Introductions

• We are….
  • Chris Dye-Hixenbaugh, C&G Officer, Proposals
  • Brooke Herevia, C&G Analyst, Proposals
  • Marlene Mooshian, C&G Analyst, Proposals
  • Kassie Obelleiro, Training Officer

• Please tell us…
  • Name and department
  • How many proposals have you submitted?
Learning Objectives

After today’s class you should:

- Understand the proposal process
- Know the information needed to start preparing a proposal
- Know how to submit a proposal to Sponsored Programs
- Know how to check the status of your proposal in Sponsored Programs
- Know what to do when the proposal is approved/ready for submission

Today’s Handouts

- Today’s Presentation
- Activities
  1. Activity Packet/Materials
  2. Activity Workbook
- Reference Packet
- Cayuse SP Quick Start Guide
Class Outline

1. Overviewing of Funding Process at UC Davis
2. Getting Started with a Proposal
   - Activity: Call for Proposals
3. Preparing and Submitting a Proposal to Sponsored Programs
   - Activity: Completing the IPF
4. Sponsored Programs Review
5. Next Steps
6. Resources

Overview of Funding Process at UC Davis

Funding Process at UC Davis
Sponsored Programs Functions
Sponsored Programs Structure
Proposal Process
Proposal Types
Award Types
Funding Process at UC Davis

Investigator has an idea, looks for funding opportunities.

PI writes proposal.

Department helps prepare details.

Proposal sent to Sponsored Programs Office.

Agency reviews proposal & decides whether or not to fund.

Proposition sent through Sponsored Programs to funding agency.

Sponsored Programs reviews for campus compliance, sponsor compliance and terms & conditions.

Sponsored Programs reviews terms and conditions for conformity with UC policy and negotiates as needed.

Department sets up the fund with Contracts & Grants Accounting.

PI conducts research, spends award.

Department monitors expenditures.

Pi uses results to develop future proposals.

Sponsored Programs in association with Contract and Grants Accounting completes close-out.

Award ends & Final Reports are submitted.

What We Do

Sponsored Programs is responsible for reviewing and submitting research proposals, and negotiating and accepting awards on behalf of the Regents. Our office is also responsible for drafting, negotiating, and executing subawards for collaborative research.

Source: Policy #PPM 230-01, PPM 230-02 and UCOP RAO-95-01
https://ucdavispolicy.ellucid.com/documents/view/131
http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/RAO-95-01
Structure of Sponsored Programs

Executive Director
Research Administration

Associate Director
Proposals
Team Leader
CAES, CBS, COE, Law, OR, SDE, UNEX

Negotiation Team
Team Leader
CLS, SOM, SON, SVM

Associate Director
Awards
Team Leader
CAES, CLS, COE

Negotiation Team
Subawards
Team Leader
CBS, OR, SDE, SOM, SON, SVM, UNEX

Proposals Team Assignments

<table>
<thead>
<tr>
<th>Leadership</th>
<th>Proposals</th>
<th>Awards</th>
<th>Subawards</th>
<th>Negotiation Team</th>
<th>Closouts</th>
<th>eRA &amp; Training</th>
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<td>Co-Associate Director</td>
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<tr>
<td>Dye, Heleneau, Chris</td>
<td>(303) 754-7917</td>
<td>(303) 754-4639</td>
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<tr>
<td>Hernandez, Brooke</td>
<td>Department Assignment</td>
<td>College of Agricultural and Environmental Sciences</td>
<td>(303) 754-8192</td>
<td>College of Agricultural and Environmental Sciences</td>
<td>(303) 754-0114</td>
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<tr>
<td>Cordes, Daniel</td>
<td>Department Assignment</td>
<td>College of Agricultural and Environmental Sciences</td>
<td>(303) 752-3767</td>
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<td>Jorge, Evelyn, Ted</td>
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<td>College of Biological Sciences (CBS)</td>
<td>(303) 752-3767</td>
<td>College of Engineering</td>
<td>(303) 752-1079</td>
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<td>Pharm, Liza</td>
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<td>School of Medicine</td>
<td>(303) 752-1720</td>
<td>School of Medicine</td>
<td>(303) 752-5458</td>
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<td>School of Medicine</td>
<td>(303) 752-5458</td>
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SPO Proposals Team Assignments

