Table of Contents

Getting Started ........................................................................................................................................................................ 1
Is a New Internal Processing Form (IPF) Needed? .............................................................................................................. 3
Investigator/Research Team Role Definitions .................................................................................................................... 5
Requesting Exception to Principal Investigator Status ........................................................................................................... 6
Proposals ................................................................................................................................................................................. 7
Quick Reference .................................................................................................................................................................. 7
Cayuse SP Auto-generated Numbers .................................................................................................................................. 8
Necessary Information and Documents ..................................................................................................................................... 8
Necessary Information .................................................................................................................................................... 8
Necessary Documents ..................................................................................................................................................... 9
Creating and Submitting Proposals ................................................................................................................................... 10
Submitting an After the Fact Proposal .......................................................................................................................... 44
Submitting a Pre-Proposal Not Requiring Departmental Approval .............................................................................. 46
Editing a Proposal that has been Submitted for Routing .................................................................................................. 46
Requires Re-approval by IPF Approvers ........................................................................................................................ 47
Does Not Require Re-approval by IPF Approvers ........................................................................................................... 48
Certifying/Signing a Proposal ............................................................................................................................................ 50
Checking the Status of a Routed Proposal ........................................................................................................................ 52
Proposal Status Definitions ........................................................................................................................................... 52
For Proposals You Initiated ........................................................................................................................................... 52
For Proposals Initiated by Someone Else ...................................................................................................................... 54
Requesting Advance Accounts .............................................................................................................................................. 55
Proposal Not Submitted in Cayuse SP ................................................................................................................................ 55
Proposal Submitted in Cayuse SP ..................................................................................................................................... 55
Checking the Status of an Advance Account Request ...................................................................................................... 58
Awards .................................................................................................................................................................................. 59
Quick Reference ................................................................................................................................................................ 59
Submitting Award Modifications and Supplemental Proposals ....................................................................................... 60
Checking the Status of an Award ...................................................................................................................................... 62
Award Status Definitions .................................................................................................................................................. 62

V17
Updated August 14, 2018
For Users Listed on the People Tab of the Award

For Users with Award Data Access for an Administrative Unit

Subawards/Subcontracts

Quick Reference

Checking the Status of a Subaward/Subcontract

Subaward/Subcontract Status Definitions

For Users on the IPF Investigators/Research Team tab or the People tab of the Award

For Users with Award Data Access

Approving Proposals and Endorsing Advance Accounts

Approving Proposals in Your Unit

Endorsing Advance Accounts (Pre-Award Spending) in Your Unit

Schools and Colleges other than the School of Veterinary Medicine

School of Veterinary Medicine

Resources

V16
Updated July 20, 2018
Getting Started

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

3. Select Cayuse SP (Sponsored Projects).
4. Read the top of each page for instructions or guidance.

<table>
<thead>
<tr>
<th>Start New Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please enter your proposal information in the following pages. Please be as complete and accurate as possible in your entries in order to avoid delays in processing the proposal.</td>
</tr>
<tr>
<td>The <strong>Short Project Title</strong> (below on this page) should be entered as:</td>
</tr>
<tr>
<td>PI preferred submission date (may be different than sponsor due date) in <strong>MMDDYY</strong> format: PI last name; sponsor acronym or short name; optional information</td>
</tr>
<tr>
<td>Example: 10/15/11 Smith NH</td>
</tr>
<tr>
<td>Entries should be made for <strong>Affiliated Unit(s)</strong> if resources outside control of the Admin Unit are proposed to be used, either directly charged or as cost share and those resources are not listed in the budget.</td>
</tr>
<tr>
<td>Any work done at the <strong>Primate Center</strong> must have the Primate Center listed as an Affiliated Unit if it is not the Admin Unit or if Primate Center personnel are not included as investigators in the proposal.</td>
</tr>
</tbody>
</table>

**Warning:** Due to the large number of users in the system, performing a name search without entering at least part of a name will likely lock up your computer.

* Indicates Required Fields
Is a New Internal Processing Form (IPF) Needed?

New Internal Processing Forms (IPFs) are not needed for every post-proposal and post-award action processed by the Sponsored Programs office. New 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 various proposal and award actions and the Proposal Type to be selected on the IPF, if a new IPF is required. *(Note: This table only reflects the relevant actions for the Sponsored Programs office. Other IPF types may be used by other offices.)*

