Cayuse SP Handbook for Industry-Funded Clinical Trials

Additional resources:

- Clinical Trials Contracts Office Workflow Diagram
- Clinical Trial Amendment Chart for Department Administrators

Department Approvers, see the following:

- IPF Approvers Guide - 4-page guidance with screenshots
- Pre-Award Spending Approvers Guide - 3 page guidance with screenshots

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Updated August 2025

Submitting to the UC Davis Health Clinical Trials Contracts Office (CTCO)

Only clinical trials that are **fully funded by private industry** are submitted to the CTCO. If even $1 is funded by another entity, the clinical trial should instead be routed to the UC Davis Sponsored Programs Office (SPO) for review.

- **For guidance on submitting to SPO** in Cayuse SP, see the Cayuse SP Handbook for PIs and Dept Admins.

Industry-funded clinical trials do not have a "proposal" process that is reviewed in advance of the clinical trial award.

- The term "proposal" in this document means the required initial documentation and setup of the clinical trial contract request.
- **Note:** The **IPF (Internal Processing Form)** is also referred to as the "proposal" in Cayuse SP and is the electronic document routed internally at UCD for the following required review and approvals:
    - **PI and Co-PI certifications** that the information is accurate and that they will be responsible should the "proposal" be awarded.
    - **Department authorizations** and dean's office authorizations in the Schools of Medicine and Veterinary Medicine.
    - **Institutional approval** by the UC Davis Health Contracts Clinical Trials Contracts Office (CTCO)

An **IPF** routed in Cayuse SP for an industry-funded clinical trial is the equivalent of what is commonly known as the **Clinical Trial Packet**.

- **A new IPF is required for all submissions** to the CTCO.

Follow the general instructions below when creating a new IPF unless otherwise noted.

Required IPF Attachments

The following documents should be attached to the IPF when submitting to the CTCO:

1. Sponsor Protocol
2. Clinical Trial Agreement draft (editable Word document)
3. Sponsor budget
4. Internal Unified Budget Template (UBT)
5. If there are subawards:
    a. Subrecipient budget
    b. Subrecipient commitment form. See Prepare a Proposal with Subawards.
6. Complete PI Exception form, if applicable

a. UC policy states that only qualified members of the Academic Senate and appointees in other eligible title groups listed in the UC Academic Senate policy may submit proposals without the need for an exception.
    i. UC Davis policy on PI eligibility: PPM 230-02
    ii. See Organization of the Academic Senate for specific Senate titles
b. **Note:** if the PI Exception form is attached to the IPF, the department chair/dean do not need to sign as their approval of the IPF indicates their approval of the form.

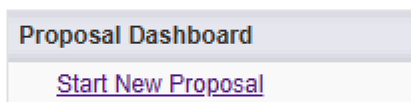
7. Complete Exception to Policy for Clinical Study Contracts (PDF)

Additionally:

- The PI and Co-PIs must file appropriate conflict of interest disclosure forms (Form 800 and 700U) through the eCOI online disclosure system.
- All clinical trial agreements also require that the PI's UC Ethics and Compliance Briefing for Researchers training is up to date, as required by the UC Office of the President. See PHS COI Training.

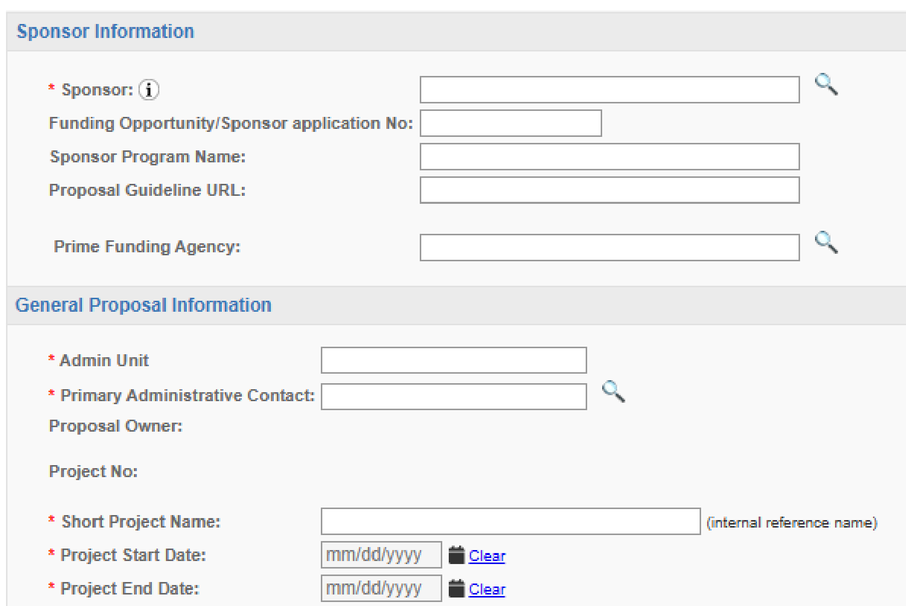
Internal Processing Form (IPF)

1. Login to: https://ucdavis.cayuse424.com/ with your Kerberos ID and Password.
2. Select **Cayuse SP**.
3. Select **Start New Proposal**.



Start New Proposal

Populate the first screen as follows:

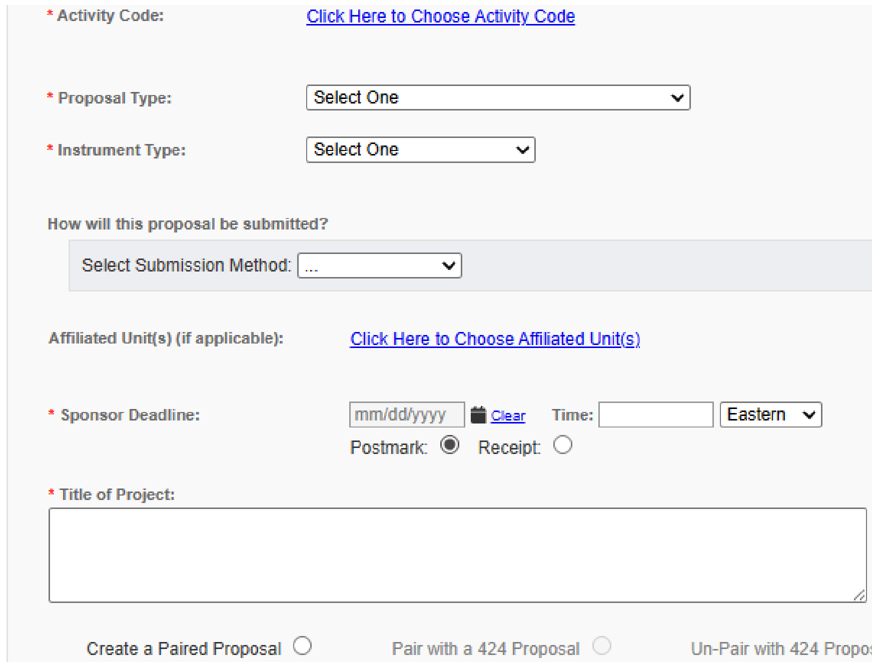


1. **Sponsor:** If the sponsor is not found (try spelling variations), select **Miscellaneous Sponsors** and then write orcayusehelp@ucdavis.edu to have the sponsor added into the Cayuse system. Provide as many sponsor details as possible (i.e, name, UEI, webpage, state incorporated, etc.).
    a. If you provide the Cayuse SP **Proposal Number** (i.e, 26-8888) at the same time, orcayusehelp@ucdavis.edu will update the sponsor in the IPF after adding it into the system.
2. **Prime Funding Agency:** This is used only when UC Davis is a subrecipient and is used to indicate the Agency that awarded funds to the Sponsor.
3. **Admin Unit:** Academic Department administering the project.

4. **Primary Administrative Contact:** You, or the person CTCO will contact with questions.
5. **Short Project Name:** The Protocol Number only.
6. **Project Start Date** and **Project End Date:** The start and end dates listed in the UBT.
7. **Activity Code:** Select one of the following only when submitting an industry-funded clinical trial:

Activity Code	Definition
06 Other Service	Service activity.
07 Clinical Trial – Investigator Initiated	Self-explanatory.
08 Clinical Trial – Sponsor Initiated	Self-explanatory.
14 Other	Anything that does not fit Activity Codes 01-13.

8. **Proposal Type:** Select **New – UC Davis Health** for all industry-funded clinical trials.
9. **Instrument Type:** Select **Contract** or **Non-Monetary Agreement** only when submitting an industry-funded clinical trial.
10. **Sponsor deadline:** Enter the current date. No need to enter time.
11. **Title of Project:** "Protocol Number - Protocol Title"
12. **DO NOT** Create a Paired Proposal. Pairing creates technical issues.



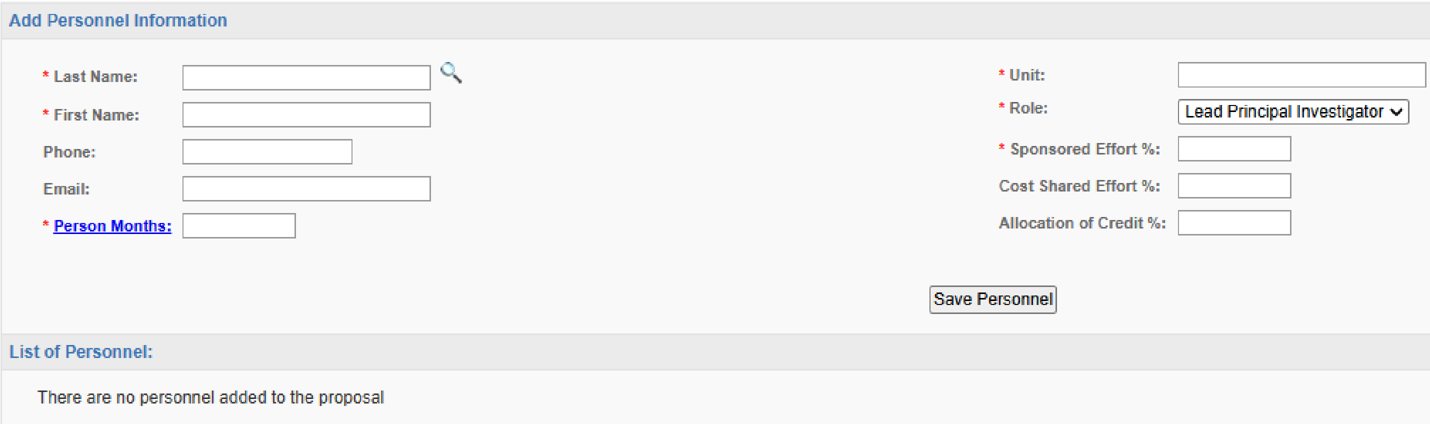
Once you click **Save**, you will see an **Item List** in the left column.

The entries you just made comprise the **General Information** tab.

- The **green checkmark** indicates this tab is complete.

Complete each section until you have a column of **green checkmarks** on the left side.