School of Medicine
Assigned Proposal Analysts

<table>
<thead>
<tr>
<th>Alexis &quot;Alex&quot; Chacon-Munoz</th>
<th>Marlene Mooshian</th>
<th>Eveilla &quot;Eve&quot; Joyce</th>
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<tbody>
<tr>
<td>Med: Ctr for Health &amp; Techn</td>
<td>Med: Cancer Cell Admin</td>
<td>Med: Int. Med: Cardiovascular</td>
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<td></td>
<td>Med: Pharmacy Residency</td>
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Proposal Process Timeline

All proposals are required to come through SPO even if not required by sponsor

- Submit full package to SPO
  - (https://ucdavis.cayuse424.com)

- Submit final science to SPO (if not part of draft package)
- 1 day before or day of deadline
- Submit proposal to Sponsor (SPO submits electronic proposals)
- 2 days before deadline
- At least 5 days before deadline
- 1 day before deadline
Proposal Types

• Letters of Intent (LOIs) and Pre-proposals
  • Must be reviewed and approved by SPO if:
    • Sponsor requires institutional approval; or
    • Sponsor requires agreement to terms and condition at proposal stage; or
    • Detailed budget is required.
• Full Proposal
  • Must be reviewed and approved by SPO

Award Types

• Grants
• Federal Grants
• Cooperative Agreement
• Contracts
• Cost-Reimbursement Contracts
• Fixed Price/Rate Contracts
• Clinical Trial Contracts with Private Pharmaceutical Companies
• UC Multiple Campus Award (MCA)
• Subawards
• Gifts

Learn more about awards:
• Understanding the Awards Process (4/19/18)
Getting Started

Sponsor Guidelines

Tips & Tricks

Sponsor Guidelines

• Call for Proposals/Grant Solicitation/Request for Proposals
  • Specific guidelines

• Other Guidelines
  • Limited Submission: [http://research.ucdavis.edu/proposals-grants-contracts/funding-opportunities/limited-submission](http://research.ucdavis.edu/proposals-grants-contracts/funding-opportunities/limited-submission)
  • Specific Program
  • General Sponsor

• Electronic Submission
  • Cayuse 424 ([https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com)) is required for all Grants.gov submissions except to NSF.
  • ASSIST ([https://era.nih.gov/services_for_applicants/apply/assist.cfm](https://era.nih.gov/services_for_applicants/apply/assist.cfm)) may be used for proposals to NIH.
  • Fastlane/Research.gov ([https://www.fastlane.nsf.gov/fastlane.jsp](https://www.fastlane.nsf.gov/fastlane.jsp)) should be used for proposals to NSF.
Tips & Tricks

• **Do not** memorize requirements
  • Vary by Call for Proposals, Funding Program, Sponsor
• **Read** all guidelines **carefully**
  • Review two to three times
• **Talk to your Proposals Analyst** about complexities
• Create a **timeline**
• Create a **checklist**
• Subscribe to **Sponsor listservs**

Activity 1: Call for Proposals

Instructions
• Work alone or in groups
• Read the RFA
• Complete a subset of questions from the New Proposal Checklist
Preparing and Submitting the Proposal to Sponsored Programs

- Determine PI Eligibility
- Coordinate the Proposal
- Standard Proposal Components
- Develop the Budget
- Using ERA systems

Submitting to Sponsored Programs

Activity 2: Complete the Internal Processing Form

Determine PI Eligibility

- Members of the Academic Senate including emeriti, and appointees in specific series at 50% or more.
- Other may serve only by special exception to policy. Requests for exception are made to SPO by the head of the department to be administering the award.
  - Form 105-A: http://research.ucdavis.edu/resources/forms/#contract-grant-administration
Coordinate the Proposal

- Department contract and grant staff
  - Coordinate tasks with the Principal Investigator
  - Gather necessary information
    - Request for Proposals and other sponsor-specific requirements
    - Subcontract information and documents (*Start early!*)
- Prepare the budget and other proposal components
  - Consistency is critical
  - Do not recycle old documents (budgets, biosketches, etc.)
- Tip: Create a timeline and a checklist

