Introductions

• We are....
  • Terry Duperron, eRA Analyst
  • Marlene Mooshian, Proposal Analyst
  • Kassie Obelleiro, Training Officer
  • Jinger Snyder, Award Analyst

• Who are you?
  • Name and department
  • Have you used an eRA system before? If so, which one(s)?
Learning Objectives

After today’s class you should:

• Understand the **general rules** of using eRA systems
• Know **what eRA systems** are available
• Understand **when to use an eRA system and which system** to use

Today’s Handouts

• Today’s Presentation
• eRA Systems Matrix
• Cayuse SP Quick Start Guide
• Cayuse 424: Setting Up Your Professional Profile
Class Outline

- Sponsored Programs Overview
- eRA Overview
- Sponsor eRA Systems
- Hands-on Lab
  - Cayuse SP
  - Cayuse 424
- Resources

Sponsored Programs Overview
Sponsored Programs Office (SPO) Functions

• Reviewing and submitting research proposals
• Negotiating and accepting awards on behalf of the Regents
• Drafting, negotiating, and executing (outgoing) subawards for collaborative research

Source: Policy #PPM 230-01 and PPM 230-02
https://ucdavispolicy.ellucid.com/documents/view/131

Overview of the 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

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

Agency reviews proposal & decides whether or not to fund

Proposal sent through Sponsored Programs to funding agency

Sponsored Programs accepts award on behalf of the Regents

Department sets up the fund with Contracts & Grants Accounting

PI conducts research, spends award

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

Award ends & Final Reports are submitted

Department monitors expenditures
eRA Overview

eRA: What is it?

- eRA: Electronic Research Administration
- Electronic Submission of
  - Proposals and other application materials
  - Post-Award Materials such as Progress Reports
General Rules of eRA

• Proposals must be:
  • Accessible by SPO
  • Endorsed by SPO

• Points of Contact
  • Program Contact: Principal Investigator
  • Admin Contact: SPO Award Analyst or awards@ucdavis.edu
  • Financial Contact: James Ringo, Contracts and Grants Accounting

• Ensure a contact person for the proposal (PI or department admin) is available during SPO review
• Follow agency and program-specific guidelines
• May need to register online several days before submission

eRA Roles

• Principal Investigator
• Co-Principal Investigator
• Co-Investigator
• Other Authorized User (OAU)
• Independent Researcher
• Reviewer
• Sponsored Project Office (SPO)
• Authorized Organizational Representative (AOR): SPO only
• Financial Administrator
eRA Systems

- [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com) >> Select Cayuse SP
- Method for submitting Proposals and Advance Account Requests for UC Davis routing and approval
  - Principal Investigator
  - Internal Processing Form (IPF) Approver(s) – Department and Dean’s Office(s), if applicable
  - Sponsored Programs(SPO)
- Access
  - Awards
  - (outgoing) Subawards
- Unit Role Managers
  - Grant Access and Roles
**Cayuse SP**

- **Features**
  - Online Routing and Approval
  - Varying levels of Access
    - Edit
    - Read-only
  - Real-time Status Updates
    - Outstanding Approvals/Authorizations

**Cayuse 424**

- **https://ucdavis.cayuse424.com**
  - Select Cayuse 424
- Professional Profile
- Federal Proposal Submission
- **Features**
  - Error checking
  - PDF of entire application (including attachments) before submission
  - Auto-loading of stored Principal Investigator (PI) biosketches and profiles
  - Robust budgeting tool
  - Auto-population of institutional information
  - Sharing and delegation of proposal access
- SPO or Principal Investigator submits to Sponsor
NSF Research.gov/FastLane

  - Starting **April 30, 2018** – Submit and prepare full, research non-collaborative proposals at Research.gov or FastLane
  - Before April 30, 2018 – All proposals must be submitted in FastLane

- NSF Proposal Actions

  - Roles
    - PI/Co-PI
    - Authorized Other User (AOR)
      - Department admins, etc.
    - Need NSF Proposal ID and PIN from PI

- Users must have an NSF ID and be affiliated with UC Davis
  - Contact [SPOeRAHelp@ucdavis.edu](mailto:SPOeRAHelp@ucdavis.edu) to register
  - SPO cannot find non-UC Davis NSF IDs