Investigators/Research Team

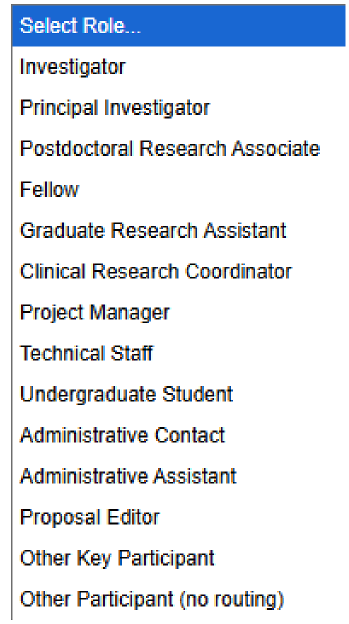


For industry-sponsored clinical trial requests **add all investigators** required to complete financial conflict of interest Form 800.

1. Enter the **PI first,** who will have the Cayuse SP role of **Lead Principal Investigator**.
   - If an investigator is not listed but **has** a UC Davis appointment, email ORCayuseHelp@ucdavis.edu for assistance adding them into Cayuse.
   - If an investigator is not listed and **does not yet, but will,** have a UC Davis appointment either:
     - Initiate, complete and process a Temporary Affiliate Form for the new appointed individual **OR**
     - List the Department Chair as the Lead Principal Investigator and update the IPF after the individual has a UC Davis appointment.
       - This may require you to request CTCO update the IPF record.

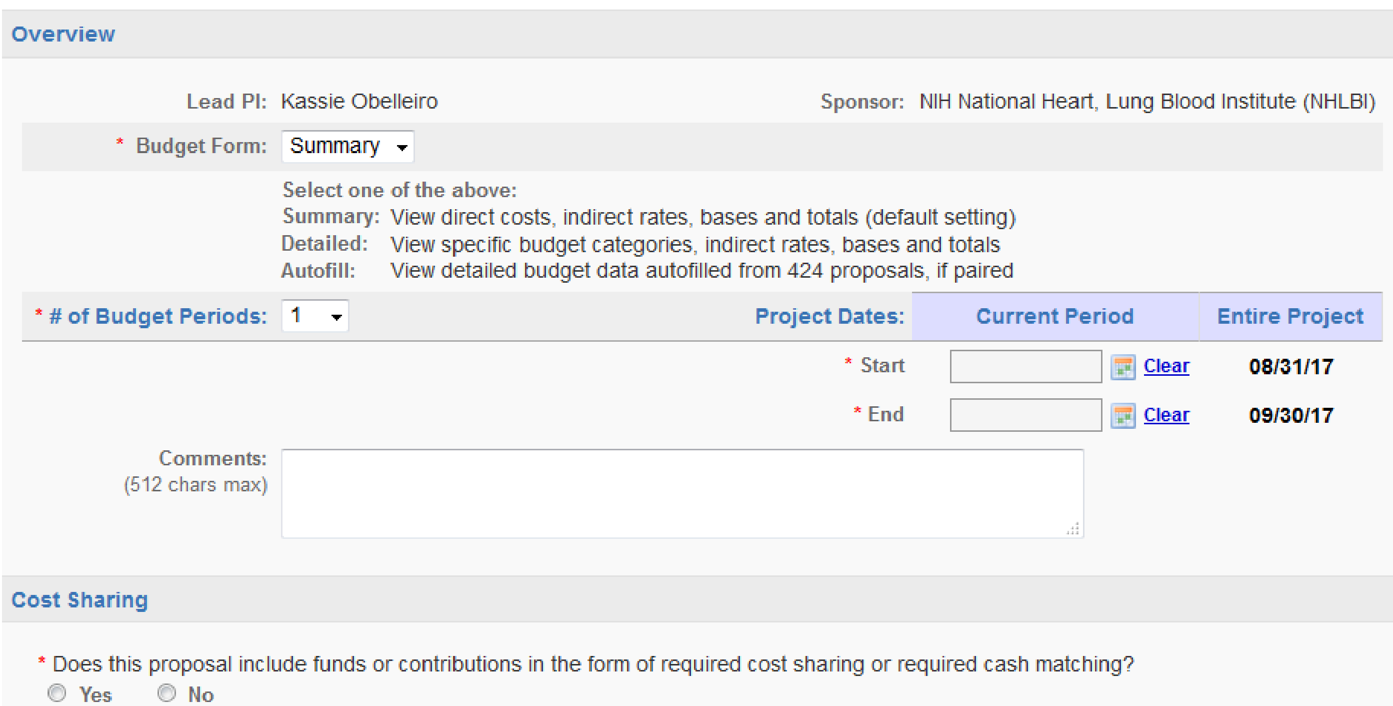
- **Unit:** Ensure the amin unit listed is correct. If not correct, select the appropriate unit.
  - **DO NOT** select a unit indicated as **Non-Admin/Home**.
  - **IMPORTANT:** If language like **(Use 123456)** is displayed, **find and select the unit code identified in the parenthesis**.
- **Sponsored Effort %:** Add the correct sponsored effort.
  - If the salary included in the IPF is not determined from effort committed, and no effort is being committed, enter **0%** and include the appropriate amount on your budget.
- **Person Months:** Click on the link to download a PDF that helps you determine Person Months based on the Sponsored Effort % x type of appointment (9 month, 11 month (typically College of Ag faculty) or 12 month appointments (typically SOM & SVM or staff))
- **Cost Shared Effort %:** Entry should always be **0** for industry clinical trials.
- **Allocation of Credit %:** See note at top of **Investigators/Research Team** page. Credit must equal 100% total for all key personnel.
  - PIs and departments can determine how best to allocate credit.
- Click **Save Personnel**.
  - Saved personnel will display under **List of Personnel**.

2. Enter each **Co-PI** as **Principal Investigator.**
    - Note: The IPF will route for certifications by the **Lead Principal Investigator** and **Principal Investigator(s)** only.
3. Enter other investigators as **Investigator.**
4. Enter other personnel as needed by type.
5. Add anyone who needs ***edit*** access to the IPF as **Proposal Editor**.
6. Add anyone who needs ***view*** access to the IPF as **Other Participant (no routing)**.
    - Note: Most, if not all, admin units have personnel with **Proposal Data Access** able to view all proposals in their unit.



Budget

Attach a signed UBT to the IPF for mandatory reporting requirements.



1. **Budget Form:** Keep the default, **Summary**
2. **# of Budget Periods:** Indicate the appropriate number for the entire period.
3. **Current Period Start** and **Current Period End**: These are for the first project period only. These dates should match the UBT.
    - For one-year projects both columns should match.
4. **Cost Sharing:** Indicate **No**.

F&A Rates

		Current Period	Entire Project
	F&A Rate (1):	0.000 %	0.000 %
	F&A Rate (2):	0.000 %	0.000 %
	F&A Rate (3):	0.000 %	0.000 %
Use calculated values: ☑	* Effective Rate:	0.000 %	0.000 %

* The Effective Rate is for reporting purposes. To report different rates than those calculated, uncheck the box and enter the percentage values.

5. **F&A Rate(s):** These are Facilities and Administrative rates, also known as indirect costs or overhead costs. This section is required.

Budget F&A Rate Chart for UC Davis

Select the appropriate F&A rate by clicking one in the table or typing it in the input field below:

	On-Campus	Off-Campus	Primate Center
Organized Research 7/1/16 - 6/30/22	57.00%	26.00%	
Organized Research 7/1/22 - 6/30/23	59.50%	26.00%	
Organized Research 7/1/23 - 6/30/24	60.00%	26.00%	
Organized Research 7/1/24 - 6/30/25	61.00%	26.00%	
Other Sponsored Activities 7/1/16 - 6/30/22	39.00%	25.00%	
Other Sponsored Activities 7/1/22 - 6/30/25	42.50%	26.00%	
Instruction 7/1/13 - 6/30/25	50.00%	26.00%	
Core Grant 7/1/13 - 6/30/22			22.70%
Core Grant 7/1/22 - 6/30/25			25.20%
Non-Core Federal Grant 7/1/13 - 6/30/22			54.40%
Non-Core Federal Grant 7/1/22 - 6/30/25			57.80%
Non-Core Non-Federal Grant			90.10%
IPA		8.00%	
Clinical Trial	32.00%	32.00%	

F&A Rate: [ ] % [Change Rate]

[Cancel]

   a. Click in the **F&A Rate (1)** field then select the appropriate F&A rate from the list that appears in a pop-up screen.
   b. If the F&A Rate is not listed or the sponsor does not allow F&A, enter the correct rate in the field at the bottom of the pop-up then select **Change Rate**.
      i. Upload documentation regarding the sponsor's F&A (indirect) Rate policy as a **Proposal Attachment** (at bottom of the **Item List** in the left column)
   c. Repeat these steps for all other appropriate F&A rate fields.
      i. **F&A Rates (2) and (3)** come into play when the project period extends through Fiscal Periods with different F&A rates.
   d. The **Entire Project** column will auto-populate if there is only one budget period. Otherwise, populate it as well.
   e. **Effective Rate:** Leave the **Use Calculated Values** box checked.

Budget Categories

		Current Period	Entire Project
	SPONSOR DIRECT COSTS:	$ 0	$ 0
	BASE for F&A Rate (1):	$ 0	$ 0
	BASE for F&A Rate (2):	$ 0	$ 0
	BASE for F&A Rate (3):	$ 0	$ 0
Use calculated values: ☑	**INDIRECT COSTS (F&A):**	**$0**	**$0**
	FEE:	$ 0	$ 0
Use calculated values: ☑	**TOTAL SPONSOR PROPOSED COSTS:**	**$0**	**$0**
	Internal Cost Sharing:	$0	$ 0
	Third-Party Cost Sharing:	$0	$ 0
	TOTAL PROJECT COSTS:	**$0**	**$0**

* If there is additional cost sharing in subsequent years, the total may be reflected in the Institutional Cost Sharing value for the Entire Project.

6. **Budget Categories.** This section is required.
    a. **Sponsor Direct Costs:** Enter the direct costs being requested of the sponsor for the **Current Period**
        i. **Note:** This should match the UBT.
    b. **Base for F&A Rate (1-3):** Enter the **Base** amount used to calculate each F&A Rate for the **Current Period** and the **Entire Project** (again, the **Entire Project** column will auto-populate for projects with only one budget period).
        i. **Note:** For Clinical Trial contracts, the **Base for F&A Rate** should total the same as **Sponsor Direct Costs**.
    c. **Indirect Costs (F&A):** Leave the **Use Calculated Values** box checked.
    d. **Fee:** Do not enter anything in the **Fee** fields.
    e. **Total Sponsor Proposed Costs:** Leave the **Use calculated values** box checked.

Additional Resources

* In addition to resources available in the administering unit (generally excluding recharge services), will you be using personnel, space, equipment or other resources? If yes, add them to the Investigator/Research Team page if possible. If not possible to add them there, mark yes and add them below.

○ Yes ○ No

Save Reset

7. **Additional Resources:** Indicate if any **Additional Resources** will be used
    a. **Note:** If you selected an **Affiliated Unit** on the **General Information** (i.e. first) page, include the details of what resources from that Affiliated Unit you may be using.

Financial Conflicts of Interest in Research

Note: Some department administrators leave this page for the PI to complete.

>> Financial Conflicts of Interest in Research

Financial Conflicts of Interest in Research – Disclosure Process & Data Protection Level Classification

1. Determine What Disclosure(s) You Must File. Your funding source and type of research determines which disclosure (if any) you must submit.

- Privately-Funded Research
- PHS-Funded Research
- Gov't-Funded Research (Non-PHS)
- Department Funded
- Human Subject Research

2. Complete and File Your Disclosure – Click here

1. **Determine What Disclosure(s) You Must File:** This section simply provides links to guidance on which financial conflicts of interest disclosures the PI and Co-PIs must submit.
2. **Complete and File Your Disclosure:** This section provides a link to the electronic Conflict of Interest (eCOI) system where the PI and Co-PIs can submit required disclosures.