Standard Proposal Components

- Cover Page
- Table of Contents
- Abstract
- Project Description
- Budget & Budget Justification
- Biosketches (CV)
- References
- Facilities & Resources
- Current & Pending Support
- Appendices
- Certifications
- Subcontract/Subaward Documents

Please visit our website for more information: [http://research.ucdavis.edu/proposals-grants-contracts/project-dev/common-proposal-components/](http://research.ucdavis.edu/proposals-grants-contracts/project-dev/common-proposal-components/)
Subcontract/Subaward Components

- Statement of Work
- Budget & Budget Justification
- Letter of Commitment
- Commitment Form
- COI Form, if applicable

Please visit our website for more information: [http://research.ucdavis.edu/proposals-grants-contracts/spo/subawards/](http://research.ucdavis.edu/proposals-grants-contracts/spo/subawards/)

Financial Conflicts of Interest (COI) Disclosures

- Federal
  - Form 800 (also required if human research subjects)
  - Required at time of proposal
  - Electronic FCOI disclosure and mandatory training
- State
  - Form 700-U due at time of award (not proposal)
- Not interchangeable
- File online at: [https://or-forms.ucdavis.edu/](https://or-forms.ucdavis.edu/)

Learn more about COI: [http://research.ucdavis.edu/policiescompliance/coi/](http://research.ucdavis.edu/policiescompliance/coi/)
Other Documents, As Needed

• Letters of Support for cost share commitments, if applicable to sponsor
  • e.g. Cost share is not always allowed
• Limited Submissions selection notification (email)
• Exception to PI Status
• Collaborators and Other Affiliations (aka “Conflict of Interest tables”)

Develop the Budget

• Start early!
• Consider using an OR Budget template: https://docs.or.ucdavis.edu/spo/
• Remember charging practices and indirect costs
  • The Internal Processing Form (IPF) includes current F&A rates
  • Don’t forget the budget justification

Learn more about budgeting:
• Writing a Proposal Budget: Concepts (online course)
• Writing a Proposal Budget: Lab
Electronic Research Administration (eRA) Systems

- Grants.gov submissions
  - Must use Cayuse 424 (https://ucdavis.cayuse424.com) effective December 31, 2017
  - Exceptions:
    - Use NSF FastLane/Research.gov
    - May use NIH ASSIST
    - Use NASA NSPIRES

- Sponsor-specific websites/portals

Learn more about eRA:
- Electronic Research Administration (5/31/18)

Submitting to Sponsored Programs

- Complete the Internal Processing Form (IPF)/Proposal in Cayuse SP (https://ucdavis.cayuse424.com)
  - Select Cayuse SP
  - Do NOT Pair with Cayuse 424 in Cayuse SP
- Include a complete copy of your proposal (may be in Cayuse 424, FastLane/Research.gov, etc.)
  - At a minimum, this includes:
    - Cover Page
    - Budget and Budget Justification
    - Scope of Work
- Submit to Sponsored Programs at least five (5) days before the sponsor deadline
  - Include time to obtain IPF Approvals after submitting for routing
  - SPO will not review without IPF Approval by unit heads
Horror Stories

Activity 2: Internal Processing Form

Instructions:
- Read the write-up from the PI
- Complete the Internal Processing Form (IPF)
  - Select the appropriate F&A Rate(s)
  - Note: This is completed online at [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com)
Sponsored Programs Review

Proposals Team Review

Link to video: https://youtu.be/ubwDL7ZVi3w
Proposal Team Review

Campus Compliance
- Lead PI and Chair/Director Certification; Dean and other department approval, if applicable
- Principal Investigator Eligibility
- Cost-sharing certification, if applicable
- Informed Participation, if applicable
- Final Scope of Work
- Subcontractor information, if applicable
- Budget and Budget Justification
  - Review abstract or Scope of Work to ensure appropriate F&A Rate is applied

Sponsor Compliance
- Principal Investigator and Institutional Eligibility
- Limited Submission Selectee documentation, if applicable
- Human and animal subjects
- BUA approval, if rDNA or pathogenic agents
- Stem Cell Use approval, if applicable
- Human Anatomical Specimen approval, if applicable
- Financial Conflict of Interest
- Sponsor- and program-specific administrative requirements