<table>
<thead>
<tr>
<th>Action/ IPF Proposal Type (if applicable)</th>
<th>Definition</th>
<th>Requires New IPF</th>
<th>Comments/Special Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Proposal/New Proposal submitted for the first time. Letters of intent and preliminary proposals that require a budget. Proposal for unfunded research collaboration.</td>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>.</td>
<td></td>
</tr>
<tr>
<td>Revision Proposal/Revision (competitive)</td>
<td>Federal proposal submitted to expand budget or scope of current award. Proposal to be reviewed.</td>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>. Add a Submission Note with the associated Cayuse SP Proposal Number or SPO Number, if the original proposal was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>Competitive Renewal Proposal/Renewal (competitive)</td>
<td>Federal proposal submitted for funds subsequent to current award. Proposal to be reviewed.</td>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>. Add a Submission Note with the associated Cayuse SP Award Number or SPO Number, if the original award was not processed.</td>
</tr>
<tr>
<td>Proposal Resubmission/Resubmission</td>
<td>Federal unfunded proposal submitted again after modification within 37 months of the new application.</td>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>. Add a Submission Note with the associated Cayuse SP Proposal Number or SPO Number, if the original proposal was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>Preliminary Proposal that does not require a budget)/ 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>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>. Add a Submission Note indicating SPO approval/ institutional endorsement is not required by the sponsor.</td>
</tr>
<tr>
<td>Supplemental Proposal/Supplement</td>
<td>Proposal submitted to continue previously funded project or a proposal for additional funding for work under a current project/award that was not initially anticipated.</td>
<td>Yes</td>
<td>Follow the instructions for <a href="#">creating and submitting a proposal</a>. Add a Submission Note with the associated Cayuse SP Award Number or SPO Number, if the original award was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>Action/ IPF Proposal Type (if applicable)</td>
<td>Definition</td>
<td>Requires New IPF</td>
<td>Comments/Special Instructions</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>------------</td>
<td>-----------------</td>
<td>------------------------------</td>
</tr>
<tr>
<td>Just-in-Time Requests</td>
<td>Requests for additional information from the sponsor after the proposal was submitted and before a funding decision has been made. This may include budget revisions, current and pending information and other requests.</td>
<td>No</td>
<td>Email the request to <a href="mailto:proposals@ucdavis.edu">proposals@ucdavis.edu</a>. Include the request from the sponsor and the Cayuse SP Proposal Number.</td>
</tr>
<tr>
<td>Significant Award 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>
<td>Yes</td>
<td>Follow the instructions for creating and submitting a proposal. Add a Submission Note with the associated Cayuse SP Award Number or SPO Number, if the original award was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>After-the-Fact Proposal/After-the-Fact</td>
<td>One of the following scenarios: 1. PI or department submitted a proposal directly to the sponsor without having SPO review and approval of the submitted proposal. 2. Award is already received and there was no proposal submitted to the sponsor.</td>
<td>Yes</td>
<td>Follow the instructions for submitting an after-the-fact proposal. Select “Paper” as the Submission Method, and enter the Sponsor’s contact information (including email) in the subsequent pop-up field. If the sponsor provided an award agreement (even if a draft), indicate in the short project name of the IPF “ATF for Awards”.</td>
</tr>
<tr>
<td>Incremental Funding</td>
<td>Incremental funds awarded which were included in an already submitted proposal budget (see “New” above). For example, the second year of a five-year award from NIH.</td>
<td>No</td>
<td>Email <a href="mailto:awards@ucdavis.edu">awards@ucdavis.edu</a> with the associated Cayuse SP Award Number or SPO Number, if the original award was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>No-Cost-Extensions (NCEs)</td>
<td>Request to extend the project period of an existing award.</td>
<td>No</td>
<td>Email <a href="mailto:awards@ucdavis.edu">awards@ucdavis.edu</a> with the associated Cayuse SP Award Number or SPO Number, if the original award was not processed in Cayuse SP.</td>
</tr>
<tr>
<td>Initiation of an (outgoing) Subaward</td>
<td>Request to SPO to initiate a subaward from an award.</td>
<td>No</td>
<td>After the Cayuse SP Award has been made Active, email all required materials to <a href="mailto:subawards@ucdavis.edu">subawards@ucdavis.edu</a>.</td>
</tr>
<tr>
<td>Advance Account Requests</td>
<td>Request for pre-award spending.</td>
<td>No</td>
<td>Follow the instructions for requesting an advance account.</td>
</tr>
<tr>
<td>Non-Monetary Agreements (CDS, MOUs, Teaming Agreements)</td>
<td>Request for Confidentiality Agreements, Non-Disclosure Agreements, Memorandum of Understanding, or Teaming Agreements. **For unfunded Research Collaborations see “Actions and Proposal Type New” or, if applicable, “After-the-fact” above.</td>
<td>No</td>
<td>Email <a href="mailto:OR-SPO-Negotiation-Team@ad3.ucdavis.edu">OR-SPO-Negotiation-Team@ad3.ucdavis.edu</a> with the request and associated Cayuse SP Project Number, if applicable.</td>
</tr>
</tbody>
</table>

Table 1: Actions and Proposal Types
<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 Investigator (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 and 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></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></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></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></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></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></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></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></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></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></td>
</tr>
<tr>
<td>Proposal Editor</td>
<td>Grants permissions equal to the Proposal Creator in the SP record.</td>
<td>X</td>
<td></td>
<td></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></td>
<td></td>
</tr>
</tbody>
</table>

Table 2: Investigator/Research Team Role Definitions
Requesting Exception to Principal Investigator Status

Requests for exception to policy on Eligibility to undertake sponsor research and other sponsored activity are now processed through Cayuse SP.

1. Complete and sign Form 105-A: Request for Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity available at: [https://research.ucdavis.edu/resources/forms/#contract-grant-administration](https://research.ucdavis.edu/resources/forms/#contract-grant-administration).
   a. If the exception request is for a student or post-doc, identification of and signature by an Academic Senate member who will have overall responsibility for the project or program is required.

2. Upload the signed form as a Proposal Attachment in the relevant IPF.

3. The unit head’s authorization of the IPF, serves as his/her approval of Form 105-A.

4. The request for exception will be reviewed as part of the SPO review process. If the request is approved, the SPO analyst will upload the approved form as a Proposal Attachment in the relevant IPF.
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 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. Admin Unit: Academic Department or Administrative Unit administering the project and will “credit” for the award funding
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 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. If there are subawards: Budget and budget justification, scope of work, biosketches, subrecipient monitoring form and letters of commitment from the institution(s)
9. Appropriate compliance forms, if not filed online (Note: The eCOI Online Disclosure System may be found at: https://or-forms.ucdavis.edu/)
10. Complete Principal Investigator Exception form, if applicable
11. 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.)

Have all relevant materials open on your computer, so that necessary information may be copied and then pasted into the Internal Processing Form (IPF). You may want to open the grant solicitation (Request for Applications/Proposals, etc.), the project summary, budget spreadsheet and any other project documents you have available.
2. General information tab: Complete all fields for which you have information even if they are not indicated as required with a red *.
   a. Complete the Sponsor Information section.
      i. Sponsor
         1. Select the magnifying glass.

2. Enter part of the sponsor/funding agency name and select Search. (Note: This is the entity to which the application/proposal being submitted.)