* 3. Data Protection Level:

The Protection Level Classification Standard is the UC Systemwide Data Classification for assessing the adverse impact that loss of confidentiality, integrity or availability of Institutional Data.

Please select only ONE data protection level option. Only the highest data protection level selected will be reported as the selected data protection level for your proposal.

a. Institutional Information and related IT Resources whose unauthorized disclosure or modification could result in significant fines, penalties, regulatory action, or civil or criminal violations. Statutory, regulatory and contract obligations are major drivers for this risk level. Other drivers include, but are not limited to, the risk of significant harm or impairment to UC students, patients, research subjects, employees, guests/program participants, UC reputation, the overall operation of the Location or essential services.

○ P4 – High - Statutory ○ Not Selected

b. Institutional Information and related IT Resources whose unauthorized disclosure or modification could result in small to moderate fines, penalties or civil actions. Institutional Information of which unauthorized use, access, disclosure, acquisition, modification, loss or deletion could result in moderate damage to UC, its students, patients, research subjects, employees, community and/or reputation; could have a moderate impact on the privacy of a group; could result in moderate financial loss; or could require legal action. This classification level also includes lower risk items that, when combined, represent increased risk.

○ P3 – Moderate - Proprietary ○ Not Selected

c. Institutional Information and related IT Resources that may not be specifically protected by statute, regulations or other contractual obligations or mandates, but are generally not intended for public use or access. In addition, information of which unauthorized use, access, disclosure, acquisition, modification or loss could result in minor damage or small financial loss, or cause minor impact on the privacy of an individual or group.

○ P2 – Low - Internal ○ Not Selected

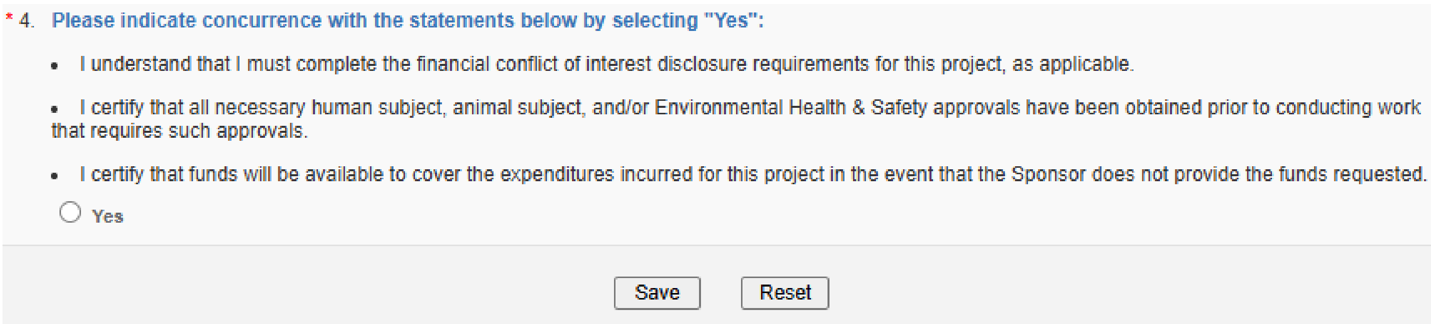
d. Public information or information intended to be readily obtainable by the public, but whose integrity is important and for which unauthorized modification is the primary protection concern. IT Resources for which the application of minimum-security requirements is sufficient.

○ P1 – Minimal - Public ○ Not Selected

For detailed information about the UC Data Classification Standard see https://iet.ucdavis.edu/security/uc-davis-data-classification-guide
For assistance with classifying your data or use case fill out the following form: https://cloud.ucdavis.edu/form/data-sensitivity-guide-intake-su

3. **Data Protection Level:** The PI should indicate (or tell you) the appropriate **Data Protection Level** for the project. More info at the links shown on the page:
   a. UC Data Classification Standard: https://iet.ucdavis.edu/security/uc-davis-data-classification-guide
      i. Leads ultimately to: https://security.ucop.edu/policies/institutional-information-and-it-resource-classification.html

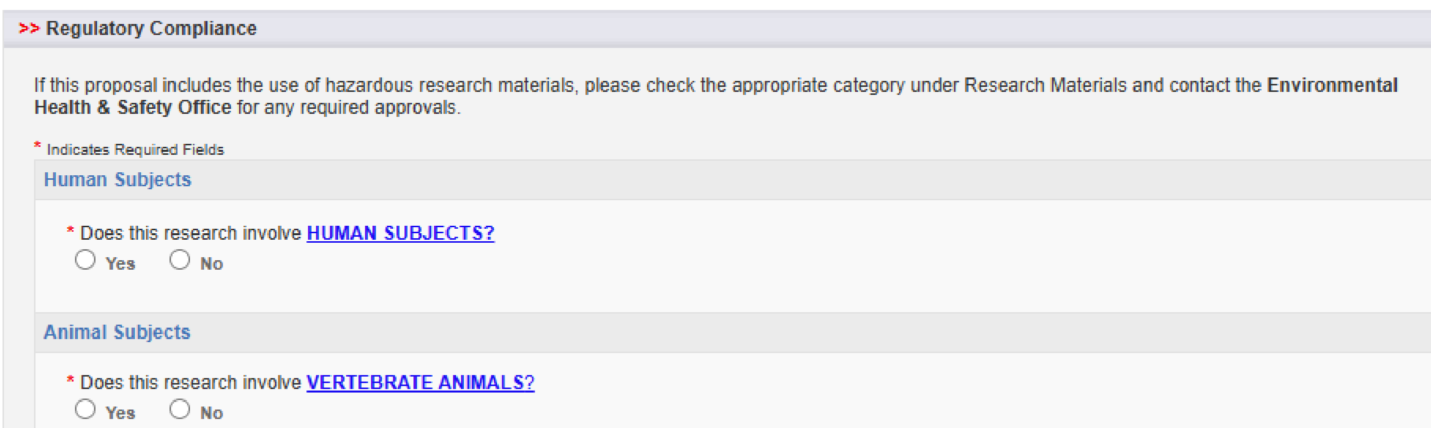
b. For assistance with classifying your data or use case fill out the following form: https://cloud.ucdavis.edu/form/data-sensitivity-guide-intake-su



4. **Concurrence with statements:** The PI should select **Yes** to indicate concurrence with the statements.
    a. To expedite the process, a department administrator may click **Yes** on a PI's behalf since the PI will be certifying that all entries in the IPF are accurate.
5. Click **Save**.

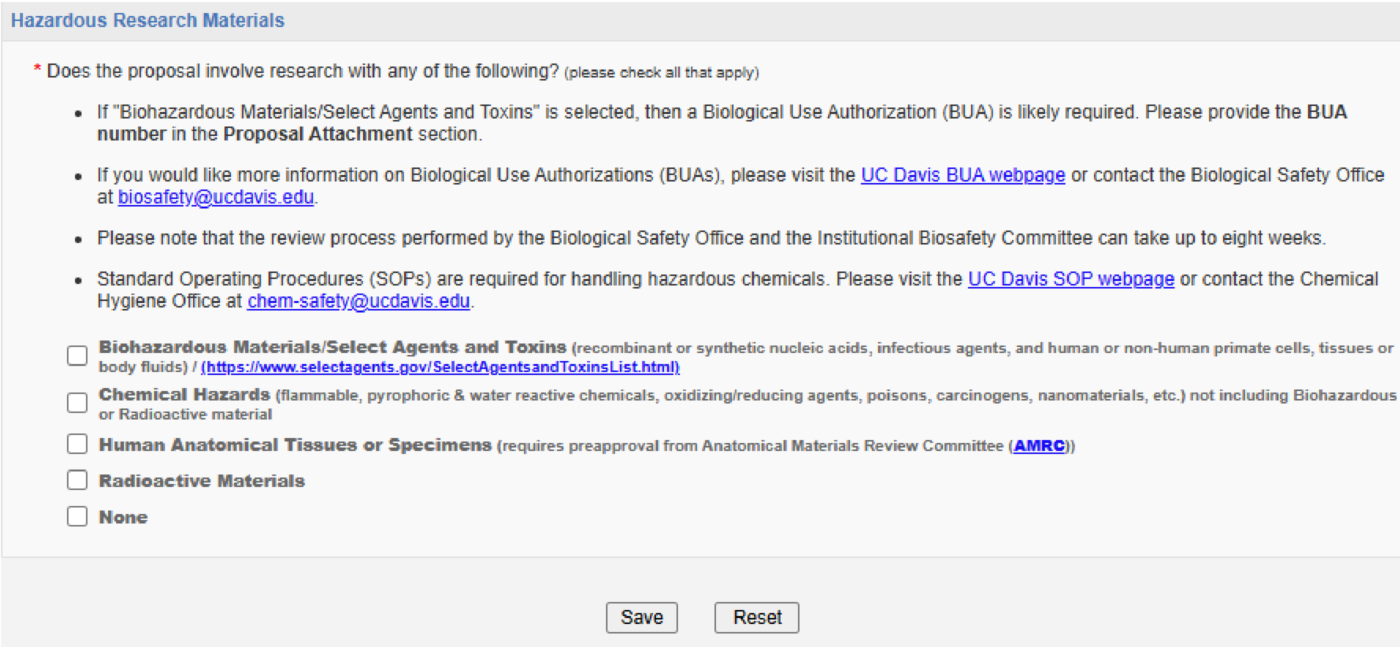
Regulatory Compliance

Note: Some department administrators leave this page for the PI to complete.



1. **Human Subjects:** Indicate whether the project involves [Human Subjects](), likely **Yes** for clinical trials.
    a. Text fields will appear for IRB Protocol number entry, as appropriate. If applied for but not yet received, enter "Pending".
2. **Animal Subjects:** Indicate **No**. Animal clinical trials are not handled by the Clinical Trials Contracts Office (CTCO). Such IPFs should be submitted to the Sponsored Programs Office (SPO).

a. To change the routing to SPO, on the **General Information** tab (the first page completed in Cayuse SP), change the **Proposal Type** from **New – UC Davis Health** to **New.**



Hazardous Research Materials

* Does the proposal involve research with any of the following? (please check all that apply)

- If "Biohazardous Materials/Select Agents and Toxins" is selected, then a Biological Use Authorization (BUA) is likely required. Please provide the **BUA number** in the **Proposal Attachment** section.
- If you would like more information on Biological Use Authorizations (BUAs), please visit the UC Davis BUA webpage or contact the Biological Safety Office at biosafety@ucdavis.edu.
- Please note that the review process performed by the Biological Safety Office and the Institutional Biosafety Committee can take up to eight weeks.
- Standard Operating Procedures (SOPs) are required for handling hazardous chemicals. Please visit the UC Davis SOP webpage or contact the Chemical Hygiene Office at chem-safety@ucdavis.edu.