- SPO submits to sponsor
NSF Research.gov/FastLane

NSF Research.gov Preview

- Preview Research.gov until April 27, 2018
  - Select Prepare new or existing proposals and login
  - Select Prepare Proposal

- Goals
  - Modernize and improve the user-interface
  - Reduce administrative burden
  - Improve data quality and metrics
  - Improve availability, security and flexibility
NSF Research.gov/FastLane

- Features:
  - Initiate full, research non-collaborative proposals
  - Add PIs, Co-PIs, Senior Personnel and AOU's
  - Upload required proposal documents
  - Create budgets
  - Check compliance
  - Enable SPO/AOR access

NIH eRA Commons

- [https://era.nih.gov/](https://era.nih.gov/)
- NIH Proposal Actions
  - Proposal Submission
  - Just-in-Time (JIT) Submissions
- NIH Award Actions
  - Progress Reports
  - PRAM
  - IDR
  - NCE
- Roles
  - PD/PI – Must have an eRA Commons account at time of proposal
  - Co-Investigator
  - Graduate Student
  - Post-doc
  - Admin
NIH eRA Commons

- Anyone with effort must have an eRA Commons account at time of award
  - Contact SPOeRAHelp@ucdavis.edu to register
  - Must be affiliated with UC Davis
- Submission to sponsor
  - SPO submits proposals, including Supplements and JITs
  - SPO submits post-award actions
    - No Cost Extensions
    - JIT/PRAM/inclusion data reports (IPRs)
  - PI submits Research Progress and Performance Reports (RPPRs)
NIH eRA Commons

- Application Submission System & Interface for Submission Tracking (ASSIST)

- https://public.era.nih.gov/assist/

- Submit to NIH and other Public Health Service Agencies:
  - Applications
  - Post-Award Amendments

- Features:
  - Grant Access to Others
  - Preview Application
  - Error Checking

- Great for center-type grants (U’s and P’s)

- Only SPO can add personnel
  - Need ASSIST ID and eRA Commons ID
Other eRA Systems

  - View Solicitations
  - Submit Proposals
  - Review Proposals
  - Individual Registration Required: [https://nspires.nasaps.com/external/aboutRegistration.do](https://nspires.nasaps.com/external/aboutRegistration.do)
  - SPO submits to sponsor
Other eRA Systems

  - Various State agency funding
  - Principal Investigator self-registration
  - Principal Investigator submits to sponsor
  - SPO does not have access – Upload all documents in Cayuse SP

  - Register early – Give yourself at least one week!!
  - SPO submits to sponsor

Other eRA Systems

- Proposal Central: [https://proposalcentral.altum.com/](https://proposalcentral.altum.com/)
  - Each User must register: [https://proposalcentral.altum.com/register.asp](https://proposalcentral.altum.com/register.asp)
  - Grant Access to your proposal
    - SPO does not have automatic access
  - PI submits to sponsor
    - Requires SPO endorsement

- And more!!
Log-in to Cayuse SP

• Use Mozilla FireFox

• Testing Site: [https://ucdavis-uat.cayuse424.com/](https://ucdavis-uat.cayuse424.com/)
  • Select Cayuse SP
  • Username: amieadmin
  • Password: catcat

Getting Started

• Review the [Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers](#)

• Ensure your Unit is set-up
  • View Research Contacts from [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com)

• Have the complete proposal package ready and submitted to SPO at least 5 days before the sponsor deadline
  • Proposal (IPF) packages include (at a minimum):
    • Cover page
    • Project budget and budget justification
    • Scope of Work (may submit a draft and provide the final before submission to sponsor)

• Complete all applicable fields
Start a New Proposal

• Select Start a New Proposal from the Dashboard
• Complete the General Information page
  - Sponsor: Select “Miscellaneous Sponsors” if the sponsor is not listed
    - Do NOT select No Sponsors
  - Admin Unit: Do not select a Unit listed as “Non Admin/Home”
  - Short Project Name: Internal Identifier
    - Format: [Sponsor Deadline in MM/DD/YY format] [PI Last Name] [Sponsor Acronym]
  - Submission Deadline: Date due to the sponsor
    - Format: Military Time (Pacific)
  - If using 424, select that as the Submission Method
  - Do NOT pair with 424

Start a New Proposal

• Complete each page/tab
• A green checkmark will appear when tab is complete
• The only not required tab is Submission Notes
Start a New Proposal

• Investigators/Research Team
  • Drives the Approving Units list
  • Add all Key Personnel
    • Ensure their Unit is correct.
    • **Do not** list a "Non Admin/Home" unit.
    • Use the "Other Participant – No Routing" role for users that edit access but that are not Key Personnel.