3. Select the sponsor/funding agency from the list.
4. If the sponsor is not listed, repeat the search again and select Miscellaneous Sponsor. Provide the sponsor/funding agency’s information in the Submission Notes. Do NOT select No Sponsors.

ii. Funding Opportunity/Sponsor application No.
1. Enter the Funding Opportunity/Sponsor Solicitation Number, if applicable.

<table>
<thead>
<tr>
<th>Sponsor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsor:</strong> NIH National Center for Complementary and Integrative Medicine</td>
</tr>
<tr>
<td>Funding Opportunity/Sponsor application No: RFA-AT-18-003</td>
</tr>
<tr>
<td>Sponsor Program Name:</td>
</tr>
<tr>
<td>Proposal Guideline URL:</td>
</tr>
<tr>
<td>Prime Funding Agency:</td>
</tr>
</tbody>
</table>

iii. Sponsor Program Name
1. Enter the Sponsor’s Program Name, if applicable.

<table>
<thead>
<tr>
<th>Sponsor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsor:</strong> NIH National Center for Complementary and Integrative Medicine</td>
</tr>
<tr>
<td>Funding Opportunity/Sponsor application No: RFA-AT-18-003</td>
</tr>
<tr>
<td>Sponsor Program Name: Discovery and Biological Signatures of Diet-Dependent Inflammation</td>
</tr>
<tr>
<td>Proposal Guideline URL:</td>
</tr>
<tr>
<td>Prime Funding Agency:</td>
</tr>
</tbody>
</table>

iv. Proposal Guideline URL
1. Enter the website address of the proposal guidelines, if applicable. Upload the program guidelines in the Proposal Attachments tab if they are not available online.

<table>
<thead>
<tr>
<th>Sponsor Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsor:</strong> NIH National Center for Complementary and Integrative Medicine</td>
</tr>
<tr>
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</tr>
<tr>
<td>Sponsor Program Name: Discovery and Biological Signatures of Diet-Dependent Inflammation</td>
</tr>
<tr>
<td>Prime Funding Agency:</td>
</tr>
</tbody>
</table>
v. Prime Funding Agency

1. If the proposal is for a program that includes flow-through funding (i.e., the granting agency is different than the sponsor/agency to which the proposal is being submitted is different), search for the prime funding agency (i.e., the agency that will provide funding).

   See the Handbook for Submitting a Proposal as a Subawardee Institution for instructions on submitting proposal when UC Davis is the subawardee.

   b. Complete the General Proposal Information section.

      i. Admin Unit: The Admin Unit is the unit that should get credit for the award.

         1. Select the magnifying glass.

         ![Image of General Proposal Information]

         2. Enter part of the unit’s name or the unit code.

         3. Select the appropriate unit. Do NOT select a unit that includes language such as “(Use 049205)” or “Non Admin Dept). If “Use 049205” is indicated, find and select the unit code listed in the parenthesis (i.e., 049205 is this example).

         ![Image of Select Admin Unit]
ii. **Primary Administrative Contact:** This Primary Admin Contact is the person that the Admin/Reviewing Office (e.g., Sponsored Programs or the UC Davis Health Clinical Trials Contracts Office) should contact regarding the proposal.

1. Select the magnifying glass.

2. Enter the admin contact’s last name and select Search.

3. Select the admin contact’s name.

iii. **Short Project Name**

1. Enter the [Sponsor Deadline or the date Admin Office review is requested by in MM/DD/YY format] [Principal Investigator Last Name] [Sponsor] (e.g., “03/19/2018 Apple NIH”)
iv. Project Start Date and End Dates
   1. Select the Project Start Date calendar icon.
   2. Select the appropriate date.
   3. Repeat steps iv.1.-2. for the Project End Date.

v. Activity Code
   1. Select the hyperlink to select the appropriate Activity Code.
   2. Select the appropriate Activity Code from the list.
vi. **Proposal Type**

1. Select the appropriate Proposal Type from the dropdown list.

   - *Proposal Type:
     - Select One
     - New

   - *Instrument Type:
     - New - Graduate Studies
     - New - University Extension
     - New - UC Davis Health

   - How will this proposal be submitted?
     - Select Submission Method:
       - Non-Competing Continuation/Progress Report
       - Revision (competitive)
       - Renewal (competitive)
       - Resubmission
       - Preliminary Proposal
       - Supplement
       - Amendment
       - Recurring Contract
       - After-the-Fact (ATF)
       - Prior Approval
       - Select One

   - Affiliated Unit(s) (if applicable): Other

   - *Sponsor Deadline: [ ]

   - *Title of Project: [ ]

HINTS AND TIPS

Select New - Graduate Studies for proposals for review by the Office of Graduate Studies, New - University Extension for proposals for review by University Extension or New – UC Davis Health for proposals for review by the UC Davis Health Clinical Trials Contracts Office. View the [Handbook for Department Industry-Funded Clinical Trial Staff, Principal Investigators and Approvers](#) for instructions on submitting proposal for industry-sponsored clinical trials.

vii. **Instrument Type**

1. Select the appropriate Instrument Type from the dropdown list.

   - *Instrument Type:
     - Select One
     - Grant

   - How will this proposal be submitted?
     - Select Submission Method:
       - Contract
       - Cooperative Agreement
       - Non Monetary Agreement

   - Affiliated Unit(s) (if applicable): Other

HINTS AND TIPS

This information is available in the program guidelines.
viii. Submission Method
   1. Select the method in which the proposal will be submitted to the sponsor/funding agency from the dropdown list.

   ![Submission Method Selection]

   If the IPF is being created for an award that has already been received and for a proposal that was submitted to the sponsor/funding agency without Admin/Reviewing Office review, select Paper as the Submission Method and refer to the instructions for submitting After-the-Fact proposals.

ix. Affiliated Units
   1. Select the hyperlink to add any Affiliated Units that need to approve the proposal but do not have involved Key Personnel.

