Proposal Preparation and Submission

Presented by the Office of Research, Sponsored Programs
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Getting Started

There are many phases in the lifecycle of an award. These phases are identified as either “pre-award”, meaning before the award is issued and “post-award”, meaning after the award is issued. In the graphic below, pre-award phases are represented in blue, and post-award phases are represented in purple. These materials focus on the phase “Prepare proposal & submit to Sponsored Programs.”

When beginning a research project, there are four major questions a department administrator may help a researcher to answer:

1. Where can I get funding?
2. What type of funding is available to me?
3. What information do I need to get started?
4. What do I do when my proposal is ready?

This handout assumes that you have answered the first two questions. If you need help finding funding opportunities, there are a variety of resources available. The Office of Research, Interdisciplinary Research Support Unit maintains a list of current Limited Submissions funding opportunities as well as a variety of other mechanisms to find funding opportunities.

On the following pages are descriptions of the types of research or projects a researcher might lead, as well as types of funding a researcher might receive. You may find the materials helpful to reference later.
Types of Research and Other Sponsored Projects

Basic Research
Basic research is research directed toward an increase of knowledge in science. The primary aim of the investigator is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application. The end product is usually a report, although experimental hardware may be involved.

Example:
Exploring alternative means of administering medicine other than by oral consumption. Discovering that medicine can be absorbed through the skin.

Developmental Research
Developmental research is concerned with the systematic use of scientific and technical knowledge in the design, development, testing, or evaluation of potential new products or services.

Example:
Patches are developed and determinations made regarding types of medicines that can be absorbed via the skin, in what volume, etc.

Applied Research
Applied research activity normally occurs after a period of basic research. It attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices, and technologies, and attempts to advance the state of the art.

Example:
Clinical trials are developed to administer nicotine into the human body via patches.

Training
Training is the instruction of University students and/or employees in research or in the techniques or practices pertinent to a particular academic discipline. Training support is generally awarded in the form of individual fellowships (with stipends) or as institutional grants to conduct an entire training program.

Example:
A fellowship might be given to a medical student to specialize in clinical research.
Public Service
Public service funding provides support for the purpose of organizing, establishing, providing, or enhancing the delivery of services to both University and/or non-University audience.

*Example:*
Public service support might include musical or dramatic productions, tutorial services to potential university students, or the rehabilitation of drug users.

Other Sponsored Activities
Other sponsored activities are services/activities that the University provides or makes available which do not fit within the categories of research, training, or public service.

*Examples:*
- Conferences
- Support to organize conferences or symposia
- Travel
- Support to faculty to attend national and international professional meetings and conferences
- Support to fully equip a newly built laboratory

Proposal Types
- Letters of Intent (LOI): Usually only basic information about the project which is used to gauge the size and range of the competition, enabling earlier selection and better management of reviewers.

- Pre-Proposals: Usually only limited information about the project. There are many reasons a sponsor may require a pre-proposal including, reducing the proposers’ effort in proposal preparation when the chance of success is very small and to increase the overall quality of the full submissions.

- Full Proposal: The last step before the sponsor will potentially fund the project. Always needs to be reviewed by SPO before submission.

LOIs and Pre-proposals must be reviewed and approved by SPO when the sponsor requires institutional approval, or the submission includes a detailed budget or we must agree to terms and conditions at the time of pre-proposal/LOI.
Funding Mechanisms

Grant

A grant is a type of financial assistance awarded to conduct research or other programs - usually for the public benefit - as specified in an approved proposal.

When an award is considered to be a grant, it contains the following elements:

- The statement of work allows the PI significant freedom to change the emphasis within the general area of work as the project progresses.
- There is no substantial involvement anticipated between the sponsor and recipient during performance activity.
- Deliverables are minimal, consisting mainly of reports.
- Benefits of the project are to accrue to the nation and the world.

Grants often use the cost-reimbursement method of payment, thus any unexpended balance at the completion of the project is usually returned to the sponsor.