• Sponsored Effort
  • Effort being charged to this proposal

• Allocation of Credit
  • Must equal 100%
  • Lead Principal Investigator determines the allocation

• Budget
  • Select the Summary form
  • Uncheck “Use Calculated Values” if calculations are incorrect due to rounding

Start a New Proposal

• Financial Conflicts of Interest in Research
  • Complete the applicable COI Disclosures now or at a later time.
  • Select Yes to indicate that you have filed or will file the applicable COI Disclosures.

• Regulatory Compliance
  • Human Subjects
  • Animal Subjects
  • Hazardous Material

• Subrecipients
  • Enter all (outgoing) Subawardees
  • Select “Miscellaneous Sponsors” if not listed

• Foreign Activity
  • When in doubt, select "yes"
Start a New Proposal

• Special Interest
• Additional Questions
• Location of Sponsored Activities
  • Must total 100% across all quadrants
  • Do not enter location of Subawardee(s)
• Proposal Abstract
• Proposal Attachments
  • If using another eRA system: Upload internal documents
  • If not using another eRA system: Upload all proposal documents

Start a New Proposal

• Approving Units
  • Review for Accuracy
    • The only “Non Admin/Home” units that are OK will indicate as a “roll up”
  • Reorder as needed
    • Keep as many at level 2 as possible
    • If Admin Unit in SVM
      • School of Veterinary Medicine (Unit Code: 50) should be listed last
    • If Admin Unit is not in SVM but Investigators in SVM
      • School of Veterinary Medicine (Unit Code: 50) should be listed after all participating SVM units
    • If Admin Unit in SOM
      • School of Medicine (Unit Code: 43) should be listed last
    • If Admin Unit is not in SOM but Investigators in SOM
      • School of Medicine (Unit Code: 43) should be listed after all participating SOM units
Start a New Proposal

• Submission Notes
  • Sponsor contact information if selected “Miscellaneous Sponsors”
  • Subawardee contact information if selected “Miscellaneous Sponsors”
  • Any other notes

• Submit for Routing
  • If someone other than the PI creates/edits the proposal, it is advised
    the PI perform this step then Certify the proposal

• Will Route for Certification and Approval
  • Principal Investigator
  • IPF Approver(s): Department and/or Dean, if applicable
  • SPO

Returning a Proposal for Correction

• The following items will result in the proposal being rejected and
  re-routed for approval
  • 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
    • Complete all IPF Proposal tabs and fields, even when no red *

• The proposal will return to Unsubmitted status
  • The Department Admin and PI can make the needed revisions

• The IPF Approvers will need to Re-Authorize the Proposal
• Then it will re-route to SPO for review
Check the Status

• Proposals
• Awards
• (outgoing) Subawards

Cayuse SP Statuses

<table>
<thead>
<tr>
<th>Item</th>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Unsubmitted</td>
<td>Not submitted for routing</td>
</tr>
<tr>
<td></td>
<td>Dept Approval in Process</td>
<td>Pending IPF approvals</td>
</tr>
<tr>
<td></td>
<td>Admin Office in Process</td>
<td>Received by SPO but not assigned</td>
</tr>
<tr>
<td></td>
<td>PS Review</td>
<td>Under review by Proposals Analyst</td>
</tr>
<tr>
<td></td>
<td>CS Review</td>
<td>Under review by Awards Analyst</td>
</tr>
<tr>
<td></td>
<td>Proposal Approved</td>
<td>Proposal approved for submission to sponsor</td>
</tr>
<tr>
<td></td>
<td>Proposal Reopened</td>
<td>Proposal reopened for department to edit</td>
</tr>
</tbody>
</table>
## Cayuse SP Statuses