   ![Affiliated Unit Selection]
2. Select the box next to the appropriate unit(s) from the list.
3. Select Select.

<table>
<thead>
<tr>
<th>Unit</th>
<th>Unit Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physics</td>
<td>040270</td>
</tr>
<tr>
<td>Plant Biology</td>
<td>011020</td>
</tr>
<tr>
<td>Plant Pathology</td>
<td>030300</td>
</tr>
<tr>
<td>Plant Sciences</td>
<td>030003</td>
</tr>
<tr>
<td>Police</td>
<td>060075</td>
</tr>
<tr>
<td>Policy Institute</td>
<td>061835</td>
</tr>
<tr>
<td>Political Science</td>
<td>040280</td>
</tr>
<tr>
<td>Primate Center (Use 061196)</td>
<td>072096</td>
</tr>
<tr>
<td>Primate Center Special Rate (Non Admin Dept)</td>
<td>061095</td>
</tr>
<tr>
<td>Psychology</td>
<td>040290</td>
</tr>
<tr>
<td>Public Service Research</td>
<td>061818</td>
</tr>
<tr>
<td>Public Service Research (Use 061818)</td>
<td>11</td>
</tr>
<tr>
<td>Real Estate Services</td>
<td>054011</td>
</tr>
</tbody>
</table>

4. Sponsor Deadline
   1. Sponsor Deadline date
      a. Select the calendar icon.
      b. Select the appropriate date.

5. Submission Deadline time
   a. Enter the time due in Pacific Time, 24-hour format (i.e., 5:00 pm = 17:00) and select Pacific.
6. Postmark or Receipt
   a. Select if the deadline is based on postmark date or receipt date (by the sponsor) for the proposal.
xi. Project title
   1. Enter the title of the project being submitted to the sponsor.

   **Title of Project:**
   - Analysis of Diet-Derived Microbial Metabolites

   b. **Do NOT Pair with 424.**
   c. Select Save.

   d. After saving the General Information page, tabs will appear to the left. *(Note: A green checkmark will display when each section is complete.)*
3. Complete the Investigators/Research Team tab: Add all Key Personnel and others that need edit access to the Proposal or view access to the Award.

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.

a. Add the Lead Principal Investigator.
   i. Select the magnifying glass next to Last Name.
   ii. Enter the Lead Principal Investigator’s last name and select Search.
   iii. Select the Lead Principal Investigator’s name.
If the investigator is not listed and the person has a UC Davis appointment, email ORCayuseHelp@ucdavis.edu for assistance.

If the investigator is not listed and does not yet, but will, have a UC Davis appointment either:

- Initiate, complete and process a Temporary Affiliates Form (https://itcatalog.ucdavis.edu/service/online-taf-temporary-affiliate-form) for the new appointed individual OR
- 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.

iv. Unit: The unit selected here should be the unit associated with the Lead Principal Investigator’s effort.
   1. Ensure the Unit listed is correct. If not correct, select the appropriate unit. Do NOT select a unit indicated as “Non Admin/Home” or that includes the language “(Use ######)”. Instead, find and select the unit code listed in parenthesis.

Add Personnel Information

* Last Name: Apple
* First Name: Charlie
Phone: 
Email: kobelleiro@ucdavis.edu
* Person Months: 

* Unit: Med. Int. Med. Cardiovascular
* Role: Lead Principal Investigator
* Sponsored Effort %: 
Cost Shared Effort %: 
Allocation of Credit %: 

Save Personnel

v. Person Months
   1. Add the correct person months. Select the Hyperlink to access a person months calculator based on the appointment type base (9, 11 or 12 months) and the percent effort committed to the project.
vi. Sponsored Effort:
   1. Enter the percent effort being direct charged to the proposal. 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.

![Add Personnel Information]

vii. Cost Shared Effort
   1. Enter the percent effort being cost shared, if applicable.

![Add Personnel Information]

viii. Allocation of Credit
   1. Enter the % allocation of credit for the Lead Principal Investigator. Allocation of Credit must equal 100% total for all key personnel. This data may be used for ad hoc reports requested by campus leadership regarding investigator productivity. If left blank, the Admin/Reviewing Office will distribute credit equally among all key personnel.

ix. Select Save Personnel.
x. Saved Personnel will display under List of Personnel.

b. Add other Key Personnel and those needing edit access to the proposal/IPF and/or view access to any resulting award(s) following the steps above and also selecting the appropriate role(s). (See Table 2 for Role definitions.)
4. Complete the Budget tab. A complete budget form is required for mandatory reporting requirements.

*Hints and Tips*

Use information from your completed proposal budget spreadsheet. Unselect Use Calculated Values if there is more than a $1 difference in the budget category amounts and manually enter the amounts from the budget spreadsheet.

Consider using one of the OR Budget Templates to prepare the project’s detailed budget.

a. **Budget Form: Select Summary. Do NOT select Detailed.**

<table>
<thead>
<tr>
<th>Overview</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead PI: Charlie Apple</td>
</tr>
<tr>
<td>Sponsor: NIH National Center for Complementary and Integrative Health</td>
</tr>
<tr>
<td>* Budget Form: Summary</td>
</tr>
</tbody>
</table>

Select one of the above:
- Summary: View direct costs, indirect rates, bases and totals (default setting)
- Detailed: View specific budget categories, indirect rates, bases and totals
- Autofill: View detailed budget data autofilled from 424 proposals, if paired

b. **# of Budget Periods**
   1. Select the total # of Budget Periods for the entire project period. Generally, this is the number of years of the total project.

c. **Current (First) Period Start and End dates**
   1. Select the calendar icon next to Start.
   2. Select the appropriate date.
   3. Select the calendar icon next to End.
   4. Select the appropriate date.