Federal Grant

Most grant proposals to the federal government are submitted via Grants.gov. As of December 31, 2017, all Grants.gov submissions from UC Davis must be submitted through Cayuse 424 unless the sponsor mandates a different submission method or the proposal is being submitted to the National Institutes of Health (NIH) or National Science Foundation (NSF). The NIH Application Submission System & Interface for Tracking (ASSIST) may be used for NIH proposals. All proposals to the National Science Foundation should be submitted through NSF Fastlane. Do not submit NSF proposals using Cayuse 424.

Most grants from the federal government are governed by Federal Demonstration Partnership (FDP) terms and conditions. The FDP was established to increase research productivity by streamlining the administrative process and minimizing the administrative burden on principal investigators while maintaining effective stewardship of federal funds. Awards under the FDP often allow automatic carry forward of unexpended balances.

Grants from the federal government are funded via Letter of Credit (LOC). A LOC enables UC Davis to draw down advances of cash from the U.S. treasury concurrently with disbursements and as frequently as such disbursements are made by the federal agency.

Cooperative Agreement

A cooperative agreement is similar to a grant, except that the sponsor’s staff may actively participate in the programmatic design and, once awarded, may continue to actively participate or have substantial involvement in project activities.

Contracts

A contract is an agreement to acquire services that primarily benefit the sponsor. For an award to be considered a contract, it normally must contain all of the following elements:
• Detailed financial and legal requirements included with a specific statement of work.
• A specific set of deliverables and/or reports to the sponsor.
• Separate accounting procedures.
• Legally binding contract clauses.

Cost-Reimbursement Contracts
Under cost-reimbursement contracts, the sponsor agrees to give UC Davis actual dollars in an amount exactly equal to what UC Davis spends on allowable costs. If there is a limit to the contract amount, UC Davis must notify the sponsor if it appears all funds will be spent prior to completion of the work. The sponsor may decide to add more money to allow completion of the approved scope of work.

Because the work is usually associated with the PI’s “reasonable efforts”, it poses the least risk to the University and, therefore, is the most desirable method of contracting. Unexpended balances are returned to the sponsor.

Fixed Price/Rate Contracts
Under a fixed price/rate contract, UC Davis agrees to provide a service or deliver a product at a fixed payment amount regardless of our costs. If the project costs more than what was proposed and agreed to, UC Davis will have to absorb the additional costs. On rare occasions, the University may be able to renegotiate the costs.

Note that fixed price/rate agreements place the University at a greater risk. Any unexpended balance at the conclusion of a fixed price/rate contract remains with the University.

Clinical Trial Contracts with Private Pharmaceutical Companies
A clinical trial combines research with the testing of practical applications in biomedicine. Clinical trials/studies are usually funded by pharmaceutical companies seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA).

Clinical trial agreements are usually fixed-rate agreements.

Human subject clinical trial contracts with private pharmaceutical companies are handled by UC Davis Health Systems Contracts. All other clinical trials are handled by OR-Sponsored Programs.

UC Multiple Campus Award (MCA)
A MCA (sometimes called a Campus Subaward) is a form of a sub award in that UC Davis transfers a portion of the research or substantive effort in the prime award to another UC campus or division, such as UC Agriculture and Natural Resources (UC ANR).

The fund assignment for UC intercampus awards are based on the prime sponsor.

UC campuses are reimbursed monthly via Intercampus Transfer of Funds (TOF).
Subawards (outgoing)

The outgoing subaward transfers a portion of the research or substantive effort included in UC Davis’ prime award to another institution or organization.

Subawards are written under the authority of a prime award and are consistent with the terms and conditions of the prime award, grant, contract, or cooperative agreement. Sponsored Programs should have, at a minimum, the following information from a subawardee:

- Scope of Work
- Budget and Budget Justification
- Letter of Commitment
- Other sponsor documents as required

Use our Quick Guide to Subawards and visit our Subawards webpage to learn more about subawards at UC Davis.

Subaward (incoming)

Subaward in this context refers to when UC Davis is a sub-recipient in another institution’s proposal. For example, USC (agency or funding organization) is preparing a proposal in response to a funding opportunity from NIH (prime), and has invited UC Davis (sub-recipient) to participate in a substantive way.