Proposal Team Review

Terms and Conditions
- Acceptable to The Regents
- Acceptable to the Principal Investigator
Proposal Team Review

Sponsored Programs confirms inclusion of:

- The “science”
  - Project Summary
  - Project Description
- Documents supporting the “science”
  - Current and pending support
  - References Cited
  - Biographical Sketches
  - Appendix information

Sponsored Programs does not review:

- Formatting
  - Table of Contents
  - Page margins
  - Font/pitch
  - Line spacing
  - Characters per inch
  - Page limitations
- Spelling and grammar

Next Steps

What Happens Now?
Check the Status of the Proposal
Who to Contact
What Happens Now?

- IPF Creator and Principal Investigator will receive emails from SPO
- SPO will contact you when the review is complete, more information is needed and when the proposal is ready for submission
- If it’s an electronic submission, make sure you are available

Check the Status

Cayuse SP: [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com) (Select SP)
Who to Contact

• Call your Proposals Analyst
  • Will be in the assignment email
  • On the Proposal Routing screen in SP (listed as the Proposal Specialist)

Resources

• Common Acronyms
• Office of Research Website
• SPO Website
• Guide to Research Compliance
• SPARK Training Website
• Listserv Subscriptions
• Research Administration Forums
• Other Classes
Common Acronyms

- BAA: Broad Agency Announcement
- BUA: Biological Use Approval
- CGA: Contracts and Grants Accounting
- COI: Conflict of Interest
- F&A: Facilities & Administrative rates; also referred to as indirect cost rate (IDC or ICR) or "overhead"
- FOA: Funding Opportunity Announcement
- IACUC: Institutional Animal Care and Use Committee
- IP: Intellectual Property
- IPF: Internal Processing Form in Cayuse SP – This replaces the Data Sheet
- IRB: Institutional Review Board
- PI: Principal Investigator
- RCI: Research Compliance and Integrity
- RCR: Responsible Conduct of Research
- RFA: Request for Applications
- RFP: Request for Proposals
- SBIR: Small Business Innovation Research
- SPO: Sponsored Programs unit in the Office of Research
- STTR: Small Business Technology Transfer

Office of Research Website
http://research.ucdavis.edu/
Sponsored Programs Website
http://research.ucdavis.edu/proposals-grants-contracts/spo

• Contact Us/Find Your Analyst:
  http://research.ucdavis.edu/contact-us/sponsored-programs/
• Submitting a Proposal:
  http://research.ucdavis.edu/proposals-grants-contracts/spo/spo-proposal/
• What does SPO Review:
  http://research.ucdavis.edu/proposals-grants-contracts/spo/spo-proposal/working-spo/#whatwillsporeview

Guide to Research Compliance
• Available at:
SPARK Training Website

http://spark.ucdavis.edu/training/

Office of Research Listserv Subscriptions

- C&G Listserv: https://lists.ucdavis.edu/sympa/info/ovcr-cg

- Other Office of Research Listservs:
  http://research.ucdavis.edu/resources/listserv-subscriptions/
  - Core Facilities Program
  - Digital Millennium Copyright Act (DMCA)
  - Funding
  - Institutional Review Board (IRB)
  - Research Compliance and Integrity (RCI)
  - Responsible Conduct of Research (RCR)
  - Research Unit Lists
Monthly Research Administration Forum

- The fourth Wednesday of each month from 8:30-10am (January – October)
- Located at Sponsored Programs office
- 1850 Research Park Drive, Davis.
- Zoom: https://zoom.us/j/958409717
- Reminders are sent out via the OVCR-cg listserv

**TIP:** CGA, IRB, RCI and other units provide important updates at the Forum too!

Other Classes Offered by SPO

- Sponsored Programs Essentials
- Writing a Proposal Budget: Lab
- Understanding the Award Process
  - April 19, 2018
- Electronic Research Administration
  - May 31, 2018

Visit the SDPS website for a list of dates and times and to sign up. http://sdps.ucdavis.edu/
Q & A

• What questions do you have?

• Don’t forget your evaluation forms!

Thank You!

For research-related announcements, you can now follow SPO on Twitter and YouTube!

@UCDavis
SPO

Sponsored Programs
UC Davis