<table>
<thead>
<tr>
<th># of Budget Periods: 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Dates:</td>
</tr>
<tr>
<td>Current Period</td>
</tr>
<tr>
<td>Start</td>
</tr>
<tr>
<td>End</td>
</tr>
<tr>
<td>Entire Project</td>
</tr>
</tbody>
</table>

\* (512 chars max)

\* Indicates Required Fields

\* # of Budget Periods:

\* Start:

\* End:

Comments:

\* Indicates Required Fields

\* Does this proposal include funds or contributions in the form of required cost sharing or required cash matching?

For internal Cost Sharing, please select “Int Cost Sharing” as the unit, enter the total amount of all internal cost sharing for the Period and then for Project Total and upload the cost sharing commitment letter(s) in Proposal Attachments.

\* Yes  \* No

i. **Complete the cost sharing section, if applicable. If no cost sharing, skip to step 4.e.**

   1. Select Yes if the proposal includes cost sharing.
ii. Enter Internal Cost Sharing, if applicable. Create one entry that includes ALL internal cost sharing commitments. Letter(s)/email(s) from the person(s) authorized to commit the cost sharing resources must be included as Proposal Attachments.

1. Select Add Unit.

2. Complete the subsequent pop-up screen as follows.
   a. Unit field: Search for and add “Intl Cost Sharing”. Do NOT add each unit providing cost sharing.
   b. Period Total: Enter the total amount of internal cost sharing for the first period.
   c. Project Total: Enter the total amount of internal cost sharing for the entire project
   d. Commitment Type: Select Mandatory for Voluntary
   e. Match Type: Choose Cash Matching or In-Kind
   f. Account: Enter Account number if the entire internal cost sharing will come from one account and that account is known. Otherwise enter “TBD.”
   g. Comment: Enter the commitment details.
   h. Select Add Unit.

Sponsored Programs has prepared guidance for submitting proposals/IPFs that involve cost sharing.
3. Enter Third-Party (external) Cost Sharing, if applicable. Create separate entries for each cost sharing commitment. Letter(s) from the person(s) authorized to commit the cost sharing resources must be included as Proposal Attachments.
   a. Select Add Organization.

   b. Complete the subsequent pop-up screen as follows.
      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
e. Complete the F&A Rates section.
   i. Select the F&A Rates for the Current Period. If there is only one budget period, the Entire Project period fields will auto-populate with the entries in the Current Period fields.
   ii. Select/click in the F&A Rate (1) field. *At least one F&A Rate must be provided.*

<table>
<thead>
<tr>
<th>F&amp;A Rates</th>
<th>Current Period</th>
<th>Entire Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>F&amp;A Rate (1):</td>
<td>0.000 %</td>
<td>0.000 %</td>
</tr>
<tr>
<td>F&amp;A Rate (2):</td>
<td>0.000 %</td>
<td>0.000 %</td>
</tr>
<tr>
<td>F&amp;A Rate (3):</td>
<td>0.000 %</td>
<td>0.000 %</td>
</tr>
</tbody>
</table>

*Use calculated values: ✔*  

*Effective Rate: 0.000 % 0.000 %*

*The Effective Rate is for reporting purposes. To report different rates than those calculated, uncheck the box and enter the percentage values.*

iii. Select the appropriate F&A rate from the list.

![Budget F&A Rate Chart for UC Davis](chart.png)

*If the F&A Rate is not listed or no F&A is allowed by the sponsor, enter the correct rate and select Change Rate. Upload documentation regarding the sponsor’s F&A (indirect) Rate policy as a **Proposal Attachment**.*
iv. Repeat step 4.e.i.-i.v. for the Entire Project period fields.

v. Leave the Use Calculated Values box checked unless you want to manually calculate the Effective Rate.

---

**F&A Rates**

<table>
<thead>
<tr>
<th></th>
<th>Current Period</th>
<th>Entire Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>F&amp;A Rate (1):</td>
<td>57.00%</td>
<td>57.00%</td>
</tr>
<tr>
<td>F&amp;A Rate (2):</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
<tr>
<td>F&amp;A Rate (3):</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

* Effective Rate: 57.00% 57.00%

---

vi. Leave the Use Calculated Values box checked unless you want to manually calculate the Effective Rate.

---

**Budget Categories**

<table>
<thead>
<tr>
<th></th>
<th>Current Period</th>
<th>Entire Project</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SPONSOR DIRECT COSTS:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$250,000</td>
<td>$1,000,000</td>
<td></td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (1):</td>
<td>$226,000</td>
<td></td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (2):</td>
<td>$     0</td>
<td></td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (3):</td>
<td>$     0</td>
<td></td>
</tr>
</tbody>
</table>

**INDIRECT COSTS (F&A):** $128,250 $513,000

---

**Hints and Tips**

The Sponsor Direct Costs field should include the total direct costs being requested from the sponsor/funding agency. If all Direct Costs are subject to indirects, the Sponsor Direct Costs and Base for F&A Rate (1) field will be identical.
v. Review the Total Proposed Sponsor Costs section for accuracy. If the amount differs from your budget spreadsheet by more than one dollar, uncheck Use calculated values and enter the correct amounts.

<table>
<thead>
<tr>
<th>Use calculated values: ✓</th>
<th>TOTAL SPONSOR PROPOSED COSTS: $378,250</th>
<th>$1,513,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Internal Cost Sharing: $30,000</td>
<td>$60,000</td>
</tr>
<tr>
<td></td>
<td>Third-Party Cost Sharing: $20,000</td>
<td>$40,000</td>
</tr>
<tr>
<td></td>
<td>TOTAL PROJECT COSTS: $428,250</td>
<td>$1,613,000</td>
</tr>
</tbody>
</table>

h. Complete the Additional Resources section. If you selected an Affiliated Unit, include the details of what resources you will be using.
   i. If the project does not involve resources outside of the admin unit.
      1. Select No.
      2. Select Save.

ii. If the project involves resources outside of the admin unit.
    1. Select Yes.
    2. Select the types(s) of resources being used.
    3. Enter an explanation of the use of the resources.
    4. Select Save.
5. Complete the Financial Conflicts of Interest in Research tab.