UC Davis must prepare and submit a “mini proposal” to the organization submitting the prime proposal. The proposal must be routed through Sponsored Programs with internal forms and include, at a minimum:

- Scope of Work
- Budget and Budget Justification
- CVs of key personnel
- Other sponsor documents as required

Sponsored Programs will also need a copy of the prime sponsor guidelines as well as any communication from the proposing organization. The final proposal package will include a letter of institutional support from UC Davis.

Gift

A “gift” is defined as a unilateral transfer of money, property, or other assets by a donor to the recipient for the recipient’s ownership and use. The donor makes no claims on the recipient in connection with the gift. Gifts are processed and managed through the UC Davis’ Office of University Development. Gifts specifically for the UC Davis Health System are processed and managed by UCDHS Health Sciences Development.

Gifts normally have the following characteristics:

- The gift allows the Principal Investigator (PI) significant freedom to change emphasis within a general area of work.
- No deliverables are involved.
- Separate accounting procedures are not required.
- The donor has no audit rights.
Sponsor Types
Each sponsor type is subject to different policies and regulations that impact the format and content of a proposal. The descriptions below will provide a general understanding of what to watch for in proposals to these various types of sponsors.

Federal
All federal agencies must comply with the requirements of the U.S. Office of Management and Budget (OMB) in developing the grant/contract policies incorporated in the awards issued to institutions such as UC Davis.

While each federal sponsor must adhere to OMB circulars, OMB permits each sponsor to implement the requirements that best suit the sponsor’s needs, which may result in differences from sponsor to sponsor. Also, a single sponsor may have multiple variations of a policy to cover specific grant programs, so it is important to read the sponsor specific guidelines and policies for proposal budget and/or re-budgeting limitations and prepare your budget accordingly.

The OMB Circular that most directly impacts grant proposal budget preparation is OMB Circular A-21, “Cost Principles for Educational Institutions.”

What to be aware of when preparing a grant proposal to a federal sponsor
- UC Davis’ federally-negotiated Facilities & Administrative (F&A) rate is used unless a non-standard rate is explicitly stated in the program announcement or guidelines. For example, for on-campus organized research between 07/01/2016 and 06/30/2018 the negotiated F&A rate is 57%. Learn more about Indirect Cost Rates at UC Davis.
- Budget items must be reasonable, allowable, allocable, and consistent
- Most Federal proposals are submitted electronically via Grants.gov

What to be aware of when preparing a contract proposal to a federal sponsor:
- Legally binding contract clauses may be included in a Request for Proposals (RFP) and must be reviewed prior to submission. Contact the Sponsored Programs Office ASAP regarding a federal contract proposal.
Non-Profit

Non-profit sponsors, such as private foundations, are not restricted by the OMB circulars and are free to implement their own policies - creating a wide range of regulatory and procedural compliance requirements. Charges not allowable on federal proposals may be allowable on foundation proposals; however, the reverse may also be true. Many non-profit sponsors reflect the general principles set out in federal guidelines.

What to be aware of when preparing a proposal to a non-profit sponsor

Different F&A rates
UC Davis may accept reduced F&A rates based on the non-profit, philanthropic status as documented in the organization's written policy. This waiver must be processed by a Sponsored Programs analyst and approved by the University of California Office of the President (UCOP).

F&A bases can vary
Total Direct Cost (TDC) doesn’t always mean there are no exclusions before calculating F&A. For example, one foundation might allow 9% of TDC, excluding fringe benefits, while another might allow 11% of TDC on all budget elements.

Allowable/unallowable budget categories
The proposal instructions may limit expenses that could be allowed by another sponsor, or vice versa.

Prior approval is often required when modifying line items in a budget after an award is issued
It is important to read the proposal guidelines and sponsor policies for budget and/or re-budgeting limitations and prepare your budget accordingly to minimize the need for post-award re-budgeting.

May include cost-sharing requirements
While the University discourages voluntary cost-sharing, some non-profit sponsors encourage, or mandate, that cost-sharing be included.