☐ **Biohazardous Materials/Select Agents and Toxins** (recombinant or synthetic nucleic acids, infectious agents, and human or non-human primate cells, tissues or body fluids) / (https://www.selectagents.gov/SelectAgentsandToxinsList.html)

☐ **Chemical Hazards** (flammable, pyrophoric & water reactive chemicals, oxidizing/reducing agents, poisons, carcinogens, nanomaterials, etc.) not including Biohazardous or Radioactive material

☐ **Human Anatomical Tissues or Specimens** (requires preapproval from Anatomical Materials Review Committee (**AMRC**))

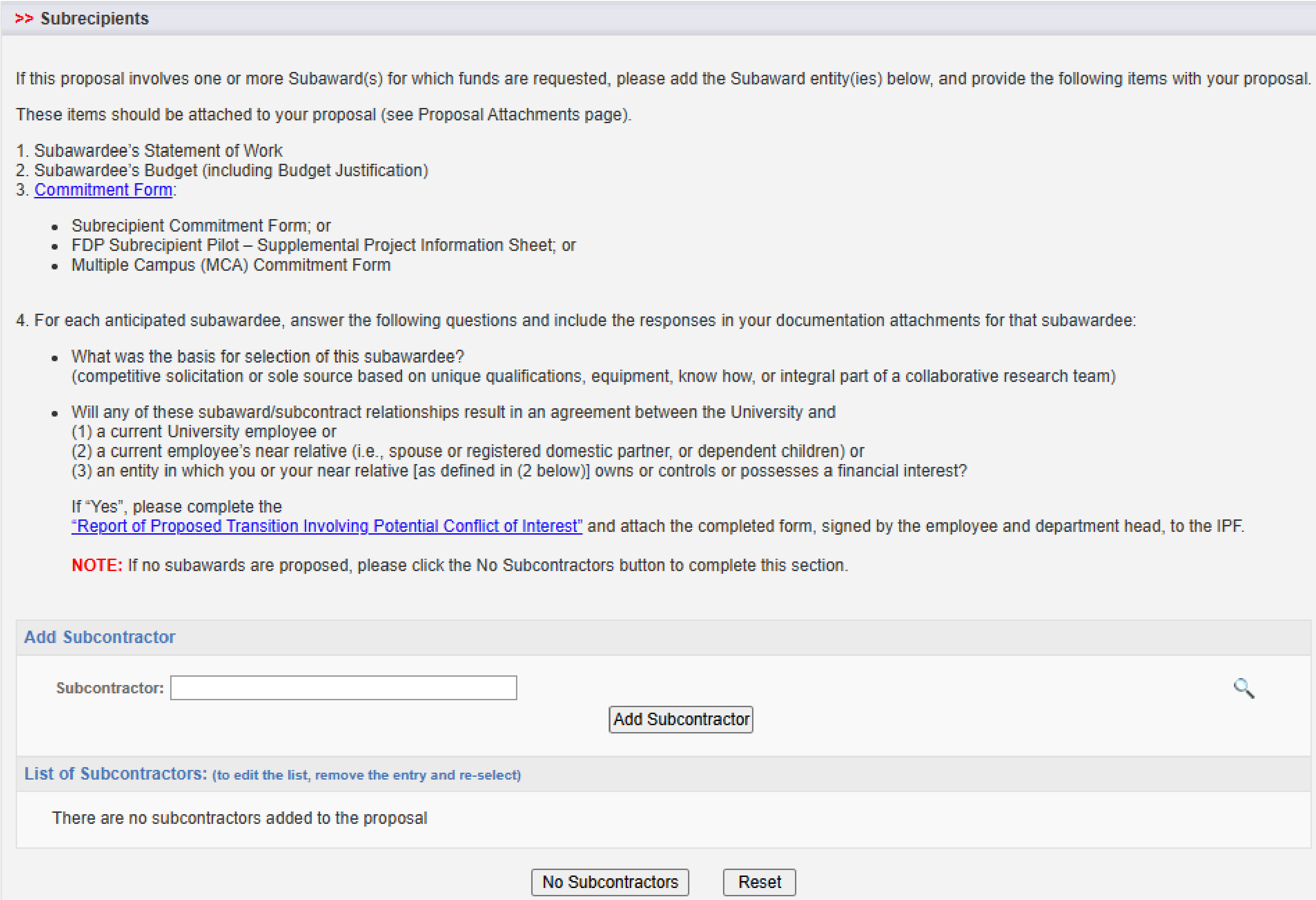
☐ **Radioactive Materials**

☐ **None**

Save Reset

3. **Hazardous Research Materials:** Complete as appropriate.
    a. If no Hazardous Materials, check **None**.
4. Click **Save**.

Subrecipients



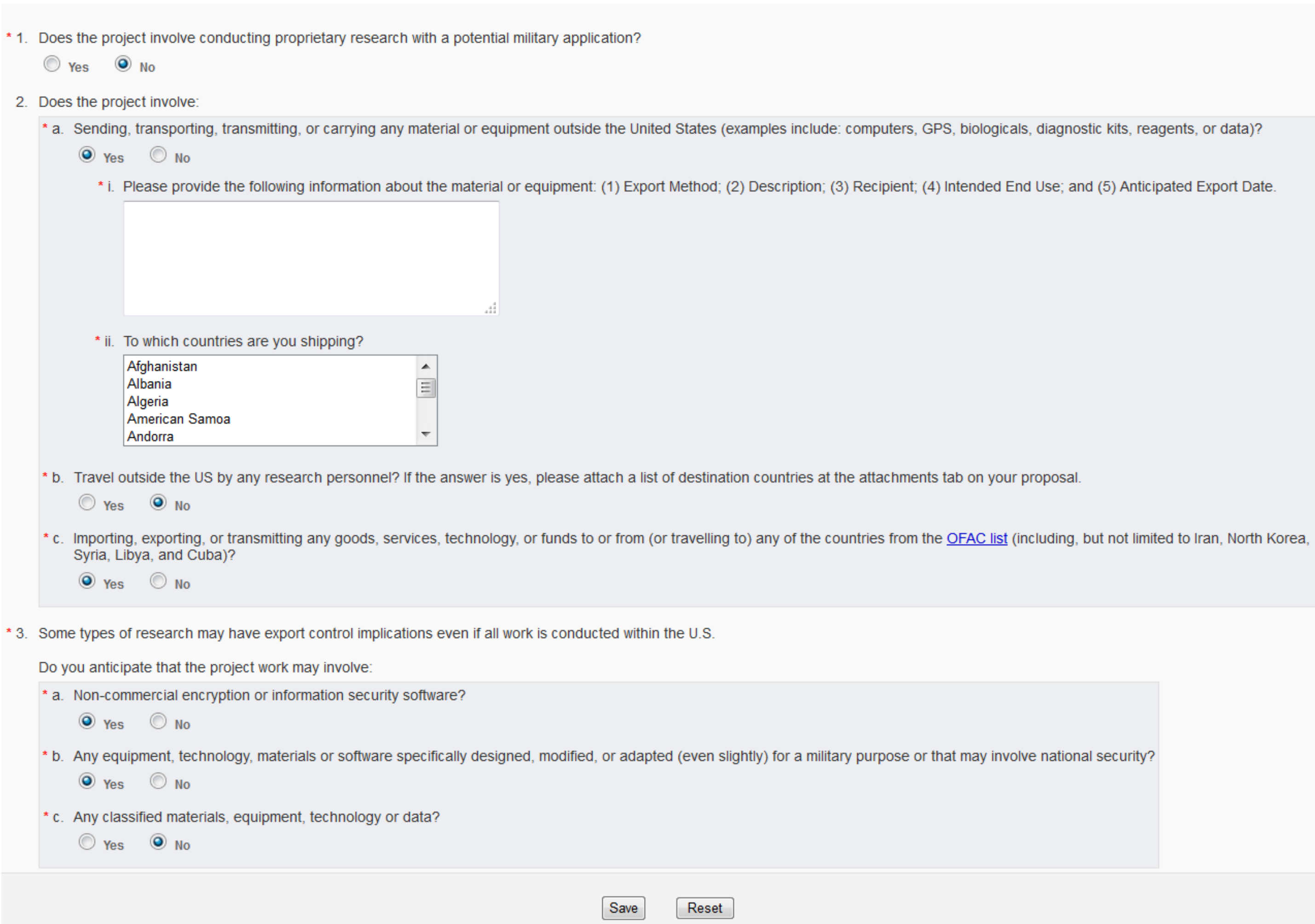
Either follow step 1 or 2:

1. **Add Subcontractor:** Enter any subrecipient(s) separately in the **Subcontractor** field.
    a. If a subrecipient is not listed, select **Miscellaneous Sponsors** and email orcayusehelp@ucdavis.edu to request they add the subrecipient to the Cayuse system. Provide as many details as you can (i.e., type of institution, UEI number, state incorporated, etc.)
    b. Select **Add Subcontractor**.
        i. Note: The required documents, listed in the instructions at the top of the page, must be uploaded for each Subcontractor in the **Proposal Attachments** tab.
    c. Select **Authorize Subcontractor List**.
2. **No Subcontractors:** If no subrecipients, click **No Subcontractors**.

Foreign Activity

Answer the **Foreign Activity** questions. You may need to consult with the PI for answers.

- A text field and/or drop-down list will appear as appropriate.
- If the project will involve export control but the foreign location is unknown at the time of IPF, select **To Be Determined** for the foreign location.
- Select CTRL + each country to select multiple countries.



* 1. Does the project involve conducting proprietary research with a potential military application?

Yes No

2. Does the project involve:

* a. Sending, transporting, transmitting, or carrying any material or equipment outside the United States (examples include: computers, GPS, biologicals, diagnostic kits, reagents, or data)?

Yes No

* i. Please provide the following information about the material or equipment: (1) Export Method; (2) Description; (3) Recipient; (4) Intended End Use; and (5) Anticipated Export Date.

* ii. To which countries are you shipping?

Afghanistan
Albania
Algeria
American Samoa
Andorra

* b. Travel outside the US by any research personnel? If the answer is yes, please attach a list of destination countries at the attachments tab on your proposal.

Yes No

* c. Importing, exporting, or transmitting any goods, services, technology, or funds to or from (or travelling to) any of the countries from the OFAC list (including, but not limited to Iran, North Korea, Syria, Libya, and Cuba)?

Yes No

* 3. Some types of research may have export control implications even if all work is conducted within the U.S.

Do you anticipate that the project work may involve:

* a. Non-commercial encryption or information security software?

Yes No

* b. Any equipment, technology, materials or software specifically designed, modified, or adapted (even slightly) for a military purpose or that may involve national security?

Yes No

* c. Any classified materials, equipment, technology or data?

