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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).
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>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 creating and submitting a proposal. 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 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.</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 creating and submitting a proposal. 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>Letter of Intent and Preliminary Proposal/Preliminary Proposal</td>
<td>Letters of intent and preliminary proposal for new funding if the sponsor requires a budget amount, agreement to terms and conditions at that phase/stage or institutional approval, endorsement or signature.</td>
<td>Yes</td>
<td>Follow the instructions for submitting a letter of intent or pre-proposal. Include only the Lead Principal Investigators on the Investigators/Research Team tab.</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 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>Just-in-Time Requests/Not Applicable</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>Do not submit an IPF. 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>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>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>Do not submit an IPF. 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>Do not submit an IPF. 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>Do not submit an IPF. 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>Do not submit an IPF. 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>Do not submit an IPF. 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
# 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 Investigator (PD/PIs), this would be the contact PI.</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.</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.</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
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.
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 obtain the appropriate signatures on Form 105: Request for Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity.
   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.
   b. If Form 105 is submitted after routing the IPF for approval, the relevant unit head/department chair and dean, if applicable, must also sign the form.

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

3. 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. Refer to our Proposal Preparation and Submission webpage for more information on the proposal process, what is required and resources.

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).
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 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

At a minimum, the following documents must be provided for an IPF/Proposal to be assigned to a Sponsored Programs’ analyst for review. To ensure a full review by Sponsored Programs, submit the following documents at least five (5) business days before the sponsor deadline.

1. Completed and full routed IPF, including:
   a. Lead Principal Investigator and co-Principal Investigator Certifications
   b. All relevant unit head and dean, if applicable, Authorizations.
2. 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)
3. Budget spreadsheet, strongly recommended even when not required by the sponsor. (Note: Consider using our Budget templates.)
4. Proposal budget justification, strongly recommended even when not required by the sponsor.
5. If there are subawards: Budget and budget justification, scope of work, biosketches, subrecipient monitoring form and letters of commitment from the institution(s)
6. Other internal document, as applicable
   a. Upload the Form 105: Request for Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity before submitting for routing to avoid needing to obtain signatures from the unit head and dean, if applicable.

Other proposal materials may be provided after assignment, if necessary. Refer to our Proposal Preparation Checklist to ensure all items are provided in the proposal package.
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.

         ![Sponsor Information Field](image)

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

         ![Enter a keyword](image)

         3. Select the sponsor/funding agency from the list.

         ![Organization Search](image)

         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.

         ![Tips and Tricks](image)

         The Sponsor is the agency/organization to which UC Davis is applying. If the funding is flow-through, such as when UC Davis is a Subrecipient, the Prime Applicant should be listed in the Sponsor field.
ii. Funding Opportunity/Sponsor application No.
   1. Enter the Funding Opportunity/Sponsor Solicitation Number, if applicable.

   ![Sponsor Information Table]

   - Sponsor: NIH National Center for Complementary and Int
   - Funding Opportunity/Sponsor application No: RFA-AT-18-003
   - Sponsor Program Name:
   - Proposal Guideline URL:
   - Prime Funding Agency:

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

   ![Sponsor Information Table]

   - Sponsor: NIH National Center for Complementary and Int
   - Funding Opportunity/Sponsor application No: RFA-AT-18-003
   - Sponsor Program Name: Discovery and Biological Signatures of Diet-Dep
   - Proposal Guideline URL:
   - Prime Funding Agency:

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.

   ![Sponsor Information Table]

   - Sponsor: NIH National Center for Complementary and Int
   - Funding Opportunity/Sponsor application No: RFA-AT-18-003
   - Sponsor Program Name: Discovery and Biological Signatures of Diet-Dep
   - Prime Funding Agency:
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). Do NOT enter anything in the Prime Funding Agency field if the proposal is not for follow-through funding. The Sponsor and Prime Funding Agency should never be the same entity.

   ![Sponsor Information](image)

   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.

   ![General Proposal Information](image)

   Click Here to Choose Activity Code
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).

![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.

![General Proposal Information]

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

![Enter the last name of the person you are looking for:]

Last Name Only: [admin]

[Search] [Cancel]
3. Select the administrative contact’s name.

People Search (choose the person by clicking the name)

Admin. Amie

The Primary Administrative Contact does not automatically have access to the Proposal/IPF. If they need access to the Proposal/IPF, add them to the Investigators/Research Team tab with the role of Proposal Editor or Other Participant – No Routing.

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. See Table 3 for Activity Code definitions.