Some department contract and grant staff leave this page/tab for the Lead Principal Investigator to complete. However, the Lead Principal Investigator agrees to the accuracy and completeness of the IPF, including this tab, when certifying the IPF.

The disclosure must be filed before the Admin/Reviewing Office will approve the proposal for submission the sponsor/funding agency.

a. Review the various disclosures to determine which need to be completed by the investigators.
b. Select Yes to indicate that the investigators have filed or will file the applicable COI Disclosures in the e-COI system.
c. Select Save.

![Financial Conflicts of Interest in Research - Disclosure Process](image)

1. Determine What Disclosure(s) You Must File: Your funding source and type of research determines which disclosure (if any) you must submit.

- Privately-Funded Research
- PHS-Funded Research
- Gov’t-Funded Research (Non-PHS)
- Department Funded
- Human Subject Research

2. Complete and File Your Disclosure - Click here

Indicates Required Fields

*3. Please answer Yes or No to the items below:

- I understand that I must complete the financial conflict of interest disclosure requirements for this project, as applicable.
- I certify that all necessary human subject, animal subject, and/or Environmental Health & Safety approvals have been obtained prior to conducting work that requires such approvals.
- I certify that funds will be available to cover the expenditures incurred for this project in the event that the Sponsor does not provide the funds requested.

- Yes
- No

Select Save. Reset
6. Complete the Regulatory Compliance tab.

   Some department contract and grant staff leave this page/tab for the Lead Principal Investigator to complete. However, the Lead Principal Investigator agrees to the accuracy and completeness of the IPF, including this tab, when certifying the IPF.

   a. Complete Human Subjects section.
      i. If there are no Human Subjects, select No.

         ![Human Subjects section]

         * Does this research involve HUMAN SUBJECTS?
           [ ] Yes [ ] No

         * IRB applications must be submitted via IRBNet. Have you submitted an application to the IRB for this project?
           [ ] Yes [ ] No

         Please provide your IRBNet ID(s) below:

         List the application numbers below: (Note: Use commas to separate values)

         123456, 234567

   b. Complete the Animal Subjects section.
      i. If there are no vertebrate animals involved, select No.

         ![Animal Subjects section]

         * Does this research involve VERTEBRATE ANIMALS?
           [ ] Yes [ ] No
ii. If there are vertebrate animals, select Yes, enter the IACUC protocol/application numbers and the species involved in the project. Pending may be entered for the IACUC protocol/application numbers if those have not been provided at the time of submission for Admin/Reviewing Office review.

![Animal Subjects](image)

* Does this research involve **VERTEBRATE ANIMALS**?
  - Yes
  - No

* Has your research team submitted an application to the IACUC for this project?
  - Yes
  - No

* List the application numbers below:
  - 123456

* List the species involved with this project:
  - bovine

![Hazardous Research Materials](image)

**Does the proposal involve research with any of the following? (please check all that apply)**

- [ ] If "Biohazardous Materials/Select Agents and Toxins" is selected, then a Biological Use Authorization (BUA) is likely required. Please provide the **BUA number** in the Proposal Attachment section.
- [ ] If you would like more information on Biological Use Authorizations (BUAs), please visit the [UC Davis BUA webpage](https://www.ucdavis.edu/rssr/bua) or contact the Biological Safety Office at biosafety@ucdavis.edu
- [ ] Please note that the review process performed by the Biological Safety Office and the Institutional Biosafety Committee can take up to eight weeks.

- Biohazardous Materials/Select Agents and Toxins (recombinant or synthetic nucleic acids, infectious agents, and human or non-human primate cells, tissues or body fluids) ([link](https://www.selectagents.gov/SelectAgentsToxicitiesList.html))
- Chemical Hazards (flammable, pyrophoric & water reactive chemicals, oxidizing/reducing agents, poisons, carcinogens, etc.)
- Human Anatomical Tissues or Specimens (requires preapproval from Anatomical Materials Review Committee (AMRC))
- Nanomaterials
- Radioactive Materials
- None

Select Save.
7. Complete the Subrecipients tab.
   a. If no subrecipients, select No Subcontractors.
   
   ![Subcontractor Form]

   b. If there is/are a subrecipient(s)
      i. Select the magnifying glass. Search for and select 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. Do NOT select No Sponsors.
      ii. Select Add Subcontractor. (Note: The required documents must be uploaded in the Proposal Attachments tab.)

![Subcontractor Form]

1. Select Authorize Subcontractor List.

![List of Subcontractors]

![Authorize Subcontractor List]
8. Complete the Foreign Activity tab.

Some department contract and grant staff leave this page/tab for the Lead Principal Investigator to complete. However, the Lead Principal Investigator agrees to the accuracy and completeness of the IPF, including this tab, when certifying the IPF.

a. Answer the Foreign Activity questions and complete any associated text fields and drop-down lists.
   i. 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.)

b. Select Save.
9. Complete the Special Interest tab.
   a. Answer the Special Interest questions and complete any associated text fields and drop-down lists.
   b. Select Save.
10. Complete the Additional Questions tab.
   a. Answer all required Additional Questions (indicated by a red *).
   b. Answer questions 6 and 7 if applicable.
   c. Select Save.
11. Complete the Location of Sponsored Activities tab. Include all locations of where work will be performed on the prime project. Do NOT include Subaward locations.

a. Campus Locations: Add all UC Davis buildings that will be used in the Campus Location field. Add the building and percent of work at that location, then select Add.

b. Use of ORUs, SRPs, Core Facilities and ANR: Select each relevant location that will be used from the drop down list, add the % of work at that location, then select Add.

c. Domestic Off-Campus Location: Select the state of each domestic off-campus location, add the % of work at that location, then select Add.

d. Out-of-Country Locations: Select the country of each foreign off-campus location, add the % of work at that location, then select Add.