Yes No

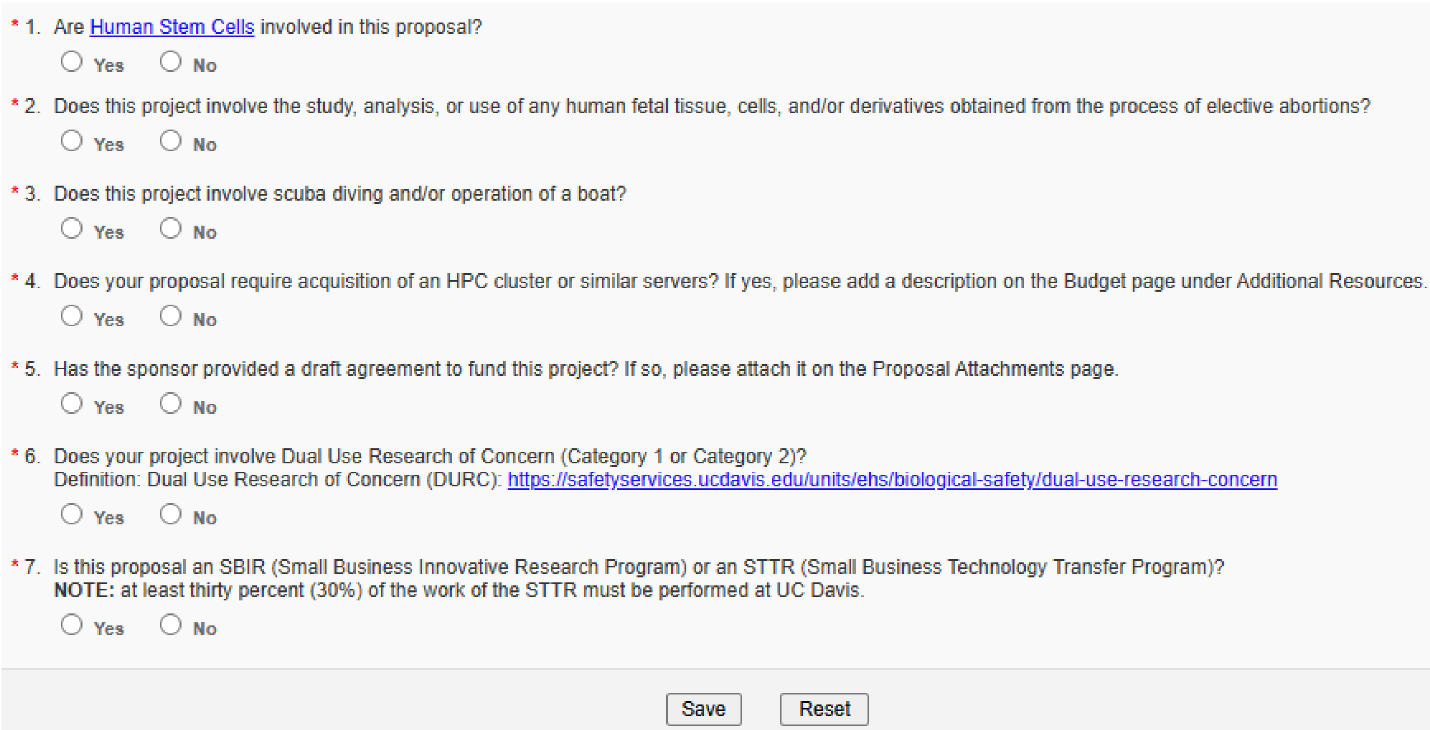
Save Reset

Click **Save**.

Special Interest

Answer the **Special Interest** questions. You may need to consult with the PI for answers.

- Answer additional pop-up questions that arise, as appropriate.
- Question 5 should be answered **Yes** as this refers to the sponsor agreement.



* 1. Are Human Stem Cells involved in this proposal?
Yes No

* 2. Does this project involve the study, analysis, or use of any human fetal tissue, cells, and/or derivatives obtained from the process of elective abortions?
Yes No

* 3. Does this project involve scuba diving and/or operation of a boat?
Yes No

* 4. Does your proposal require acquisition of an HPC cluster or similar servers? If yes, please add a description on the Budget page under Additional Resources.
Yes No

* 5. Has the sponsor provided a draft agreement to fund this project? If so, please attach it on the Proposal Attachments page.
Yes No

* 6. Does your project involve Dual Use Research of Concern (Category 1 or Category 2)?
Definition: Dual Use Research of Concern (DURC): https://safetyservices.ucdavis.edu/units/ehs/biological-safety/dual-use-research-concern
Yes No

* 7. Is this proposal an SBIR (Small Business Innovative Research Program) or an STTR (Small Business Technology Transfer Program)?
NOTE: at least thirty percent (30%) of the work of the STTR must be performed at UC Davis.
Yes No

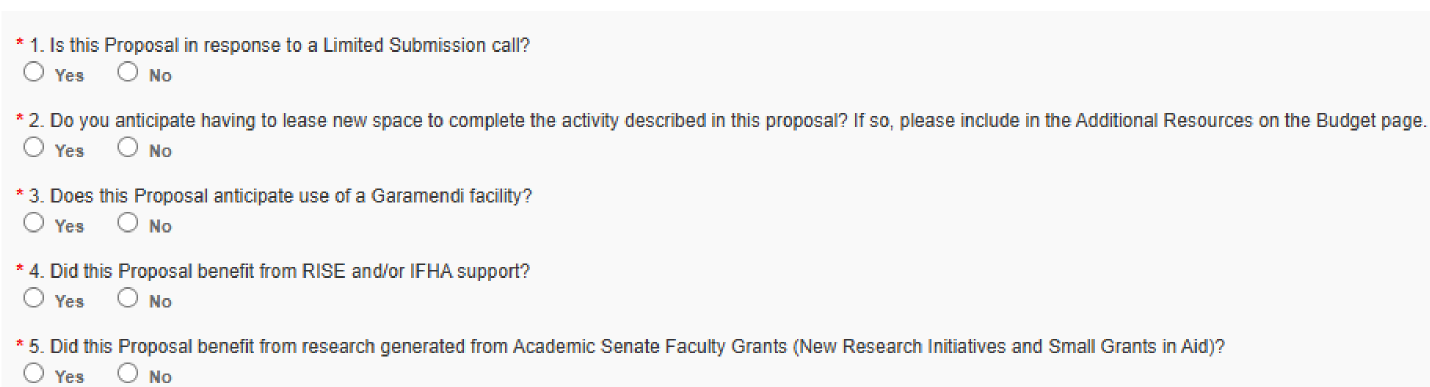
Save Reset

Click **Save.**

Additional Questions

Answer the **Additional Questions**. You may need to consult with the PI for answers.

1. If this is a [Limited Submission](), upload the selection notification email in the **Proposal Attachments** tab.



* 1. Is this Proposal in response to a Limited Submission call?
Yes No

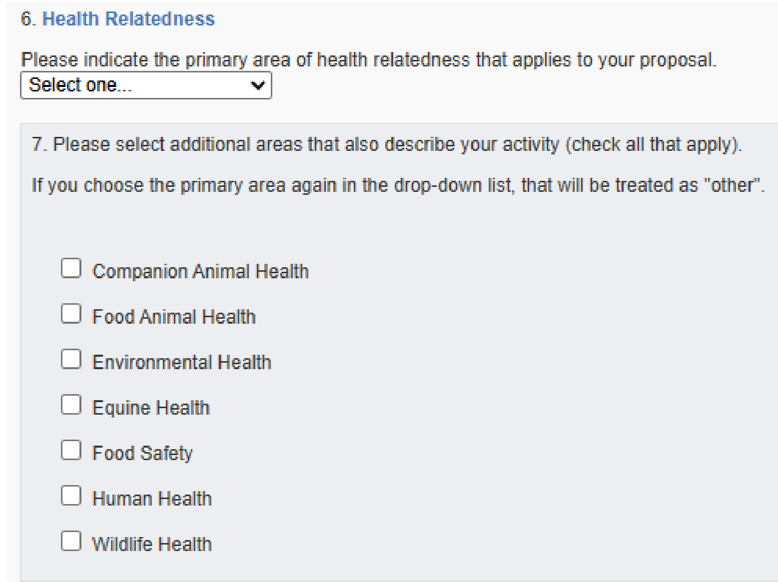
* 2. Do you anticipate having to lease new space to complete the activity described in this proposal? If so, please include in the Additional Resources on the Budget page.
Yes No

* 3. Does this Proposal anticipate use of a Garamendi facility?
Yes No

* 4. Did this Proposal benefit from RISE and/or IFHA support?
Yes No

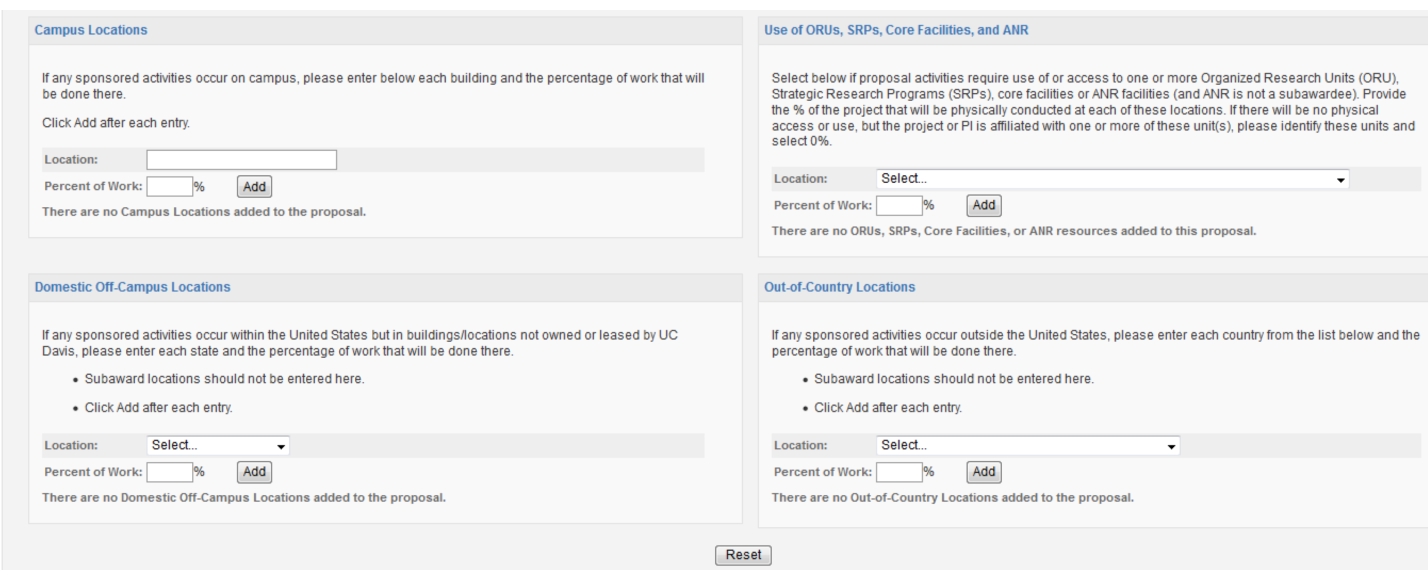
* 5. Did this Proposal benefit from research generated from Academic Senate Faculty Grants (New Research Initiatives and Small Grants in Aid)?
Yes No

2. All industry-sponsored clinical trials should state **Human Health** in the dropdown under **Health Relatedness**.
3. Click **Save**.