May have direct/total cost caps
For example, a non-profit sponsor might limit proposal requests to $40,000 per year, including F&A; others might limit proposal requests to $40,000 per year in direct costs, plus F&A.
State and Local Government
State and Local Government proposals usually result in contracts. Get Sponsored Programs involved as soon as possible when preparing a proposal going to the State or Local Government.

What to be aware of when preparing a proposal to the State or Local Government:

Pls sometimes submit a draft budget without Sponsored Programs review
Often the Program Officer and Principal Investigator (PI) have discussions independent of Sponsored Programs, and an informal or draft budget is submitted without first consulting Sponsored Programs.

That budget, often incorporated into the contract, may not be fully costed, so the Sponsored Programs officer may need to renegotiate the budget to secure full costs, including the full F&A. If not successful, the difference in F&A has to come from the direct costs. For this reason, Sponsored Programs recommends the PI’s discussion with a Program Officer be limited to programmatic issues, and that before a draft budget is submitted, Sponsored Programs should be consulted.

Post Award Rebudgeting Restrictions
State and Local Government contract terms are restrictive and require prior approval for the smallest changes in the project or budget. Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.

F&A Rate
Unless there is an existing class waiver from UCOP for the particular agency/program, the full applicable federally negotiated rate for the type of project being conducted must be requested. Contact Sponsored Programs for information regarding waivers.
For-Profit
Most awards from for-profit sponsors will be issued in the form of a contract.

What to be aware of when preparing a proposal to a for-profit sponsor:

Proposal submission signifies acceptance of the RFP’s terms and conditions.
Legally binding contract clauses are included in the RFP. Sponsored Programs will review and negotiate these terms and conditions in consultation with the Principal Investigator prior to submission to assure that terms are acceptable and comply with Federal and State laws, research policies, as well as University policies.

Rebudgeting Restrictions
Contract terms are restrictive and often require prior approval for changes in the project or budget. Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.

F&A Rate
F&A rates for proposals with for-profit sponsors should use the appropriate UC Davis Federally Negotiated Rate.

Equipment
May limit the purchase of equipment or maintain title to equipment purchased after project completion.

Confidentiality Agreements
Confidentiality agreements that require the recipient of sponsor information to keep that information in confidence may be required.
**Sponsor Guidelines**

You probably first hear about a proposal after the PI has decided to apply for funding and wants to put the proposal packet together. Your first step after learning that the PI wants to submit a proposal will be to review the sponsor guidelines. Most sponsors provide a written call for proposals that will serve as a roadmap for the proposal submission. This may be a hardcopy, posted on the web, or sent to the PI via email. Calls for proposals are used by both public and private sponsors, and may be called a variety of different things, including:

- Program Announcements (PA)
- Broad Agency Announcements (BAA)
- Request for Applications (RFA)
- Request for Proposals (RFP)

The call for proposals will assist you in determining important information, such as:

- When the proposal is due
- Why the announcement has been posted, or what the sponsor is hoping to learn
- What principal investigators and types of institutions are eligible to apply for funding
- Any limitations to funding, including maximum dollars that can be requested, F&A restrictions, and any other funding details
- How applicants will submit the proposal to the sponsor
- Any special format or forms that applicants need to use
- Whether there are any limits to the number of proposals a PI or institution may submit

You'll also find any other information the sponsor feels is important to applicants, such as how the application will be evaluated and scored.

Thanks to the web, it's easy for sponsors to update or change guidelines, even after they've released a call for proposals. And they do! If a sponsor has an email alert option to keep you apprised of any program announcement changes or updates, sign up for it. Make sure you have ALL the guidelines. There could be up to three sets, depending on the sponsor. Don't forget to make sure Sponsored Programs knows what guidelines are being used when you call with questions or submit a proposal.

We recommend you review guidelines 2 to 3 times, using the Call for Proposals Checklist. This checklist was created to help you identify important information in a call for proposals. You may also want to use this checklist when reviewing a sponsor’s general guidelines. If you use this checklist when reviewing guidelines, it's unlikely you'll miss anything important.

