



Cayuse SP: Entering Proposals/IPFs

-SPO BAASICS-

August 13, 2020

Presented by Kassie M. Obelleiro
Sponsored Programs Training
Officer

Learning Objectives

01 Proposal Process

Proposal Process

Know the proposal process for extramural funding at UC Davis

02 IPFs

Internal Processing Forms (IPFs)

Understand the purpose of Internal Processing Forms (IPFs)

03 IPF Routing

IPF Routing

Know the IPF routing and approval process

04 Statuses

Statuses

Know how to identify and understand IPF statuses

Outline



Cayuse Overview



Internal Processing Forms (IPFs)



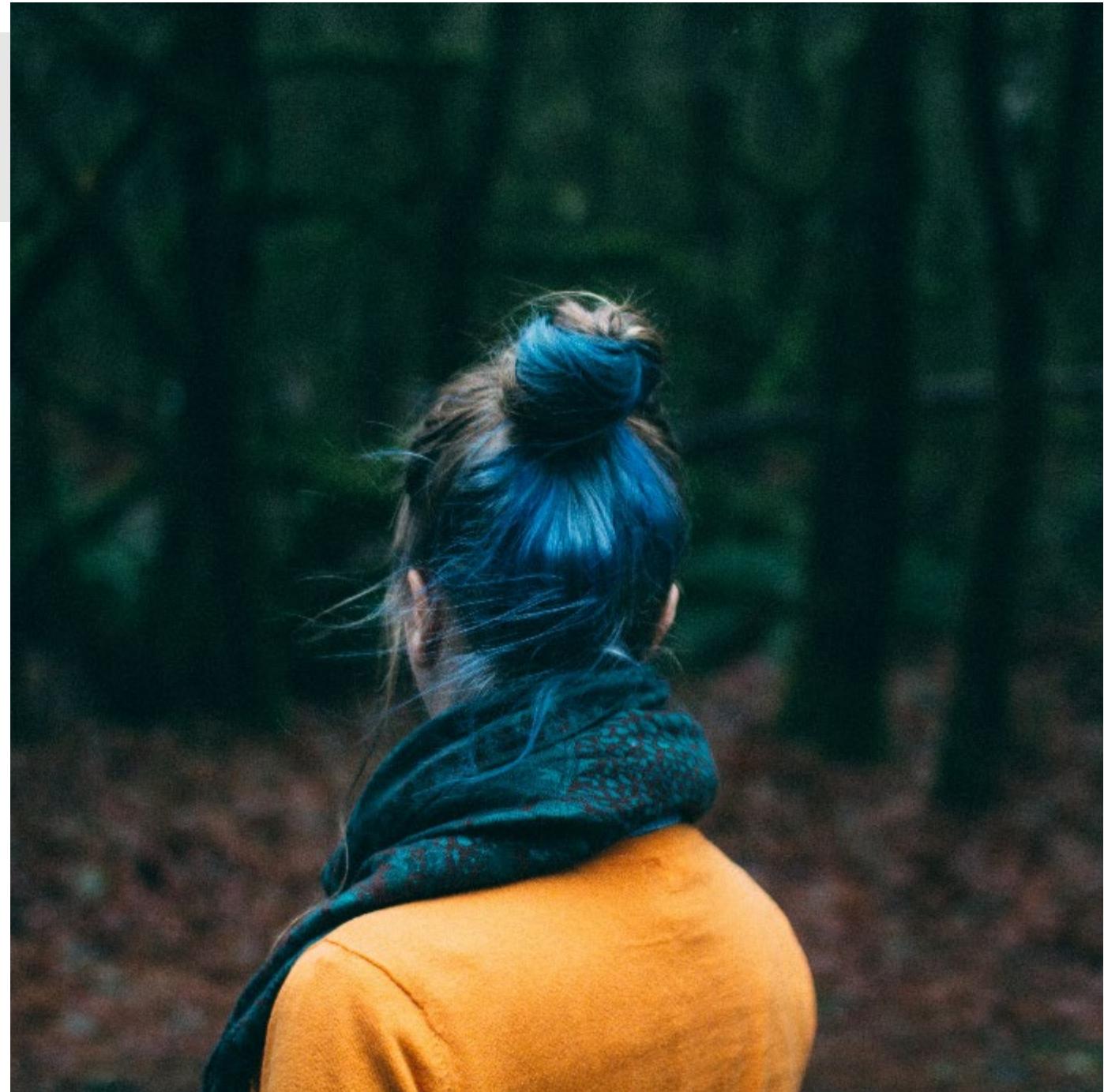
Proposal Submission



Proposal Routing & Approval



Resources



Zoom Instructions

The image shows a Zoom meeting interface with several large blue arrows overlaid to highlight specific features:

- Three blue arrows pointing down:** Point to the "Participants" section on the right, which lists "Kassie(Me)" and "Sponsored Programs Office Of Research(Host)".
- One large blue arrow pointing right:** Points to the control bar at the bottom of the screen.
- One large blue arrow pointing up:** Points to the video settings icon in the top right corner.

Participants (2)

- Kassie(Me)
- Sponsored Programs Office Of Research(Host)

Control Bar (Bottom):

- Join Audio
- Start Video
- Participants (2)
- Share Screen
- Chat
- More
- Leave Meeting

Video Settings (Top Right):

- Microphone icon (red slash)
- Speaker icon (red slash)
- Up arrow icon (highlighted by a large blue arrow)

Participants Section (Right):

- Raise hand
- yes
- no
- go slower
- go faster
- more

Group Chat Section (Bottom Right):

- To: Everyone
- Type message here ...

Zoom Instructions - Annotations

01

At the top of this screen:

Select “View Options”
Select “Annotations”

02

Choose a stamp

Select “Stamp”
Choose (click) any stamp

03

Practice

Put your stamp in the box to the left

01

Cayuse Overview