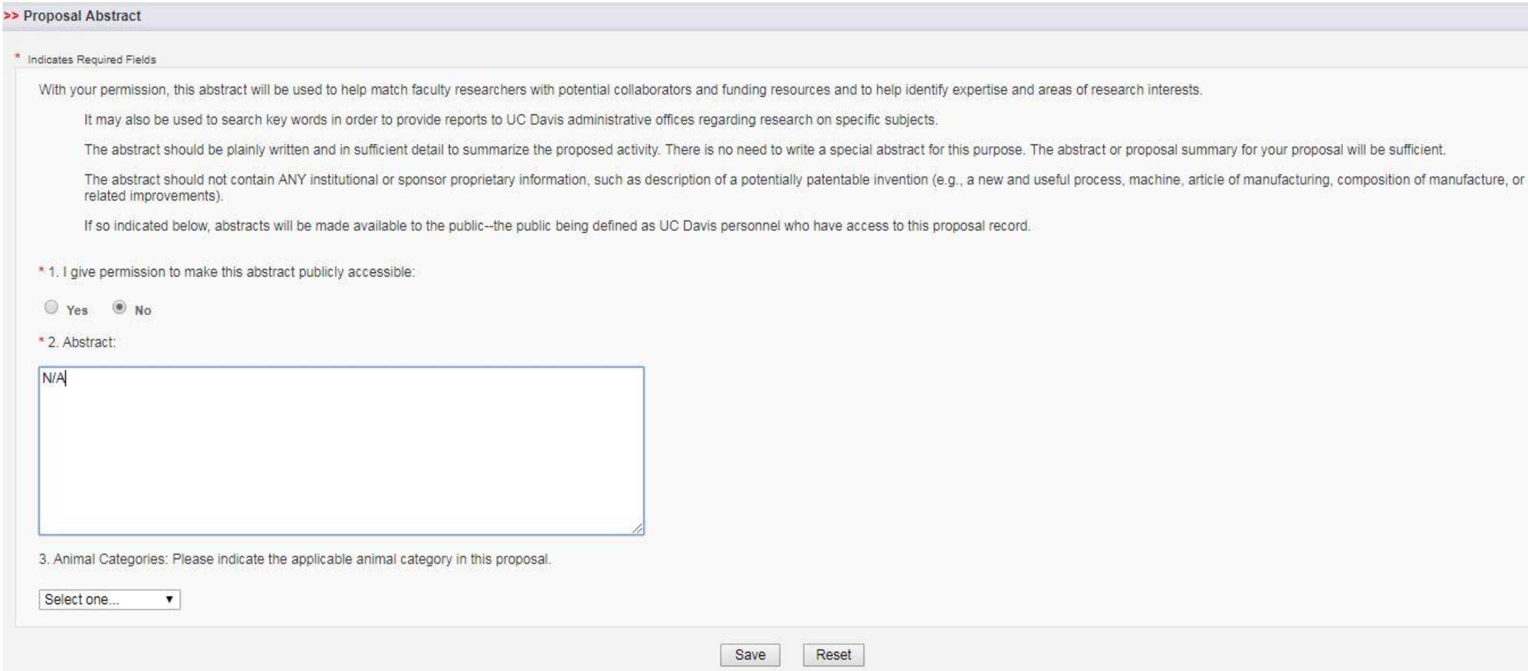
Location of Sponsored Activities

1. Indicate all **Locations** where the work under this project will be performed and the **Percent of Work** at each location.
    a. Do not enter location of Subawardee(s).
    b. Note the separate section for Organized Research Units (ORUs), Special Research Programs (SRPs), Core Facilities and Agriculture and Natural Resources (ANR).
    c. Note: This list should match the FDA Form 1572.
2. Select **Add** in each section an entry was made.
    a. An error will display until the total **Location of Sponsored Activities** equals 100%.



Proposal Abstract

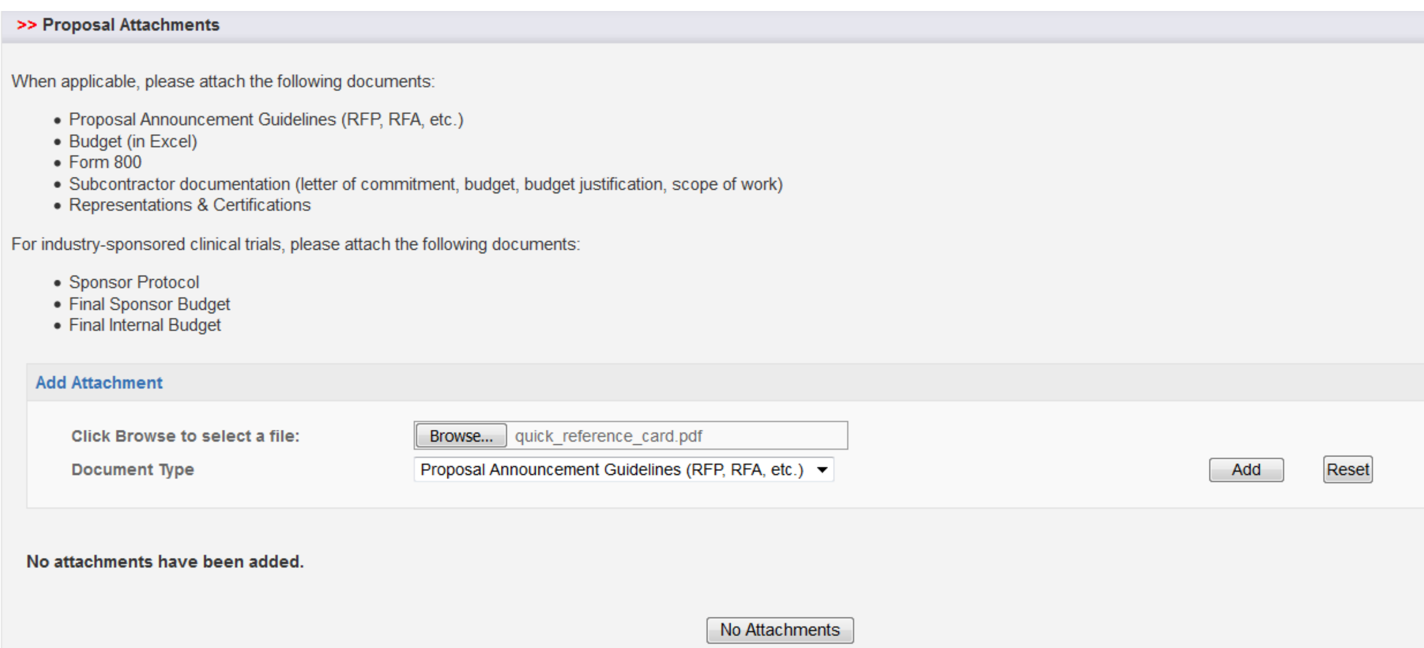
1. **I give permission to make this abstract publicly accessible:** Indicate **No**.
2. **Abstract:** Type **N/A**.
3. **Animal Categories:** No selection is needed.



4. Click **Save**.

Proposal Attachments

Upload applicable documents.



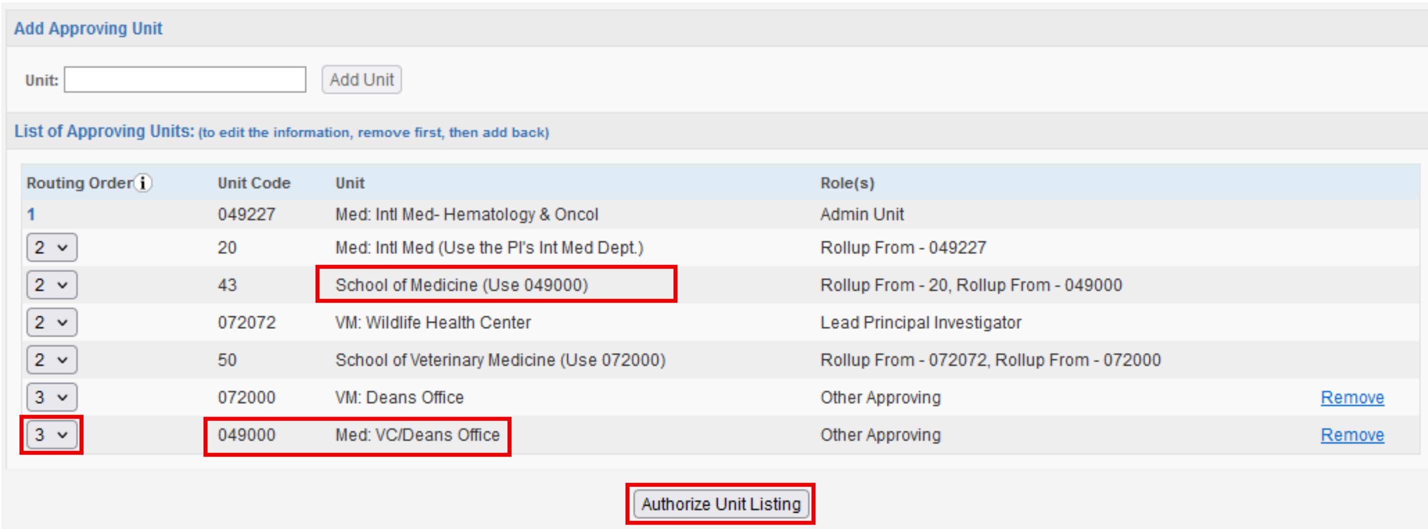
1. See the instructions on the page or Required IPF Attachments (above in this document; you are on page 17) if you are unsure of what to upload.
    a. **Choose File:** Browse your computer and select the document to upload.
        i. UBTs must include **"UBT"** in the file name
        ii. Sponsor budgets must include **"sponsor budget"** in the file name.
    b. **Document Type:** Select the appropriate type.
        i. For the Exception to Policy for Clinical Study Contracts (PDF), select **"Other"**.
    c. Select **Add**.
    d. Repeat this process until all documents are loaded.

Approving Units

1. Check the **List of Approving Units** for accuracy.
    a. Errors on this page will cause the IPF to get stuck in routing and not arrive in the Clinical Trials Contracts Office (CTCO) for review.
    b. If there are any errors, review your entries on the:
        i. **General form:** Admin Unit and Affiliated Unit/s
        ii. **Investigators/Research Team form:** Home unit of all personnel listed unless they are indicated with either the role of **Other Participant – No Routing** or **Proposal Editor**
        iii. **Budget form:** Internal Cost Sharing – If internal cost sharing was entered and a unit selected, remove it.
            1. For more guidance, see the **Cost Sharing** section (#5) in the Budget form instructions (above in this document; you are on page 17).
            2. Contact ORCayuseHelp@ucdavis.edu for assistance if needed.
    c. Contact ORCayuseHelp@ucdavis.edu if a unit name is **blank**.
    d. If a **Non-Admin** unit is listed, ensure is it a rollup unit from one of the other units listed.
        i. "Rollup" will display under **Role(s).**
2. **Routing Order:** Re-order the routing if needed.
    a. A numerical gap in the Routing Order will cause an IPF to get stuck in routing. **Remove any gaps.**
    b. Multiple units can have the same **Routing Order** number, which means they'll all receive the IPF for authorization (approval) at the same time.
    c. A higher number will receive the IPF for authorization subsequent to a lower number.
    d. Select a routing number for any **Dean's Office** so it occurs ***after*** the indicated unit authorizes.
        i. i.e., if the IPF is being routed by rollup to the **School of Medicine**, reorder the School of Medicine to after all School of Medicine units.
    e. If **Intl Cost Sharing** is listed, make this the highest number in the **Routing Order** so it is last to be authorized.
3. Specific to the **School of Medicine**:
    a. If an Admin Unit is in the School of Medicine and you see a Unit listed as **School of Medicine (Use 049000)**, follow the instruction:

i. Under **Add Approving Unit**, search for Unit Code “049000”, click on the name “Med: VC/Deans Office”, then click **Add Unit**.