Use highlighting pens, sticky notes, and flags to tag instructions or guidance of importance.

Make sure you take proposal guidelines seriously! It's amazing how often Sponsored Programs receives proposals with obvious omissions and oversights because the preparers did not take the time to read the guidelines.

Don’t forget, Sponsored Programs is here to help. If there’s information you can’t find, or if you don't quite understand something in the funding announcement, call your Proposal Contracts and Grants Officer, and they'll be happy to help you.
Standard Proposal Components

Cover Page
The cover page can also be called a face page, proposal title page, signature page, or possibly another name, depending on the sponsor. Most granting agencies have standard forms or formats that should be used. If a standard form is not required, a title or face page should contain enough information to clearly identify the proposed project. Sponsored Programs has an alternate cover page to use if one is not provided by the sponsor.

Table of Contents
A Table of Contents (TOC) is usually specified in the application package. A TOC helps guide reviewers through the proposal and helps make the proposal look more organized. Electronic submission systems, such as Grants.gov, will automatically create a TOC.

Abstract
The abstract is also referred to as a project summary. The abstract is vital to creating a favorable first impression. The abstract is generally a summary of the proposal, usually no more than 250 words. Many granting agencies give specific instructions for the format and content of the abstract. Generally, it should be able to stand alone as a description of the project. It should describe:

- What will be done
- How it will be done
- What results are anticipated
- Why it is significant

Project Description
The project description, or narrative, is often referred to as the “body” of the proposal. If the agency has specific guidelines or instructions for preparing and submitting proposals, these usually describe what should be included in the narrative section of the proposal and will possibly include restrictions to number of pages, margins, and/or letter density.

The description should answer basic questions about the project:

- Problem/needs/significance
- Statement of goals
- Previous work
- Methods
- Key Personnel
- Dissemination and future funding
Budget and Justification

The budget should reflect the PI’s best estimate of the actual cost of conducting the scope of work. This includes the materials and supplies as well as overhead charges. Most agencies have specific budget forms or formats that may be required. The project description and the budget should be consistent with each other - that is, funds for activities described in the narrative should be requested in the budget.

Biosketches (CV)

Some proposal guidelines require a specialized format for biographical sketches of key personnel and other important collaborators who will be working on the project. If no requirement is stated, copies of vitae may be included as appendices. Some agencies impose a page limitation for each biographical sketch.

References

It is recommended that the PI list full references for any citations made in the body of the proposal. Some agency guidelines require specific formats.

Facilities and Resources

This section describes equipment, labs or other resources that are already available to the PI for the project. It should explain why the physical facilities, resources, and equipment described make this an advantageous location for the project.

Current and Pending Support

Many sponsors require a current listing of pending proposals and funded awards for all key personnel. It is important that the PI’s time does not exceed 100% effort. Sponsors are paying attention.

Appendices

It is important to ascertain if a sponsor allows appendices to be submitted with the proposal. Some agencies (the National Science Foundation, for example) restrict the submission of appendices, or have specific guidelines for inclusion with a proposal. Some agencies restrict the types and/or numbers of items that may be included. Failure to follow instructions may result in an agency discarding the information or proposal entirely.

Representations and Certifications

Some federal sponsors require that applicants provide assurances, or sign certifications of compliance with a variety of Federal Policies, whether or not they are applicable to the project. Examples include regulations regarding civil rights, lobbying, drug-free workplace, debarment and suspension, procurement integrity, and others. Certifications are also required for Conflict of interest and, under the Pro Children act of 1994, verification that smoking is prohibited in buildings where services are provided to children younger than 18. All assurances must be certified by an authorized individual, such as the Sponsored Programs Analyst or Associate Director.
Coordinating the Proposal

In any proposal, the PI is ultimately responsible for the accuracy and quality of the content. As a departmental research administrator, you will assist the researcher in organizing and creating the information and exhibits needed for the proposal.

Coordinate with the PI on main proposal text. (e.g., who is writing which sections, which person is formatting the final version, etc.). You can use the New Proposal Questions checklist, to help you collect the information you need to begin preparing the proposal packet.