Hints and Tips: The location will appear under the appropriate listing. An error will display until the total Location of Sponsored Activities equals 100%.
   a. Indicate if the Proposal Abstract may be made public within UC Davis.
   b. Enter the Abstract Details.
   c. Select Save.
13. Complete the Proposal Attachments tab.
   a. Upload applicable documents. *(Note: Proposals that include an SVM investigator, must upload the Adjunct SVM Questions form.)*
      i. Browse your computer and select the document to upload.
      ii. Select the Document Type.
      iii. Select Add.
      iv. Repeat the Upload Process until all documents are loaded.

   b. If no attachments, select No Attachments.
14. Complete the Approving Units tab. This is the list of units the IPF/proposal will route to for approval.
   a. Check the Approving Units that auto-populate for accuracy. 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).
   b. Re-order the Routing as appropriate.
      i. Move any units listed a rollup from another unit (parent unit) after the indicated unit (child unit).
      ii. If the Admin Unit is in the School of Medicine, list “School of Medicine – 43” after all units other than “Intl Cost Sharing – 99999”.
      iii. If the Admin Unit is in the School of Veterinary Medicine, list “School of Veterinary Medicine – 50” after all units other than “Intl Cost Sharing – 99999”
      iv. If “Intl Cost Sharing – 99999” is listed, move that unit to last.
   c. Select Authorize Unit Listing.

Keep as many units listed as the same number as possible to avoid approval delays. However, units that rollup from another unit (parent units) must be listed after the child units.

The Role(s) column indicates why a unit is listed. Use this to determine where corrections should be made and/or the appropriate order.

If there are any errors, review your entries on the:

- General tab: Admin Unit and Affiliated Unit/s
- Investigators/Research Team tab: Home unit of all personnel listed unless they are indicated with either the role of Other Participant – No Routing or Proposal Editor
- Budget tab: Internal Cost Sharing – If there is any internal cost sharing, do not list the individual unit providing the cost sharing. See the Budget tab instructions for more information.

Contact ORCayuseHelp@ucdavis.edu for assistance if needed.
15. Complete the Submission Notes tab, if applicable.
   a. Add any notes regarding this proposal in the Notes field, such as:
      i. 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).
      ii. Note to “See 424 proposal” if a 424 proposal was created. You will need to list your Sponsored
          Programs proposal analyst and AOR, if different than the proposal analyst, in the 424 Routing &
          Approval chain.
      iii. If a different Primary Administrative Contact should be included for the Award phase, add a
           Note such as “X should be listed as the Primary Administrative Contact on the Project.” This is
           the person that will be contacted on Award matters.
   b. Enter the note in the text field.
   c. Select Add Note. Notes cannot be edited or deleted

16. Submit for Routing
   a. Ensure green checkmarks are indicated for all tabs other than Submission Notes if not applicable.
   b. Select Submit for Routing. (Note: The Principal Investigator should complete or approve this step as the
      proposal can no longer be edited after it is submitted for routing.)
c. Select Yes when asked “Are you sure you wish to submit this Proposal Record?”.

17. Review the Approvals tab for accuracy.
   a. Ensure at least one name is listed under Authorizing Person(s) for all units.
   b. Contact ORCayuseHelp@ucdavis.edu if any errors are noticed.
18. If you selected Miscellaneous Sponsor for a Subaward, email ORCayuseHelp@ucdavis.edu and request the Subawardee be added, providing the subaward institutional name, contact name, mailing address, website and indirect cost (F&A) policy.
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. Complete the General Information tab. 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.
2. Special Interest
   a. Question #5: Answer “Yes”.

3. Proposal Attachments
   a. Upload the Notice of Award and/or draft agreement to fund the project.
   b. Document Type: Select Draft Agreement.
   c. Select Add.
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:
  o Budget Cost Share, Incorrectly Applied (match/in-kind)
  o Effort Changed from Direct Charge to Cost-Share
  o Key-personnel added to the project after routing to SPO
  o Subawards added to the budget after routing to SPO
  o Incomplete IPF/Proposal (refer to Necessary Information and Documents)
  o 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:
  o Change in project title
  o Change in project dates
  o Edits to the abstract field
  o 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.

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

1. Go to the PI Certification Inbox.

2. Select the appropriate Proposal Number.

![Image of PI Certification Inbox]

Below is a list of proposals that require your certification as Lead or Principal Investigator.

<table>
<thead>
<tr>
<th>Date Submitted</th>
<th>Proposal No.</th>
<th>Project Name</th>
<th>Sponsor</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/24/2017</td>
<td>17-0170</td>
<td>Test kmo</td>
<td>Almond Board of California (Federal)</td>
<td>04/24/2017</td>
</tr>
</tbody>
</table>
3. Review the Proposal. *(Note: You may view the electronic IPF/proposal or a PDF.)*
4. Select Certify Proposal when ready to “sign”.

5. Review the Certifications.
6. Select Submit Certification.
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>Submitted for routing and pending IPF (departments and or deans, if applicable) 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 was rejected by an IPF approver and may need revision</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.
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.
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. Document Type: Other
   c. Select Next.