2. Select the appropriate Activity Code from the list.

<table>
<thead>
<tr>
<th>Activity Code (choose an Activity code by clicking the name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Basic Research</td>
</tr>
<tr>
<td>02 Applied Research</td>
</tr>
<tr>
<td>03 Developmental Research</td>
</tr>
<tr>
<td>04 Other Research</td>
</tr>
<tr>
<td>05 Public Service</td>
</tr>
<tr>
<td>06 Other Service</td>
</tr>
<tr>
<td>07 Clinical Trial - Investigator Initiated</td>
</tr>
<tr>
<td>08 Clinical Trial - Sponsor Initiated</td>
</tr>
<tr>
<td>09 Equipment</td>
</tr>
<tr>
<td>10 Infrastructure/Capital Improvement</td>
</tr>
<tr>
<td>11 Fellowship</td>
</tr>
<tr>
<td>12 Training/Instruction</td>
</tr>
<tr>
<td>13 Material Transfer</td>
</tr>
<tr>
<td>14 Other</td>
</tr>
</tbody>
</table>
vi. **Proposal Type**
   1. Select the appropriate Proposal Type from the dropdown list.

   ![Proposal Type Dropdown](image)

   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 Dropdown](image)

   This information is usually in the program and/or other sponsor guidelines. The *Proposal Preparation and Submission Toolkit* includes detailed explanations of the different instrument/award types.
viii. Submission Method
   1. Select the method in which the proposal will be submitted to the sponsor/funding agency from the dropdown list.

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.

   2. Select the box next to the appropriate unit(s) from the list.
   3. Select Select.
x. Sponsor Deadline
   1. Sponsor Deadline date
      a. Select the calendar icon.
      b. Select the appropriate date.

2. Submission Deadline time
   a. Enter the time due in Pacific Time, 24-hour format (i.e., 5:00 pm = 17:00) and select Pacific.

3. 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.

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.

![Hints and Tips]
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.
   
   ![Add Personnel Information]

   ii. Enter the Lead Principal Investigator’s last name and select Search.

   ![Enter the last name of the person you are looking for:]

   Last Name Only: apple
   
   ![Search and Cancel]

   iii. Select the Lead Principal Investigator’s name.

   ![People Search (choose the person by clicking the name)]

   Apple, Charlie  
   Appleby, Abigail J  
   Applegarth, Tawnya F  
   Applegate, Elizabeth A  
   Applegate, Patricia Jm  
   Applegate, Richard Lee  
   Applewhite, Riley J  
   OVCIR - Sponsored Programs  
   Hopland Research&Extension Ctr  
   VMTH:LA ICU/ISO  
   Nutrition  
   Med: Div Of Internal Med (Use the PI's Int Med Dept.)  
   Med: Anesth & Pain Medicine (Use 049158)  
   Visitor Services
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-tof-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.**

<table>
<thead>
<tr>
<th>Add Personnel Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Last Name: Apple</td>
</tr>
<tr>
<td>* First Name: Charlie</td>
</tr>
<tr>
<td>Phone:</td>
</tr>
<tr>
<td>Email: <a href="mailto:kobelleiro@ucdavis.edu">kobelleiro@ucdavis.edu</a></td>
</tr>
<tr>
<td>* Person Months:</td>
</tr>
</tbody>
</table>

| * Unit:                     |
| * Role: Lead Principal Investigator |

| * Sponsored Effort %:      |
| Cost Shared Effort %:      |
| Allocation of Credit %:    |

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 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.

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

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.

### List of Personnel:

<table>
<thead>
<tr>
<th>Person</th>
<th>Unit</th>
<th>Role</th>
<th>Sponsored Effort</th>
<th>Cost Shared Effort</th>
<th>Total Effort</th>
<th>Allocation of Credit</th>
<th>Person Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charlie Apple</td>
<td>Med. Int. Med.-Cardiovascular (042205)</td>
<td>Lead Principal Investigator</td>
<td>3%</td>
<td>1%</td>
<td>4%</td>
<td>100%</td>
<td>0.27</td>
</tr>
</tbody>
</table>

**Hints and Tips**

Effort and Allocation of Credit serve different purposes. Effort is the amount of effort a person is committing to this project. Sponsored Effort is effort directly charged to the grant/sponsor. Cost Shared Effort is effort the person is committing to this project but that is not being charged to the grant. This effort is being cost-shared by the University. Person Months is the amount of effort a person is committing to the grant, but in Person Months format instead of as a percentage.

b. Add other UC Davis 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.