<table>
<thead>
<tr>
<th>Item</th>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Submitted to Sponsor</td>
<td>Proposal has been submitted to the sponsor</td>
</tr>
<tr>
<td></td>
<td>Withdrawn</td>
<td>Proposal withdrawn by PI</td>
</tr>
<tr>
<td></td>
<td>Not Funded</td>
<td>Proposal not funded by the sponsor</td>
</tr>
<tr>
<td></td>
<td>JIT Request Received</td>
<td>SPO or PI received a JIT request from the sponsor</td>
</tr>
<tr>
<td></td>
<td>JIT Request Approved</td>
<td>SPO has approved the JIT information provided by the PI/department</td>
</tr>
<tr>
<td></td>
<td>JIT Request Unsubmitted</td>
<td>The PI decided not to submit JIT information</td>
</tr>
<tr>
<td></td>
<td>Funded</td>
<td>Notice of Award received by the sponsor (This does not mean the award has been executed)</td>
</tr>
</tbody>
</table>

## Cayuse SP Statuses

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

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

- Select My Proposals (if you started the proposal or are the PI) or Proposals in My Unit
- If in My Proposals:
  - Select the Submitted Proposals tab
- The Proposal status is displayed on the far right
- To view details:
  - Select the Proposal Number
  - Select the Notes tab (paper icon) for status notes
  - Select the Attachments tab (paperclip icon) to view the attached documents
- The Proposal Analyst is listed as Proposal Specialist in the top section

Award Status

- Select My Awards (if you started the proposal or are the PI) or Awards in My Unit
- The Award status is displayed on the far right
- To view details:
  - Select the Award Number
  - Select the Notes tab (paper icon) for status notes
  - Select the Attachments tab (paperclip icon) to view the attached documents
- To find the Award analyst:
  - Select the Proposal tab
  - Select the Proposal Number
  - The Award Analyst is listed as Contract Specialist in the top section
Subaward Status

- Select My Awards (if you started the proposal or are the PI) or Awards in My Unit
- Select Active Projects
- Select the associated Project Number
- Select the Subcontracts tab
- To view details:
  - Select the Subaward Number
  - Select the Notes tab for status notes
  - Select the Attachment tab (paperclip icon) to view the attached documents

Request an Advance Account

- Must include:
  - Reason for request
  - Department Account Number for the alternate source of funding (SPO is not responsible if funding does not come through)
  - Evidence of a firm commitment by sponsoring agency
- Open the Proposal/IPF
- Upload Documents in the Proposal Attachments
- Select Advance Accounts
  - Select Add Advance Account Request
  - Complete Form
- Will Route for Approval
  - Admin Unit Pre-Award Spending Approver
  - Dean Pre-Award Spending Approver if SVM
  - SPO
Cayuse 424
Set up your Professional Profile
Find an Opportunity
Create a Proposal

Log-in to Cayuse 424

• Use Mozilla FireFox

• https://ucdavis.cayuse424.com/
  • Select Cayuse 424
  • Login with Kerberos information
Create/Update Professional Profile

• Select Professional Profiles
• Find Name of Profile to Edit
• Select + Person if not listed
  • Each person should create their own profile
• Complete/Update each tab
  • Do not change the Institutional Association
• Grant Permissions to others

Find an Opportunity

• Select Opportunities
• Search the List
  • Ensure the Forms are correct
• Select Download Opportunities if not listed
Create a Proposal

• Select the + next to the Opportunity
• PI
  • Select User, Test
• Complete the tabs/forms
• Grants Permissions to others
• Establish the Routing chain
  • Principal Investigator
  • Proposal analyst (SPO)
  • AOR, if different than SPO analyst

Resources
Contact Us

- eRA: SPOeRAHelp@ucdavis.edu
- Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
- Training: SPOTraining@ucdavis.edu
- Your Analyst: http://research.ucdavis.edu/contact-us/sponsored-programs/
- Cayuse Listserv: https://lists.ucdavis.edu/sympa/subscribe/spark_info

SPARK Training Website
http://spark.ucdavis.edu/training/
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.
- Reminders are sent out via the OVCR-cg listserv (visit our website to sign up for this listserv)

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

Other Classes Offered by SPO

- Sponsored Programs Essentials
- Proposal Preparation and Submission
- Writing a Proposal Budget: Concepts
- Writing a Proposal Budget: Lab
- Understanding the Award Process

Visit the SDPS website for a list of dates and times and to sign up. [http://sdps.ucdavis.edu/](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