Cayuse SP and 424 Functions

Cayuse



Cayuse SP

Internal routing and approval



Cayuse 424

Application submission to most **Federal** sponsors



System Administration

Unit Roles list and System Administration applications

Cayuse Research Suite

3.7.2

Research Administration Modules

- Cayuse SP (Sponsored Projects)
- Cayuse 424

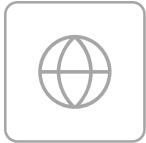
System Administration Applications

- Backbone
- Research Contacts
- Workflow

Application Help

- Research Suite Support Center

Cayuse SP

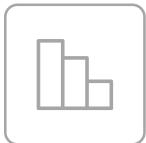


Proposal and Award Modification Routing

Lead PI and co-PI certification

Department Chair and Dean authorization

SPO approval



Award Record Repository

Record of proposals, awards and subawards



Advance Account Request Routing

Department Chair endorsement

SPO approval

Proposal Dashboard

[Start New Proposal](#)

[26 My Proposals](#)

[Proposals In My Unit](#)

[Advance Account Inbox](#)

Award Dashboard

[My Awards](#)

[Awards In My Unit](#)

Certifications/Approvals

[PI Certification Inbox](#)

[1 Unit Approval Inbox](#)

UC Davis Sponsored Programs Office

1850 Research Park Drive

Suite 300

Davis, CA 95618

Phone:

Email: orcayusehelp@ucdavis.edu

Cayuse Research Suite

Cayuse SP

Cayuse 424

Routing and Approval

Professional
Profile

Application

Approving Units

Administering
Unit

Investigators
/ Research
Team

Affiliated
Units

Internal
Cost
Sharing

Cayuse SP Dashboard

Create an Internal Processing Form (IPF)

- Proposal
- Some Award Modifications

View Proposals where you are:

- The Proposal Owner
- On the Investigators/Research Team

View Proposals where you have
Proposal Data Access (for the Admin
Unit)

Approve/Endorse Advance Account
Requests

- Pre-Award Spending Approver

View Awards where you are on
the Investigators/Research Team

View Awards where you have
Award Data Access (for the
Admin Unit)