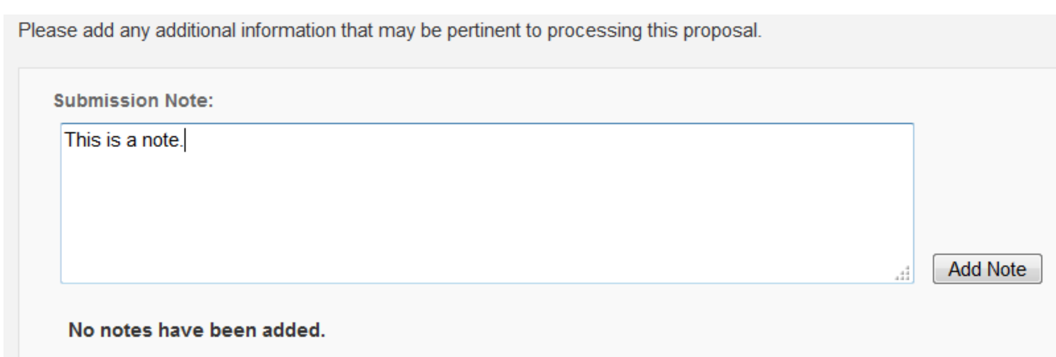
4. Select **Authorize Unit Listing**.



Submission Notes

While a green checkmark is not required by **Submission Notes** in order to be able to submit the IPF, **it is <u>MANDATORY</u>** that you add the contact person from the Sponsor who is responsible for negotiating the agreement and their email address.

1. Add any additional notes regarding this IPF in the **Submission Note** field, such as:
   a. If you selected **Miscellaneous Sponsors** for either the Sponsor or Subcontractor(s), enter the Sponsor/Subcontractor name, address, email and phone number.
   b. If a Contract Research Organization (CRO) is involved, enter the name of the CRO, their address, the contact person from the CRO who is responsible for negotiating the agreement and their contact information, including an email address AND phone number.
2. Click **Add Note**.
   a. Notes cannot be edited or deleted.



Submit for Routing

1. Ensure a green checkmark is indicated for each tab.
2. Select **Submit for Routing**.
    a. It is good form to have the PI complete this step as the IPF can no longer be edited after it is submitted for routing.
3. **Are you sure you wish to submit this Proposal Record?** Select **Yes.**

Monitor Routing

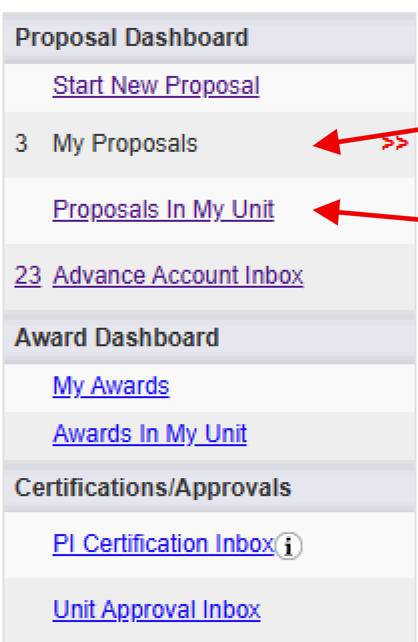
Monitor the IPF to ensure:

- PI and Co-PIs are certifying it
- Departments are authorizing it
    a. In the Schools of Medicine and Veterinary Medicine, the dean's offices additionally authorize the IPF

If a department or dean's office doesn't authorize the IPF it will be stuck in routing.

To monitor routing:

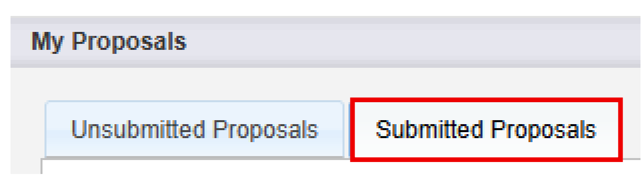
1. Go to Cayuse SP
2. Select either **My Proposals** or **Proposals in My Unit.**



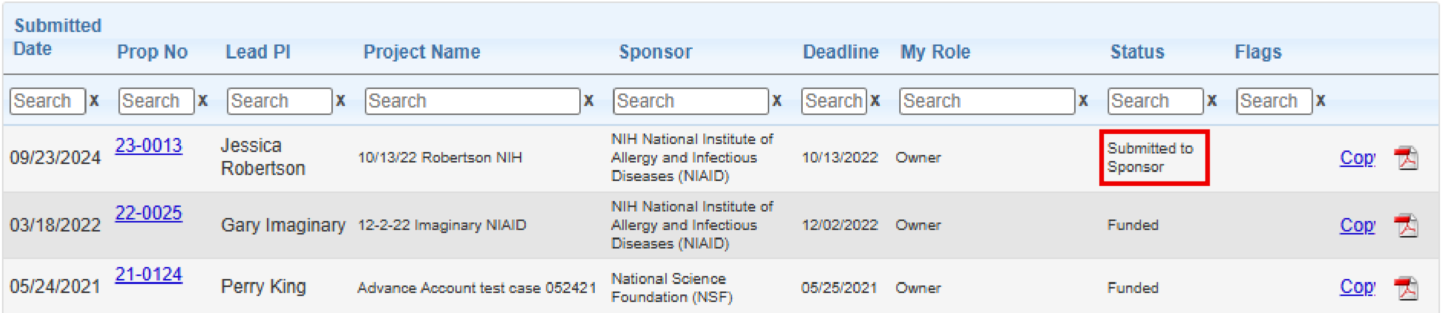
View an IPF you started or in which you are listed on the **Investigators/ Research Team** tab

View IPFs in your unit (requires **Proposal Data Access** role, provided by your department's **Role Manager**)

3. If you select **My Proposals**, be sure to select the **Submitted Proposals** tab as the IPF (i.e. "proposal") has been submitted for routing.



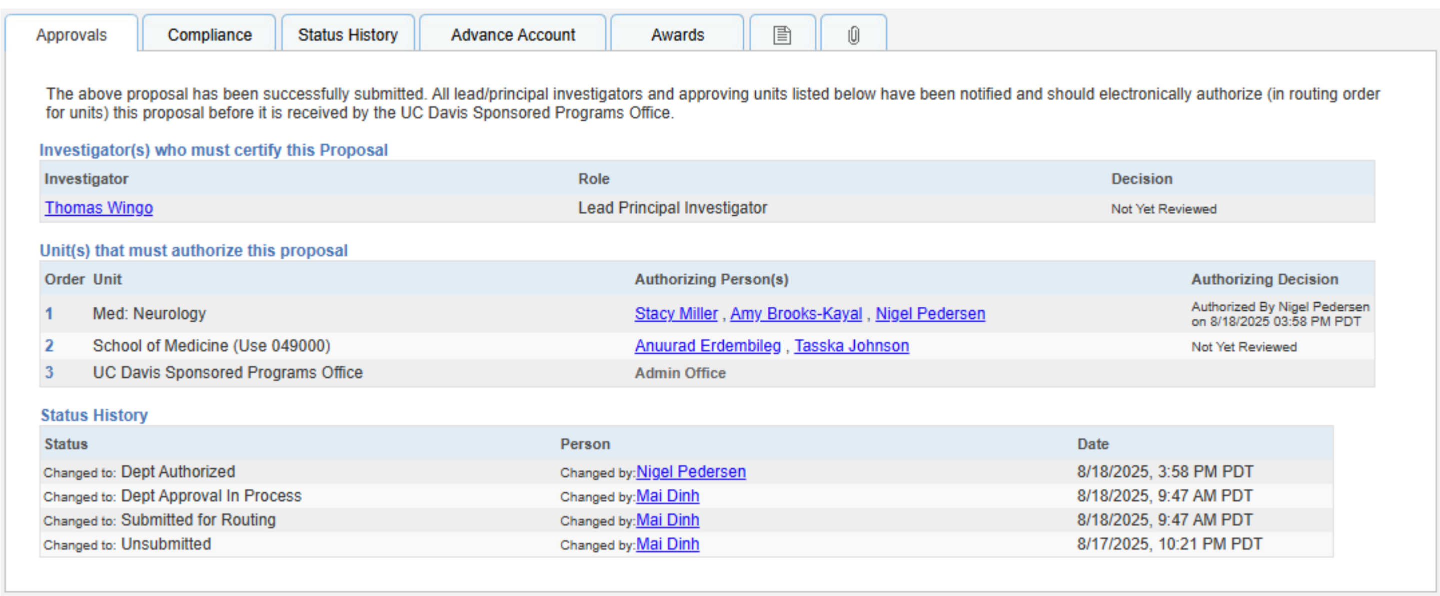
4. Find the proposal you seek. You can check the current **Status** in the column towards the right.



Submitted Date	Prop No	Lead PI	Project Name	Sponsor	Deadline	My Role	Status	Flags	
Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	
09/23/2024	23-0013	Jessica Robertson	10/13/22 Robertson NIH	NIH National Institute of Allergy and Infectious Diseases (NIAID)	10/13/2022	Owner	Submitted to Sponsor		Cop
03/18/2022	22-0025	Gary Imaginary	12-2-22 Imaginary NIAID	NIH National Institute of Allergy and Infectious Diseases (NIAID)	12/02/2022	Owner	Funded		Cop
05/24/2021	21-0124	Perry King	Advance Account test case 052421	National Science Foundation (NSF)	05/25/2021	Owner	Funded		Cop

Status	Definition
Unsubmitted	Not submitted for routing
Dept Approval in Process	Pending IPF approvals; submitted for routing
Admin Office in Process	Received by Clinical Trials Contracts Office but not assigned
Under Award Negotiation	Under analyst review and/or contract negotiation
Pending Award	Negotiation of CTA finalized
Reopened	IPF reopened for department to edit
Withdrawn	IPF withdrawn by the Principal Investigator
Not Funded	IPF not funded by the sponsor
Funded	Awarded

5. If you click open the **Prop No**, you will arrive to the **Proposal Routing Status** screen.



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
Thomas Wingo	Lead Principal Investigator	Not Yet Reviewed

Unit(s) that must authorize this proposal

Order	Unit	Authorizing Person(s)	Authorizing Decision
1	Med: Neurology	Stacy Miller , Amy Brooks-Kayal , Nigel Pedersen	Authorized By Nigel Pedersen on 8/18/2025 03:58 PM PDT
2	School of Medicine (Use 049000)	Anuurad Erdembileg , Tasska Johnson	Not Yet Reviewed
3	UC Davis Sponsored Programs Office	Admin Office	

Status History

Status	Person	Date
Changed to: Dept Authorized	Changed by: Nigel Pedersen	8/18/2025, 3:58 PM PDT
Changed to: Dept Approval In Process	Changed by: Mai Dinh	8/18/2025, 9:47 AM PDT
Changed to: Submitted for Routing	Changed by: Mai Dinh	8/18/2025, 9:47 AM PDT
Changed to: Unsubmitted	Changed by: Mai Dinh	8/17/2025, 10:21 PM PDT

Here you can identify which PI/Co-PIs still need to certify the IPF and which departments/dean's offices still need to authorize it.

a. If you need to prompt individual(s) to take action, click on a linked name to find their email address.

Revise Routing

Once an IPF has been Submitted for Routing, it should no longer be edited, but if you need to make revisions, please follow these instructions.