Get a timeline and remind the PI if necessary. Don't assume the PI will get you the remaining information or that people will remember to do what you have asked.

Monitor and send emails out every few days to make sure everyone stays on track to get the items to you. When it's time to submit the proposal, there are no excuses on why items are missing. In fact, many electronic submission systems like Grants.gov won't even accept a proposal with missing information.

Identify each section that is required and then start finding out where you can get or who can get you the necessary information. Be resourceful at all times! Check previous proposal files, ask the PI, ask other key personnel on the project, or more.

You're responsible for coordinating data gathering. Once information starts coming together, it would be a good idea to start putting together a draft of the components as they come in. This will help you save time later.
Working on the Budget
Creating the project budget is generally the most time consuming and complicated part of the proposal preparation process for a department administrator. Work with the PI to find out what will need to be included on the budget: people, equipment, travel, supplies, fees, subcontracts, etc. Once you are given some rough parameters, generate a first draft of the budget and forward it to the PI for review.

Budget Compliance
Keep the following compliance points in mind when you’re completing the budget:

Charging Practices
Regardless of whether the funding is from a federal, other government, or private sponsor, you must adhere to the applicable Charging Practices.

Are the costs on the budget allowable and allocable? OMB Circulars A-110 and A-21 act as guides for both allowability and allocability on grants. The UC Davis Accounting Department has developed a document based on these circulars which provides more details about Charging Practices for Federally Funded Grants and Contracts. It would be a good idea to refer to this document when preparing a proposal budget.

For more details about charging practices, you should take the A-21 & Cost Accounting Standards training offered by Extramural Funds Accounting.

Indirect Costs
Have the federally negotiated, applicable indirect cost rates been applied? If not, have the appropriate approvals been obtained? It is the policy of the University to recover the full costs of doing research (UC Davis PPM 230-03). To request an exception from the negotiated rates, a request must be sent by the Office of Research, Sponsored Programs to UC Office of the President for review.

Budget Justification
Once the budget is final, you will need to generate the budget justification based on the budget figures. Generate a first draft and forward it to the PI for review. You will then go back and forth until you get a final approval from the PI.

The budget justification is a UC requirement that is independent of any sponsor requirement. Although detailed budgets and budget justifications are not required by some sponsors, the University of California Office of the President requires supporting documentation for each proposed cost element. This requirement is listed in the Contracts & Grants Manual, Chapter 2, Section 2-529.

If you haven’t created a proposal budget before, you should complete our two-part proposal budget series: the online class Writing a Proposal Budget: Concepts and the in-person class Writing a Proposal Budget: Lab from the OR-Sponsored Programs office. Please visit the Training page for more information about these courses.
Preparing the Proposal Package

The University of California Office of the President requires that all proposals for extramural funding be submitted through the Sponsored Programs Office, where they receive an authorized signature. You will submit the proposal to Sponsored Programs as part of a proposal package. Take a look at our Proposal Preparation page for more help with preparing your proposal package. The proposal package must be submitted in Cayuse SP.

Some of the items you might need to include in your package are:

1. **Cayuse SP Internal Processing Form (IPF)**
   The Internal Processing Form (IPF) must be used for anything which requires approval/authorization from someone either in Sponsored Programs or elsewhere in the Office of Research, with the exception of pre-proposals. Sponsored Programs requires these authorizations to provide documentation that the PI, Department Chair, and other responsible officials agree to the list of certifications in the IPF. The IPF is entered in Cayuse SP. Helps guides and other resources are available on the Sponsored Programs Administration and Research Kiosk (SPARK) Training page.

2. **Financial Disclosure Forms**
   Depending on who the sponsor is, the PI might also need to complete a financial disclosure form. The disclosures may be filed online.

   **Form 800** is for federal and other financial disclosure requirements. This form must be completed for many federally sponsored projects, projects where the sponsor has adopted federal financial disclosure regulations, human subjects, and others. This form is **federally required** to be submitted at the proposal stage, and on the awards for which it is required, award processing cannot be completed until the form is received.