Certify Proposals where you are
the Lead PI or co-PI

Approve/Authorize IPFs as Unit
Head

- Admin Unit
- Units on Investigator/Research
Team tab

Proposal Dashboard
Start New Proposal
77 My Proposals
Proposals In My Unit
Advance Account Inbox
Award Dashboard
My Awards
Awards In My Unit
Certifications/Approvals
1 PI Certification Inbox
Unit Approval Inbox
UC Davis Sponsored Programs Office
1850 Research Park Drive
Suite 300
Davis, CA 95618
Phone:
Email: orcayusehelp@ucdavis.edu

02

Internal Processing Forms (IPFs)

Submit an IPF for proposals and some significant award amendments



Internal Processing Forms (IPFs)

- Internal routing and approval form at UC Davis
- Lead PI and co-PI provide confirmation they are supportive of the project before SPO assignment
- Unit Head and Dean, if required, approval of:
 - Proposal submission to sponsor
 - Cost-shared effort

Internal Processing Forms (IPFs)

01

Proposals

- New
- Competitive Renewals
- Resubmissions
- After-the-Facts

Routes to SPO Proposal team

02

Significant Award Amendments

- Change in Principal Investigator
- Change in Administrative Unit
- Change in Cost-Sharing

Routes to SPO Award team



Is an IPF Needed?

IPF

No IPF

A proposal to NIH for a new submission.

A proposal to NSF for a resubmission.

A change in PI request.

A progress report to USDA.

Is an IPF Needed?

	IPF	No IPF
A proposal to NIH for a new submission.		
A proposal to NSF for a resubmission.		
A change in PI request.		
A progress report to USDA.		

03

Proposal Submission

Submitting a proposal to Sponsored Programs for review and approval



Cayuse SP

Guidelines

Follow and check the status online.

Contact your assigned analyst for more information.

Subaward Analyst is listed in Subcontract Notes.

Follow the Rules

Provide required information & documents

Use the Resources

Review the [Handbooks](#) and the IPF pages

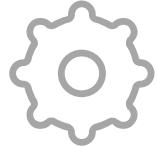
Confirm IPF Approvers

All Approving Units require an IPF Approver

Monitor Routing

Check the Status and ensure received by SPO **at least 5 business days** before deadline

Minimum Proposal Documents for SPO Assignment



Completely Routed and Authorized IPF

Complete IPF with Lead PI and co-PI Certifications and IPF Authorizations



Budget Spreadsheet

Strongly encouraged even if NOT required by the sponsor



Budget Justification

Strongly encouraged even if NOT required by the sponsor



Scope of Work

May submit a draft and provide the final before submission to sponsor

Demo: Entering an IPF in Cayuse SP

Item List 17-0189

View or Edit completed sections by clicking the name next to the checkmark.

General Information

Investigators/Research Team

Budget

Essential Conflicts of Interest in Research

Regulatory Compliance

Subrecipients

Foreign Activity

Special Interest

Additional Questions

Location of Sponsored Activities

Proposal Abstract

Financial Attachments

Approving Units

Submission Notes

Approving Units

List of Approving Units: (to edit the information, remove first, then add back)

Routing Order <small>i</small>	Unit Code	Unit	Role(s)
1	049231	Med: Intl Med- Infectious Disease	Admin Unit, Lead Principal Investigator, Investigator
2 <small>▼</small>	20	Med: Intl Med (Use the PI's Int Med Dept.)	Rollup From - 049231
2 <small>▼</small>	43	School of Medicine (Use 049000)	Rollup From - 20

[Authorize Unit Listing](#)

Approving Units

List of Approving Units: (to edit the information, remove first, then add back)

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[Authorize Unit Listing](#)

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3 <small>▼</small>	43	School of Medicine (Use 049000)	Rollup From - 20

[Authorize Unit Listing](#)

Enter an IPF

Project Title: Socio-ecological factors in Malaria transmission
Sponsor: National Institutes of Health NIAD; RFA: NIH NIAD PA-EN-R01
Sponsor Deadline: 5 business days from today (5 pm local time).
Admin Unit: Ecology
Project Dates: January 1, 2021 – December 31, 2024
IRB Application #: 123456, approved 12/10/19
IACUC Protocol: 235678, approved 11/1/19
Location of sponsored activity: Animal Husbandry Beef Barn (75%); DNA Technologies & Express Analysis Cores (25%)