4. Go to the Advance Account tab.
5. Select Add Advance Account Request to Proposal.
6. Complete the pop-up form.
   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. (Note: The Advance Account request will route to the Pre-Award Spending Approver of the administrative unit. After endorsement by the Pre-Award Spending Approver, the request will be assigned to an analyst in SPO. The analyst will contact you if further information is needed and/or to inform you of the approval or rejection of your request.)
Checking the Status of an Advance Account Request

1. From the Dashboard, find the applicable proposal.

2. Go to the Advance Account tab.
3. The status will display on the list.
   a. Submitted: Awaiting the first authorization from the department and/or dean.
   b. Authorized: Authorized by the department and/or dean, if applicable and may be assigned to analyst in SPO for review.
   c. Funded: Approved (SPO will also email you when/if the request is approved.)
   d. Deleted: Not approved or withdrawn.
   e. Rejected: Rejected by the department and/or dean.
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.
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 (Note: Identify the new Lead Principal Investigator as the Lead Principal Investigator on the Investigators/Research Team tab.)
2. Change in Administrative Unit of the award (Note: Identify the new administrative unit as the administrative unit on the General Information tab.)
3. Change in cost-share commitments

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

1. Specific instructions for the General Information tab. (Note: Variation from Creating and Submitting Proposals)
   a. Short Title: Begin with [Cayuse SP Project #, if applicable] [Action] instead of the submission deadline (e.g., “A18-1234 Change in PI Apple USDA).
   b. Select the appropriate Proposal Type.

### General Proposal Information

* Admin Unit

* Primary Administrative Contact:

Project No:

* Short Project Name: A18-1234 Change in PI Apple USDA (internal reference name)

* Project Start Date:  

* Project End Date:  

* Activity Code:  

* Proposal Type: Amendment  

* Instrument Type: Select One
2. Complete the Budget tab as follows.
   a. If the cost-share comments have changed, enter the revised cost-share commitments.
   b. For changes in principal investigator, administrative unit or sponsor, only enter the required fields on the Budget tab. The amounts should be 0.
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 Users Listed on the People Tab of the Award

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.

![Award Dashboard Screenshot](image-url)
5. View the Notes tab to see if there are any outstanding items.

6. View the Documents tab to see the Award documents.
For Users with Award Data Access for an Administrative Unit

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 Users on the IPF Investigators/Research Team tab or the People tab of the Award

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 to 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 Users with Award Data Access

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.

<table>
<thead>
<tr>
<th>Proposal Dashboard</th>
<th>My Awards</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Awards in My Unit</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>certifications/approvals</th>
<th>My Awards</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI Certification Inbox</td>
<td></td>
</tr>
<tr>
<td>Unit Approval Inbox</td>
<td></td>
</tr>
</tbody>
</table>

2. Follow steps 2 to 8 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. The Admin/Reviewing Office will not assign the proposal for review until all IPF Authorizations and PI Certification have been obtained.

<table>
<thead>
<tr>
<th>Prop No.</th>
<th>PI</th>
<th>Unit</th>
<th>Project Name</th>
<th>Sponsor</th>
<th>Deadline</th>
<th>PI Cert</th>
</tr>
</thead>
<tbody>
<tr>
<td>17-0169</td>
<td>Chen</td>
<td>Med Int Med - Cenl Medicine</td>
<td>Targeted Suppression on Inflammatory asthma</td>
<td>NH/Miscellaneous Agencies Departments</td>
<td>04/03/2017</td>
<td>No</td>
</tr>
<tr>
<td>17-0161</td>
<td>Baynes</td>
<td>Med. Neurology</td>
<td>053117 Baynes NH - CMY - Do not use</td>
<td>NH National Institute of Neurological Disorders Stroke (NINDS)</td>
<td>06/05/2017</td>
<td>No</td>
</tr>
<tr>
<td>17-0157</td>
<td>Bucidor</td>
<td>Animal Science</td>
<td>049117 PI Sponsor</td>
<td>DoC National Oceans and Atmospheric Administration (NOAA)</td>
<td>05/01/2017</td>
<td>No</td>
</tr>
<tr>
<td>17-0143</td>
<td>Chen</td>
<td>Med. Cancer Center Adma</td>
<td>cancer stuff and things</td>
<td>NH/Miscellaneous Agencies Departments</td>
<td>03/31/2017</td>
<td>No</td>
</tr>
<tr>
<td>17-0129</td>
<td>Wintemute</td>
<td>Med. Emergency Medicine</td>
<td>Wintemute NJ SPO#201703096</td>
<td>Stanford University</td>
<td>03/06/2017</td>
<td>Yes</td>
</tr>
<tr>
<td>17-0128</td>
<td>Strong</td>
<td>Sociology</td>
<td>PACOTE</td>
<td>NH/Miscellaneous Agencies Departments</td>
<td>03/30/2017</td>
<td>No</td>
</tr>
</tbody>
</table>
3. Review the Proposal using one of the following options:
   a. View the IPF form as submitted or as a PDF.

4. Once you have reviewed the Proposal, either:
   a. Authorize (approve) the proposal:
      i. Select Authorize Proposal.
      
      ![Proposal Routing Status]

   ii. Select Submit Authorization.

   ![Proposal Authorization]
b. Reject or return the proposal to the PI for revision:
   i. 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.

![Table]

   b. Select the appropriate Status from the dropdown.
      i. Authorized (Will Route to SPO).
      ii. Rejected (Principal Investigator will receive an email notification).

![Dropdown]

   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. Follow steps 1-7 above.
2. 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.
2. Find the Proposal under To Be Authorized and select Manage.

3. View the 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.

6. Select Manage next to the relevant Advance Account Request.
7. Select the appropriate Status from the dropdown.
   a. Authorized (Will Route to SPO).
   b. Rejected (Principal Investigator will receive an email notification).
   c. Select Submit.
Resources

1. **UC Davis School of Medicine Cayuse SP Guidelines**
2. **Handbook for Department Industry-Funded Clinical Trial Staff, Principal Investigators and Approvers**
3. **UC Davis Cayuse Landing Page**
4. **UC Davis Cayuse SP Training Materials and User Guides**
5. **UC Davis Cayuse SP FAQs**
6. **UC Davis Cayuse Rapid Response Team (Help Desk): ORCayuseHelp@ucdavis.edu**
7. **UC Davis Cayuse Listserv**
8. **Cayuse Support and Community**
9. **Training Sessions Offered by Sponsored Programs**