   **Form 700-U** is a state financial disclosure form. This is required for PI's on research funded by a private sponsor, including private universities, foundations, industry, or other private sponsors. This form is required at the award stage. However, if you know that there is or might be a conflict of interest which would need to be examined by the Conflict of Interest Committee, we suggest that you submit a 700U at the proposal stage. This will help to expedite the processing of an eventual award.

   You can find details about the disclosure requirements by visiting the Conflicts of Interest in Research page. This page provides guidance about which forms must be completed for your project, as well as links to policies, regulations, and forms. For further details about financial disclosure forms, you should contact the Research Compliance and Integrity unit.
3. **Subcontractor Information**

Your proposal packet should also include all information from any subcontractors who may be working with the PI on this project. Please include the subcontractor name and contact information for anyone you have been working with at the subcontracting institution. The subcontracting institution will need to provide a scope of work, budget, institutional letter of support, and any applicable subrecipient monitoring forms. You can use our [Quick Guide to Subawards](#) to help you remember what you’ll need from the other institution. For more information about subawards, please visit our [Subawards](#) webpage.

4. **Letters of Support for Cost Share**

When a proposal involves cost sharing with university funds or resources, the person authorized to commit the funds or resources must provide a letter verifying that the cost sharing can be honored. In some cases, the Sponsored Programs Datasheet can meet this authorization requirement.

When a proposal includes a commitment from a third party to cost share, a letter of concurrence from the third party is required.

5. **Additional Documentation**

You may also need to prepare other documentation for the proposal packet. Review the sponsor guidelines carefully to see if there is any other information they require that you do not ordinarily include in a proposal. In addition, ensure that if there are any special circumstances, you may need to provide other Office of Research required information, such as a PI eligibility request or limited submission selectee documentation.
A Complete OR-Sponsored Programs Proposal Package

A complete proposal package submitted to OR-Sponsored Programs will contain the following:

- **Internal Processing Form (IPF)** Instructions for completion (PDF)
- A complete copy of the proposal, to include, at a minimum:
  - Cover page (sample cover page, to be used when agency forms are not available (PDF)
  - Project budget and budget justification (See Proposal Budget Development for details)
- A draft scope of work (final must be submitted to Sponsored Programs prior to proposal submission to Sponsor)

In addition, you should include, if applicable:

- A copy of the sponsor’s guidelines
- Financial Disclosure Forms (only include if not filing disclosures online)
  - **FORM 800**: Form 800 (Federal financial disclosure), if applicable, is required to be submitted at time of proposal.
  - **FORM 700U**: If you are completing a Form 700U (State of CA financial disclosure form), it is recommended that you submit the form at time of proposal, especially if there is a known conflict of interest (positive result on 700U).
- Additional documentation: PI exception request, limited submission selectee documentation, etc.
- Important addresses, email addresses, phone numbers or contacts for Sponsor and any Subcontractors
- Letters of Support for cost share commitments in the proposal

For more information about what the analyst assigned to your project will be checking for when reviewing your proposal, please visit Proposal Review.

More items may be required, depending on the sponsor guidelines. If you’re not sure what additional forms may be needed, ask your Proposal Contracts and Grants Officer.
The OR-Sponsored Programs Review
To avoid any delays in the OR-Sponsored Programs office, and to avoid any errors during proposal submission, please carefully review your proposal package. You will want to ensure that you have met all of the sponsor requirements, as well as completing any mandatory disclosure or institutional forms.

When reviewing proposals the following issues must be considered by an OR-Sponsored Programs analyst prior to submission. Some of these items are required to be submitted to Sponsored Programs prior to a proposal being submitted to a sponsor. These are indicated with an asterisk (*). The other items on this list are recommended at the time of proposal submission, but become mandatory when an award is received.