1. Login to Cayuse SP UAT:
<https://ucdavis-uat.cayuse424.com>
 - Username: amieadmin
 - Password: training
2. Select “Cayuse SP”
3. Select “Start New Proposal”
4. Complete a Proposal/IPF based on the proposal scenario and budget.
 - Enter your name or initials in the “Short Project Name” field
 - ❖ Ensures your partial SDPS credit for the class

Line Item	Year 1	Total Project
PERSONNEL		
Salary		
Salary for Charlie Apple, PI – 3% Effort, 0.36 Person Months	\$4,244	\$22,530
Salary for Kassie Obelleiro, co-PI – 3% Effort, 0.36 Person-Months	\$3,501	\$18,587
	Salary Total	\$7,745
		\$41,117
Benefits		
Charlie Apple, PI	\$1,672	\$9,449
Kassie Obelleiro, co-PI	\$1,379	\$7,793
	Benefits Total	\$3,051
		\$17,742
	PERSONNEL TOTAL	\$10,796
		\$58,359
OTHER EXPENSES		
DNA Analysis Services	\$2,000	\$10,000
	OTHER EXPENSES	\$5,000
		\$10,000
EQUIPMENT		
MRI	\$25,000	\$25,000
	EQUIPMENT TOTAL	\$25,000
		\$25,000
TOTAL DIRECT COSTS		
Indirect Cost Base	\$12,796	\$63,980
Indirect Costs (Rate 57%)	\$7,294	\$34,469
	TOTAL PROJECT COSTS	\$45,090
		\$125,449

04

Proposal Routing and Approval

Routing and approval process and statuses

Required Certifications and Approvals

Internal Processing Forms serve as documentation of certifications and approvals.



Certifications

Lead Principal Investigators and co-Principal Investigators

Authorizations

Unit heads and deans, if applicable, of the administering unit and “home” units of personnel on the Investigators/Research Team

Approval

Sponsored Programs, as the admin office

Proposal Review Types

Full Review ≥ 5 Business Days

- Campus & sponsor requirements
- Financial & regulatory compliance
- PI & institutional eligibility
- Terms & conditions, if applicable
- **Submission:** Final packages should be submitted to SPO two business days prior to submission deadline (preferred); at a minimum, three hours prior to submission deadline

Limited Review < 5 Business Days

- Indirect cost rate, based on information as submitted
- Additional items as time may allow
- Reserve right to negotiate at time of award
- **Submission:** As soon as practicable, although we cannot guarantee an error-free submission or that the submission will be completed due to factors such as volume or system issues

No Review

- No review
- Reserve right to negotiate at time of award
- **Submission:** As soon as practicable, although we cannot guarantee an error-free submission or that the submission will be completed due to factors such as volume or system issues

Is Certification/Authorization Required?

	Person Must Certify	Person's Unit Head Must Authorize
Investigator		
Principal Investigator (co-PI)		
Proposal Editor		
Lead Principal Investigator		

Is Certification/Authorization Required?

	Person Must Certify	Person's Unit Head Must Authorize
Investigator		
Principal Investigator (co-PI)		
Proposal Editor		
Lead Principal Investigator		

Demo: Checking IPF Status and SPO Assignment

Find the IPF from My Proposals or Proposals in My Unit

Cayuse SP Statuses

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

Cayuse SP Statuses

Record Type	Status	Definition
Proposal	Unsubmitted	Not submitted for routing
	Dept Approval in Process	Pending IPF approvals
	Admin Office in Process	Received by SPO but not assigned
	PS Review	Under review by Proposals Analyst
	CS Review	Under review by Awards Analyst
	Proposal Approved	Proposal approved for submission to sponsor
	Proposal Reopened	Proposal reopened for department to edit

Cayuse SP Statuses

Record Type	Status	Definition
Award	Active	The award has been fully executed and routed to Contracts and Grants Accounting
	Pending	The award is not fully executed
Subaward	(Awaiting) Admin Dept	Action is required by the PI/department
	(Awaiting) Award Mgr/Analyst	Action is required by the Award Analyst
	(Awaiting) Subcontractor	Action is required by the Subrecipient
	Fully Executed	The Subaward is fully executed and has been sent to CGA