### Add Personnel Information

- **Last Name:** Admin
- **First Name:** Alice
- **Unit:** Med. Int. Med.-Cardiovascular
- **Role:** Lead Principal Investigator
- **Sponsored Effort %:** 3%
- **Cost Shared Effort %:**
- **Allocation of Credit %:**

**List of Personnel:**

<table>
<thead>
<tr>
<th>Person</th>
<th>Unit</th>
<th>Role</th>
<th>Sponsored Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charlie Apple</td>
<td>Med. Int. Med.-Cardiovascular (042205)</td>
<td>Lead Principal Investigator</td>
<td>3%</td>
</tr>
</tbody>
</table>

**Save Personnel

**Hints and Tips**

Check the list for accuracy and make any needed corrections. Errors on this page may cause the IPF to get “stuck in routing” and not arrive in the Sponsored Programs office for review.
4. Complete the Budget tab. A complete budget form is required for mandatory reporting requirements.

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.

Refer to our Preparing a Proposal Budget Toolkit for instructions on preparing a proposal budget, and 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>Indicates Required Fields</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
</tr>
<tr>
<td>Lead PI: Charlie Apple</td>
</tr>
<tr>
<td>Sponsor: NIH National Center for Complementary and Integrative Health</td>
</tr>
<tr>
<td><strong>Budget Form</strong> 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
   i. 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
   i. Select the calendar icon next to Start.
   ii. Select the appropriate date.
   iii. Select the calendar icon next to End.
   iv. Select the appropriate date.

<table>
<thead>
<tr>
<th># of Budget Periods: 4</th>
<th>Project Dates:</th>
<th>Current Period</th>
<th>Entire Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/01/2020</td>
<td>01/01/20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2020</td>
<td>12/31/23</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Enter information for the first proposed budget year/period of the project in the Current Period fields. Enter the cumulative information for the entire project in the Entire Project fields.
d. Complete the cost sharing section, if applicable. If no cost sharing, skip to step 4.e.
   i. Select Yes if the proposal includes cost sharing.

   ![Cost Sharing](image)

   i. 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. View [Guidance for submitting proposals/IPFs that involve cost sharing](#) to determine the necessary documentation.

   1. Select Add Unit.

   ![Internal Cost Sharing](image)

   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. Doing so will require the unit heads of each of the unit entered units to authorize the IPF, in addition to provide an email or letter of commitment as described in the [guidance for submitting proposals/IPFs that involve cost sharing](#).** Additionally, it may also cause the IPF to get “stuck in routing” and not arrive at the Sponsored Programs office for review and approval.
      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.
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.** View Guidance for submitting proposals/IPFs that involve cost sharing to determine the necessary documentation.
   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 “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>0.00%</td>
<td>0.00%</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>

Use calculated values: [ ] *Effective Rate:* 0.00% 0.00%

*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.

---

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.

<table>
<thead>
<tr>
<th>F&amp;A Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Period</strong></td>
</tr>
<tr>
<td>F&amp;A Rate (1):</td>
</tr>
<tr>
<td>F&amp;A Rate (2):</td>
</tr>
<tr>
<td>F&amp;A Rate (3):</td>
</tr>
<tr>
<td>* Effective Rate:</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.

f. Complete the Budget Categories section. **The fields below are required, as applicable.**

i. **Sponsor Direct Costs**
   1. Enter the total sponsor direct costs for the Current/first Period.
   2. Enter the Direct Cost base for each F&A Rate. If there is only one F&A Rate, only enter an amount in the Base for F&A Rate (1) field.
   3. Repeat for the Entire Project totals.

ii. 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.

iii. **Do not** enter anything in the Fee fields.

iv. 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.

<table>
<thead>
<tr>
<th>Budget Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Period</strong></td>
</tr>
<tr>
<td><strong>SPONSOR DIRECT COSTS:</strong></td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (1):</td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (2):</td>
</tr>
<tr>
<td>BASE for F&amp;A Rate (3):</td>
</tr>
<tr>
<td><strong>INDIRECT COSTS (F&amp;A):</strong></td>
</tr>
<tr>
<td><strong>FEE:</strong></td>
</tr>
</tbody>
</table>

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

g. 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.
6. Complete the Regulatory Compliance tab.
   a. Complete Human Subjects section.
      i. If there are no Human Subjects, select No.
      ii. If there are Human Subjects, select Yes and enter the IRB protocol numbers. If IRBNet IDs have not been received, enter “Pending”.

   ![Human Subjects Section](image)

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

   ![Animal Subjects Section](image)
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.

c. Complete the Hazardous Research Materials Section.
   i. Check all that apply or none if there are no hazardous materials involved.
   d. Select Save.
7. Complete the Subrecipients tab.
   a. If no subrecipients, select No Subcontractors.

   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 are listed on the top of this page/tab and must be uploaded in the Proposal Attachments tab.)