1. **Final Scope of Work**
2. **Principal Investigator (PI) Eligibility**
3. **Institutional Eligibility**
4. **Lead PI and Chair/Director Certification; Dean and other department approval, if applicable**
5. **Subcontractor information, if applicable**
6. **Limited Submission Selectee documentation, if applicable**
7. **Cost-sharing certification, if applicable**
8. **Budget and Budget Justification**, including the following:
   a. PI minimum effort*
   b. Appropriate indirect cost rate*
   c. Accurate calculations*
   d. Graduate student fees and nonresident tuition*
   e. Subcontractor costs, if applicable*
   f. Allowable and allocable costs*
9. **Sponsor- and program-specific administrative requirements**
10. **IRB Approval, if applicable**
11. **IACUC approval, if applicable**
12. **BUA approval, if rDNA or pathogenic agents**
13. **Stem Cell Use approval, if applicable**
14. **Form 700-U, if applicable**
15. **Form 800, if applicable**
16. **Informed Participation, if applicable**

Use our [Proposal Submission Checklist](#) to ensure that you include all of the items needed for your proposal package.
Submitting the Proposal Package to OR-Sponsored Programs

Now that your proposal package is complete, you should follow the UC Davis Sponsored Programs proposal submission process to submit the proposal for UC Davis review. For proposals to receive a full review by OR-Sponsored Programs, they must be received 5 business days prior to requested return/submission date. If you are in the School of Medicine or the College of Veterinary Medicine, the Dean will need to approve your proposal before it can be submitted to OR-Sponsored Programs. Please keep this in mind when you consider submission deadlines. For information about your Dean’s suggested deadlines, you should contact your Dean’s office.

Please submit your completed proposal packet in Cayuse SP.

Submitting a proposal to a sponsor electronically (e.g., Cayuse 424, Fastlane, ASSIST, Proposal Central)

Follow agency guidelines for electronic submission and check for special computer requirements. You may need to register online with assistance from Sponsored Programs. New registrations can take several days, so please plan ahead and allow adequate time for submission. Remember that even if the proposal submission system will allow a PI or department staff member to “press the button”, UC policy still requires that the proposal be processed through the OR-Sponsored Programs office prior to submission to a sponsor.

Please ensure that there is at least one contact person available (e.g., department administrator or PI) prior to the sponsor deadline. There are often small errors, such as page limits exceeded or missing information, which will cause a proposal to be automatically rejected by a sponsor’s proposal submission system. In these cases, proposal analysts in OR-Sponsored Programs will work quickly to alert the contact person of the issue so that the contact person can resolve it and resend the corrected application to OR Sponsored Programs for resubmission to the sponsor in advance of the sponsor's deadline.

Find more information about Electronic Research Administration (eRA) systems.
OR-Sponsored Programs Process after a Proposal is Received

Throughout the review process, Sponsored Programs will be sending you automated emails that will keep you informed of the proposal's progress. Use our Proposal Submission Checklist and look at the Proposal Review page to see what the assigned analyst will be looking for when they review your proposal. This may help you to identify any potential problem areas in the proposal, and to address them prior to submission to OR-Sponsored Programs.

Once the UC Davis OR-Sponsored Programs office has completed their proposal review, your assigned analyst will notify you that it is ready for electronic submission or departmental pick-up (depending on the sponsor’s submission requirement). Get the PI's final approval to submit and then make sure it gets submitted.

If the submission is a hardcopy or will be mailed, be sure to make notes of details like the number of copies and mailing addresses. If this is an electronic submission that's being completed by Sponsored Programs, on the day of the deadline, you need to make arrangements for you and the PI to be in your office or otherwise available until the time of deadline and submission to answer any last minute questions or address any last minute proposal submission errors. For example, sometimes a system such as Cayuse 424 will reject a proposal because of missing information or because the page limitation has been exceeded. Your assigned analyst will need you or the PI available to correct these types of errors.

When the final proposal is ready for submission after OR-Sponsored Programs review, you may want to make a copy of the final proposal package and file it in a pending proposals file. If you have an electronic file with the final proposal package materials, save the file(s) on your server for quick reference. Should the sponsor ask for clarifications or if a revised budget is necessary, you will need to access the original file in order to make revisions according to the sponsor’s request.