Proposal Routing Status

Proposal: 20-2525 	Sponsor: NIH National Institute of Allergy and Infectious Diseases (NIAID)	Submission Deadline: 6/11/2020
Project: A21-0730	Prime Sponsor:	Proposed Begin-End Dates: 1/16/2020 - 1/23/2020
Lead PI: Charlie Apple	Instrument Type: Grant	Proposed Total Amount: \$2,641,075.00
Admin Unit: Med: Intl Med- Allergy		
Project Title: SDPS Class Sample - Do not delete	Specialists: Kassie Obelleiro , Kassie Obelleiro	

[View IPF](#)[Approvals](#)[Compliance](#)[Status History](#)[Advance Account](#)[Awards](#)

The above proposal has been successfully submitted. All lead/principal investigators and approving units listed below have been notified and should electronically authorize (in routing order for units) this proposal before it is received by the UC Davis Sponsored Programs Office.

Investigator(s) who must certify this Proposal

Investigator	Role	Decision
Charlie Apple	Lead Principal Investigator	Certified on 01/09/2020 11:05 AM PST

Unit(s) that must authorize this proposal

Order	Unit	Authorizing Person(s)	Authorizing Decision
1	Med: Intl Med- Allergy	Kaitlyn Kirk , Merrill Gershwin , Charlie Apple	Authorized By Charlie Apple on 1/09/2020 11:06 AM PST
2	Med: Intl Med (Use the PI's Int Med Dept.)	Timothy Albertson , Monique Vasquez	Not Yet Reviewed
3	School of Medicine (Use 049000)	Anuurad Erdembileg , Tammi Olineka , Tasska Johnson , Randi Freeman	Not Yet Reviewed
4	UC Davis Sponsored Programs Office	Admin Office	

Status History

Status	Person	Date
Changed to: Funded	Changed by: Kassie Obelleiro	2/19/2020, 4:37 PM PST

Learning Objective Review

01 Proposal Process

Proposal Process

Know the proposal process for extramural funding at UC Davis

02 IPFs

Internal Processing Forms (IPFs)

Understand the purpose of Internal Processing Forms (IPFs)

03 IPF Routing

IPF Routing

Know the IPF routing and approval process

04 Statuses

Statuses

Know how to identify and understand IPF statuses

Questions

1. What does the proposal team verify for RCI – COI during the proposal process; if form 800 is created in the ecoi system if the proposal requires one?
2. When is the project folder created for the proposal.
3. How is the after the fact award entered; will there always be at least a proposal shell created.
4. Does the proposal team verify anything if there are animal subjects at the proposal stage; i.e. IACUC protocol in process?

Contact Us

How was today's session? <http://bit.ly/BAASICS-Eval>



Sponsored Programs
Office of Research
University of California, Davis
<https://research.ucdavis.edu/proposals-grants-contracts/spo/>

Tel: +530 754 7958
Email:
kobelleiro@ucdavis.edu

Kassie M. Obelleiro
Training Officer

05

Resources

Common Acronyms

- AB20: Assembly Bill 20
- BAA: Broad Agency Announcement
- BUA: Biological Use Approval
- CGA: Contracts and Grants Accounting
- COI: Conflict of Interest
- ERA: Electronic Research Administration
- F&A: Facilities & Administrative rates; also referred to as indirect cost rate (IDC or ICR) or “overhead”
- FOA: Funding Opportunity Announcement
- GMS: Grant Management System
- HASTOC: Human Anatomic Specimens and Tissue Oversight Committee
- IACUC: Institutional Animal Care and Use Committee
- IPF: Internal Processing Form
- IP: Intellectual Property
- 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
- PHS: Public Health Service
- PRAM: Progress Report Additional Materials (NIH)
- RPPR: Research Performance Progress Reports
- SBIR: Small Business Innovation Research
- SNAP: Streamlined Non-Competing Award Process (NIH)
- SPO: Sponsored Programs unit in the Office of Research
- STTR: Small Business Technology Transfer