1. Select Authorize Subcontractor List.

See our Subawards webpage for details on submitting proposal with subawards.
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.

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the project involve conducting proprietary research with a potential military application?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Does the project involve:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Sending, transporting, transmitting, or carrying any material or equipment outside the United States</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>b. Travel outside the US by any research personnel?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>c. Importing, exporting, or transmitting any goods, services, technology, or funds to or from (or traveling to) any of the countries from the OFAC list (including, but not limited to Iran, North Korea, Syria, Libya, and Cuba)?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Some types of research may have export control implications even if all work is conducted within the U.S.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do you anticipate that the project work may involve:</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>a. Non-commercial encryption or information security software?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>b. Any equipment, technology, materials or software specifically designed, modified, or adapted (even slightly) for a military purpose or that may involve national security?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>c. Any classified materials, equipment, technology or data?</td>
<td>Yes, No</td>
<td></td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
<th>Additional Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are Human Stem Cells involved in this proposal?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Please indicate protocol number:</td>
<td></td>
<td>Maximum number of characters is 1000.</td>
</tr>
<tr>
<td>Does this project involve scuba diving?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Does this project involve operation of a boat?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Does your proposal require acquisition of an HPC cluster or similar servers?</td>
<td>Yes, No</td>
<td>If yes, please add a description on the Budget page under Additional Resources.</td>
</tr>
<tr>
<td>Has the sponsor provided a draft agreement to fund this project?</td>
<td>Yes, No</td>
<td>If so, please attach it on the Proposal Attachments page.</td>
</tr>
<tr>
<td>Does this project involve Sustainability Research?</td>
<td>Yes, No</td>
<td></td>
</tr>
<tr>
<td>Is this proposal an SBIR (Small Business Innovative Research Program) or an STTR (Small Business Technology Transfer Program)?</td>
<td>Yes, No</td>
<td>If yes, please enter the following information.</td>
</tr>
</tbody>
</table>
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.

* 1. I give permission to make this abstract publicly accessible:
   - Yes
   - No

* 2. Abstract:

   In this project, I will...

3. Animal Categories: Please indicate the applicable animal category in this proposal.

   Select one...
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.

Errors on this tab may cause the IPF to get “stuck in routing” and not arrive in the Sponsored Programs office for review. 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. If a budget and/or budget justification is not required by the sponsor, enter a note indicating this so that the IPF/proposal will be assigned to a SPO analyst for review. Failure to upload a budget and/or budget justification and not adding this note will result in the proposal not being assigned to a SPO analyst for review.
      iii. 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.
      iv. 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 is any errors are noticed.

Errors on this page will cause the IPF to get “stuck in routing.” If OR Cayuse Help, just Kassie Obelleiro or nothing is listed under Authorizing Persons email ORCayuseHelp@ucdavis.edu immediately for assistance.

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 Letter of Intent or Pre-Proposal

If a letter of intent (LOI), preliminary proposal (pre-proposal), white paper or other similar application material requires a signature on behalf of an Authorized Representative, a budget amount, and/or requires acceptance of terms and conditions, it must route to SPO via Cayuse SP for review and approval. Note that only the lead PI must be listed on the IPF; co-PIs and other senior/key personnel need not be listed.

To submit a LOI, pre-proposal, concept paper, etc. to Sponsored Programs:

1. Start a New Proposal as in the instructions for Creating and Submitting Proposals with the following differences.
   a. General Information tab
      i. Proposal Type: Select Preliminary Proposal.
   b. Investigators/Research Team tab
      i. Add the Lead Principal Investigator, and those needing access to edit the Proposal (Participant (no routing) or Proposal Editor) as described in as described in Creating and Submitting Proposals. SPO only requires the Lead Principal Investigator to be listed on the investigators/Research Team tab of the IPF for LOIs and other preliminary proposal submissions.
      ii. If the Lead Principal Investigator does not have Principal Investigator status, Sponsored Programs recommend requesting "Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity" at this stage. However, it is not required at this stage.
   c. Complete the remaining Proposal/IPF tabs to the best of your knowledge at the LOI/pre-proposal phase. Refer the Creating and Submitting Proposals section for detailed instructions.
   d. Submission Notes tab
      i. Add a note that no budget or budget justification are required, if applicable.
   e. Select Submit for Touting.
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

Instructions

1. 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. Provide the Lead Principal Investigator’s name and the Cayuse SP Proposal Number.
2. Once the Proposal has been moved back to Unsubmitted status, make necessary edits.
3. If the edits do not require re-approval by the IPF Authorizers, email ORCayuseHelp@ucdavis.edu or your assigned Sponsored Program analysts and inform them that the changed have been made. Do NOT submit for routing again. If Submit for Routing is selected, all IPF Approvals already obtained will need to be re-obtained.
4. If the edits require re-approval by the IPF Authorizers, select Submit for Routing.
Certifying/Signing a Proposal

1. Go to the PI Certification Inbox.

2. Select the appropriate Proposal Number.

3. Select View IPF or the Proposal No. to review the IPF tabs or the PDF icon to view the IPF as 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 If the IPF is an LOI/pre-proposal, this may also mean that the LOI/pre-proposal was invited for full submission</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.

