds, was provided.

8. From the Advance Account Inbox:
   a. Select Manage.
b. Select the appropriate Status from the dropdown.
   i. Authorized (Will Route to SPO).
   ii. Rejected (Principal Investigator will receive an email notification).

c. Select Submit.
Resources

1. UC Davis Cayuse Landing Page: http://spark.ucdavis.edu/cayuse/
2. UC Davis Cayuse SP Training Schedule, Materials and User Guides: http://spark.ucdavis.edu/training
3. UC Davis Cayuse SP FAQs: http://spark.ucdavis.edu/spark-faq/#csp
4. UC Davis Cayuse Rapid Response Team (Help Desk): ORCayuseHelp@ucdavis.edu
5. UC Davis Cayuse Listserv: https://lists.ucdavis.edu/sympa/subscribe/spark_info
6. Evisions Support and Community: https://support.evisions.com/