Sponsor Resources

- [National Institutes of Health \(NIH\) Application Guide](#)
- [National Science Foundation \(NSF\) Preparing Proposals](#)
- [US Department of Agriculture \(USDA\): “Apply for Grant”](#)
- [National Endowment of the Humanities \(NEH\): “How to Write a Successful Level I DHAG Proposal”](#)
- [Links to Other Funding Sources](#)

UC Davis Resources

- [Funding Opportunities and Limited Submissions Program, Office of Research](#)
- [Proposal Preparation Checklist](#): Applicable to all proposals materials
- [Interdisciplinary Research Support \(IRS\) unit](#)
 - [Templates and Samples](#)
- [Call for Proposals Checklist](#): Consider using the checklist during review of the sponsor guidelines
- [Proposal Preparation and Submission Toolkit](#)
- [Senior/Key Personnel Descriptions](#)
- [NSF Biosketch Tipsheet](#)
- [Preparing a Proposal Budget Toolkit](#)
- [Budget Justification Checklist](#)
- [Guidance for submitting proposals/IPFs that involve cost sharing](#)
- Cayuse SP Instructions
 - [Cayuse SP Quick Reference](#)
 - [Cayuse SP Quick Start Guide for Principal Investigators and Departmental Staff](#)
 - [Cayuse SP Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers](#)
 - [Cayuse SP Interactive How-to Guide Written Instructions](#)
- [Subaward Processing Checklist – Departments/Principal Investigators](#)
- [Handbook for Submitting a Proposal with Subawards](#)
- [Table: Subrecipient, Contractor/Vendor, Consultant?](#)
- [Subaward or Contractor \(Vendor\) Guidance](#)
- [Sponsored Programs Research Administration Kiosk \(SPARK\) Website](#)

Sponsored Programs Contacts

- SPO Contact Us webpage: <http://research.ucdavis.edu/contact-us/sponsored-programs/>
- Proposals: proposals@ucdavis.edu
- Awards: awards@ucdavis.edu
- Subawards: subawards@ucdavis.edu
- Closeouts: closeouts@ucdavis.edu
- eRA Help: SPOeRAhelp@ucdavis.edu
- Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
- Training: SPOTraining@ucdavis.edu



Office of Research Listservs

- 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
- SPARK: https://lists.ucdavis.edu/sympa/subscribe/spark_i



Forum for department research administrators to:

- **Ask questions** of campus research administration units
- **Provide feedback** regarding research administration services and processes
- **Hear updates from campus research administration units**, such as Contracts and Grants Accounting, Sponsored Programs, Research Compliance and Integrity, IRB Administration, IACUC and others

Subscribe to the C&G listerv for updates and reminders:

<https://lists.ucdavis.edu/sympa/info/ovcr-cg>

Additional meeting in April and May due to COVID-19

Research Administration Forum

FOURTH WEDNESDAY OF EACH MONTH

8:30 – 10:00 AM

ZOOM: [HTTPS://ZOOM.US/J/958409717](https://zoom.us/j/958409717)

No in-person meeting until further notice due to Coronavirus-19

JANUARY

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

MAY

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			31			

SEPTEMBER

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FEBRUARY

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JUNE

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OCTOBER

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MARCH

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29	30	31				

JULY

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APRIL

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AUGUST

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27	28	29	30	31		

NOVEMBER

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20	21	22	23	24	25	26
27	28	29	30	31		

DECEMBER

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

2020

Research Administration Forum
Join us via [Zoom](https://zoom.us/j/958409717) the fourth Wednesdays at 8:30 am!

Watch previous forums on [YouTube](https://www.youtube.com/channel/UCuXWzXWzXWzXWzXWzXWzXW)



Live and Recorded Learning Opportunities

SPO BAASICS

Budget, Application, Award and System Instruction for Comprehensive Skills (BAASICS) are training sessions designed to help contract and grant administrators at UC Davis build and hone their research administration skills.

[Learn more](#)

Staff Development and Professional Services Classes

SPO offers classes in the [Research Administration Certificate Series \(RACS\)](#) and the [eRA Train the Trainer certificate series](#).