![Proposal Dashboard]

**Below is a list of proposals for units where you have been assigned Proposal Data Access.**

<table>
<thead>
<tr>
<th>Submitted Date</th>
<th>Prop No.</th>
<th>Lead PI</th>
<th>Project Name</th>
<th>Sponsor</th>
<th>Unit</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>17-0196</td>
<td>05/17 Young NCI lime-test</td>
<td>National Cancer Institute (NCI)</td>
<td>Betty Moore Nursing School</td>
<td>Unsubmitted</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17-0104</td>
<td>A/T: 0/020-021- T在接受ing RDNioma</td>
<td>Prostate Cancer Foundation</td>
<td>Betty Moore Nursing School</td>
<td>Unsubmitted</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17-0106</td>
<td>A/T: Gokas minutes for pain control after cosmetic dilation insertion</td>
<td>Society of Family Planning</td>
<td>Betty Moore Nursing School</td>
<td>Funded</td>
<td></td>
<td></td>
</tr>
<tr>
<td>09/17/2017</td>
<td>17-0143</td>
<td>Theresa Harvath</td>
<td>Family Caring Institute</td>
<td>Gordon and Betty Moore Foundation</td>
<td>Proposal Approved</td>
<td></td>
</tr>
</tbody>
</table>

[Copy]
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.

Instructions

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

   ![Proposal Dashboard Image]

2. Find the relevant Proposal and select the Proposal Number.

   ![Proposal Table]

<table>
<thead>
<tr>
<th>Submitted Date</th>
<th>Prop No</th>
<th>Lead PI</th>
<th>Project Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>05/22/2017</td>
<td>17-0043</td>
<td>Kassie Obellero</td>
<td>052217 Obellero NIH TEST</td>
</tr>
<tr>
<td></td>
<td>17-0015</td>
<td>Kassie Obellero</td>
<td>050917 Test KMO</td>
</tr>
<tr>
<td>05/10/2017</td>
<td>17-0014</td>
<td>Kassie Obellero</td>
<td>050917 Test KMO</td>
</tr>
<tr>
<td>05/10/2017</td>
<td>17-0009</td>
<td>Kassie Obellero</td>
<td>050917 Test KMO</td>
</tr>
</tbody>
</table>
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 period 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 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.

Refer to our Awards and Award Modifications webpage for information, instructions and resources related to the awards process at UC Davis.
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**

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin Unit</td>
<td></td>
</tr>
<tr>
<td>Primary Administrative Contact</td>
<td></td>
</tr>
<tr>
<td>Project No:</td>
<td></td>
</tr>
<tr>
<td>Short Project Name:</td>
<td>A18-1234 Change in PI Apple USDA</td>
</tr>
<tr>
<td>Project Start Date:</td>
<td></td>
</tr>
<tr>
<td>Clear</td>
<td></td>
</tr>
<tr>
<td>Project End Date:</td>
<td></td>
</tr>
<tr>
<td>Clear</td>
<td></td>
</tr>
<tr>
<td>Activity Code:</td>
<td>Click Here to Choose Activity Code</td>
</tr>
<tr>
<td>Proposal Type:</td>
<td>Amendment</td>
</tr>
<tr>
<td>Instrument Type:</td>
<td>Select One</td>
</tr>
</tbody>
</table>
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.
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 on which you are key personnel.
2. View the status of a Subaward/Subcontract for a Proposal or Award which you are not listed on the Investigators/Research Team tab but the Admin Unit that you have been given Award Data Access.

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 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.

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.*
3. Review the Proposal using one of the following options:
   a. View the IPF form as submitted or as a PDF.

   ![Proposal Routing Status]

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.*)

   ![Proposal Routing Status]

   i. Enter the reason for rejecting the proposal.
   ii. Select Submit Rejection.

   ![Proposal Rejection]

   *Please enter an explanation*

   Please enter any comments or additional information you might have regarding this proposal.
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).
      
      ![Image of Authorized status selection]
      
      ii. Rejected (Principal Investigator will receive an email notification).
       
      ![Image of Rejected status selection]
       
   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. Training Sessions Offered by Sponsored Programs