- Revisions that **REQUIRE** re-certification from the PI/Co-PIs and re-authorization from the department/dean's office are:
    - Changed Admin Unit
    - Added Affiliated Unit(s)
    - Effort Changed from Direct Charge to Cost-Share
    - Key personnel added to the project
    - Subawards added to the budget
    - Incomplete IPF - see Required IPF Attachments (above in this document; you are on page 21)
    - Other revisions that represent a significant change in commitment of departmental and/or campus resources
    - Budget Cost Share (match/in-kind) incorrectly applied *(not applicable to Clinical Trial Contracts)*
- Minor revisions that **DO NOT REQUIRE** re-certification from the PI/Co-PIs and re-authorization from department/dean's office include, but are not limited to:
    - Change in project title
    - Change in project dates
    - Edits to the Abstract field
    - Minor budget edits

If you need to make a change to the routing after a document has been submitted, write orcayusehelp@ucdavis.edu, provide the **Proposal Number** (i.e., 26-9876) and request that it be returned to **Unsubmitted** status.

- Orcayusehelp@ucdavis.edu will notify you when this is done.

If no certifications or authorizations were already done for the IPF:

- Once update(s) have been completed simply re-approve the routing order under **Approving Units** and re-click **Submit for Routing**.

If certifications or authorizations were done for the IPF prior to the IPF being returned to **Unsubmitted** status:

1. Once update(s) have been completed, you have two options:
    a. **If the revisions do not require re-certification or re-authorization**:
        i. Write orcayusehelp@ucdavis.edu again to request the status be changed back to **Dept Approval in Process** (or **Admin Office in Process** if the authorizations were already complete and it should go to the Clinical Trials Contracts Office).
            1. Orcayusehelp@ucdavis.edu will notify you when this is done.
            2. An IPF that hasn't received all appropriate certifications or authorizations will be returned for correction, delaying the review and approval process.
    b. **If the update(s) require re-certification or re-authorization:**
        i. Add a note under **Submission Notes** to explain the edits made.

ii. Submit the IPF again by approving the routing order under **Approving Units** and clicking **Submit for Routing**.

iii. This means that any certifications and authorizations that already occurred will need to be done again.

    1. It's good form to email those who have previously certified or authorized to notify them that the IPF was returned for correction.

Awards

Submitting Award Modifications and Supplemental IPFs

For any Award modification (e.g., amendment, change in internal budget not requiring amendment, change in end date), email the request to the amendment analyst in the Clinical Trials Contracts Office (CTCO) with the following:

1. **For Amendments:** After the final budget is negotiated with the sponsor:
    a. Email:
        i. The fully-editable amendment agreement
        ii. The revised and approved UBT
        iii. Any email chain that identifies the sponsor contact
    b. Ensure the **700-U** is updated in the eCOI system if there is an increase or any change to sponsor information.

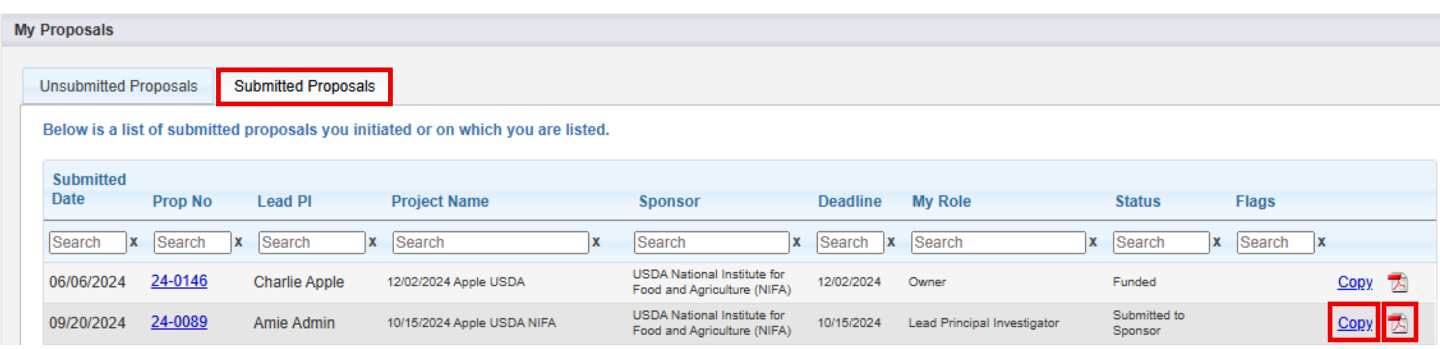
    The CTCO analyst will negotiate the amendment language as needed.
2. **For time extension/closeout:** Email the new end date to the CTCO analyst who can advise if an amendment is required.
3. **For an internal budget change only that does not require an amendment:** Email the approved UBT to the CTCO analyst.
    a. Ensure the **700-U** is updated in the eCOI system if there is an increase.

If an Award modification requires approval by the department and/or dean a new IPF must be submitted in Cayuse SP. Such modifications include, but are not limited to:

1. Change in PI
2. Change in Administrative Unit of the award
3. Substantive budget modification

To help you populate a new IPF for an award modification, you have two options:

1. **Print PDF of original IPF:**
    a. From the Cayuse SP **Proposal Dashboard** select either **My Proposals** or **Proposals in My Unit**, as appropriate.
        i. If in **My Proposals**, select the **Submitted Proposals** tab.
    b. Find the original **Prop No** you want to modify and on the far right, select the **PDF icon**.
    c. Reference the PDF as you create an IPF following the guidance on next page.



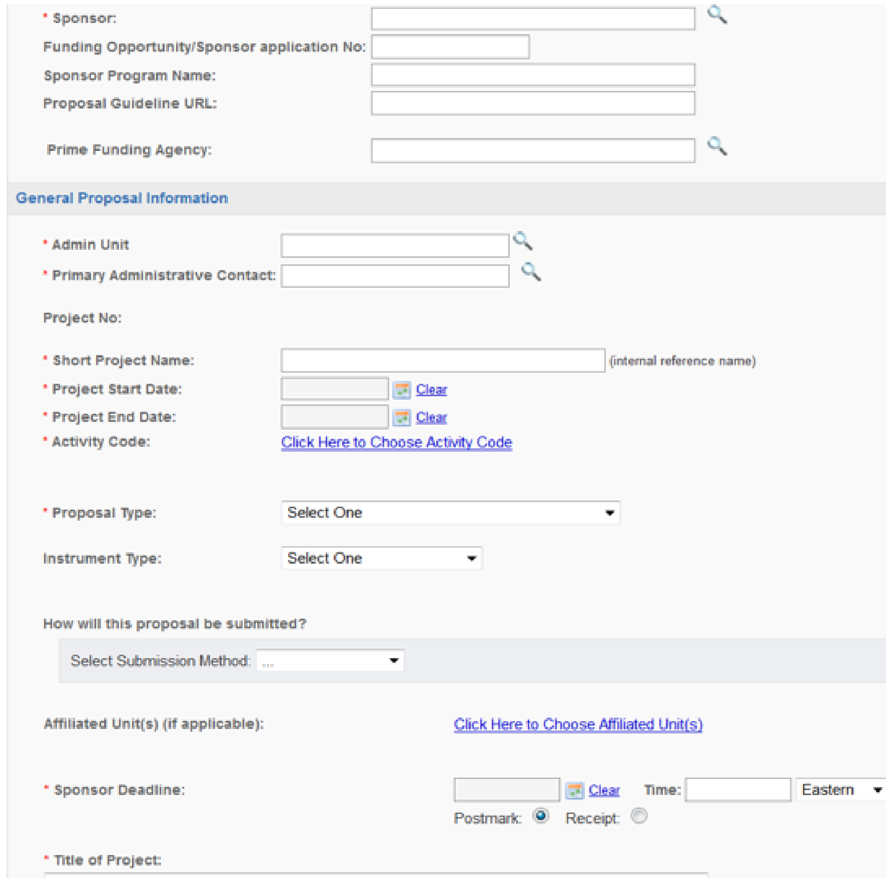
2. **Copy the original IPF:**
    a. Select either **My Proposals** or **Proposals in My Unit**, as appropriate, find the original **Prop No** and on the far right, select **Copy**.
    b. This will bring you to the **General Information** page of the copy so you can begin your edits.
        i. IMPORTANT: **Not all entries will be copied over.**
        ii. The first table below indicates which items in the **General Information** tab (first section) of the IPF will copy over to a new proposal, and which items will not. The second table indicates which other tabs of the IPF will copy over.

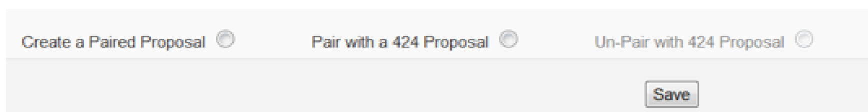
General Information tab	Included in Copy
Sponsor	✓
Funding Opportunity/Sponsor Application Number	✓
Sponsor Program Name	X
Proposal Guideline URL	✓
Prime Funding Agency	✓
Short Project Name	✓
Project Start Date	✓
Project End Date	✓
Activity Code	X
Proposal Type	✓
Instrument Type	✓
Select Submission Method	✓
Award Admin Unit	✓
Primary Administrative Contact	✓
Affiliated Unit(s) (if applicable)	X
Sponsor Deadline	✓
Title of Project	✓

Other Sections	Included in Copy
Cayuse 424 Proposal	X
Investigators/Research Team	X
Budget	✓
Conflict of Interest	X
Regulatory Compliance	✓
Subcontractors	✓
Export Control	X
Intellectual Property	✓
Community Benefits	X
Location of Sponsored Activities	X
Application Abstract	✓
Attachments	X
Approving Units	X
Submission Notes	X

For modifications, follow the steps covered under Start New Proposal (above in this document; you are on page 24) with the following differences:

1. **General Information** tab
    a. **Short Project Name:** Enter **Action** instead of the submission deadline (e.g., PI Change + [New] PI Last Name + Sponsor).
    b. **Proposal Type:** Keep it **New – UC Davis Health**. Otherwise it will route to the Sponsored Programs Office (SPO).
    c. **Affiliated Unit(s):** If changing key personnel or admin unit, add the previous unit(s) here so they too can review and approve the modification(s).
2. **Budget** tab
    a. Unless there is also a budget amendment, the budget should be $0.

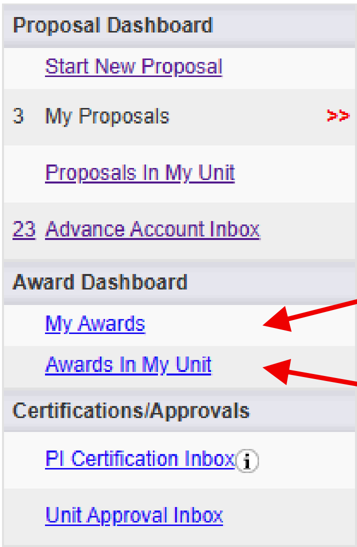




Required documents:

1. Signed Clinical Trials [Exception to Policy](PDF) (PDF) from the new PI
2. Editable amendment
3. Signed UBT approved by Department Chair
4. COI disclosures
5. Please note, updated IRB approval will be required prior to award.

Checking the Status of an Award



View the status of an Award for an IPF you initiated or in which you are listed on the **Investigators/ Research Team** tab

View the status of an Award in your unit (requires **Award Data Access** role, provided by your department's **Role Manager**)

1. Note that there are three tabs: **Awards**, **Active Projects** and **Inactive Projects**. Stay on the **Awards** tab to search for the **Award**.
    a. **Note:** The **Project** is the overarching folder that related **Proposals**, **Awards** and **Subcontracts** (Subawards) are filed within. A **Project** may have multiple **Awards**.
2. The **Award** status is shown to the far right side of the screen.

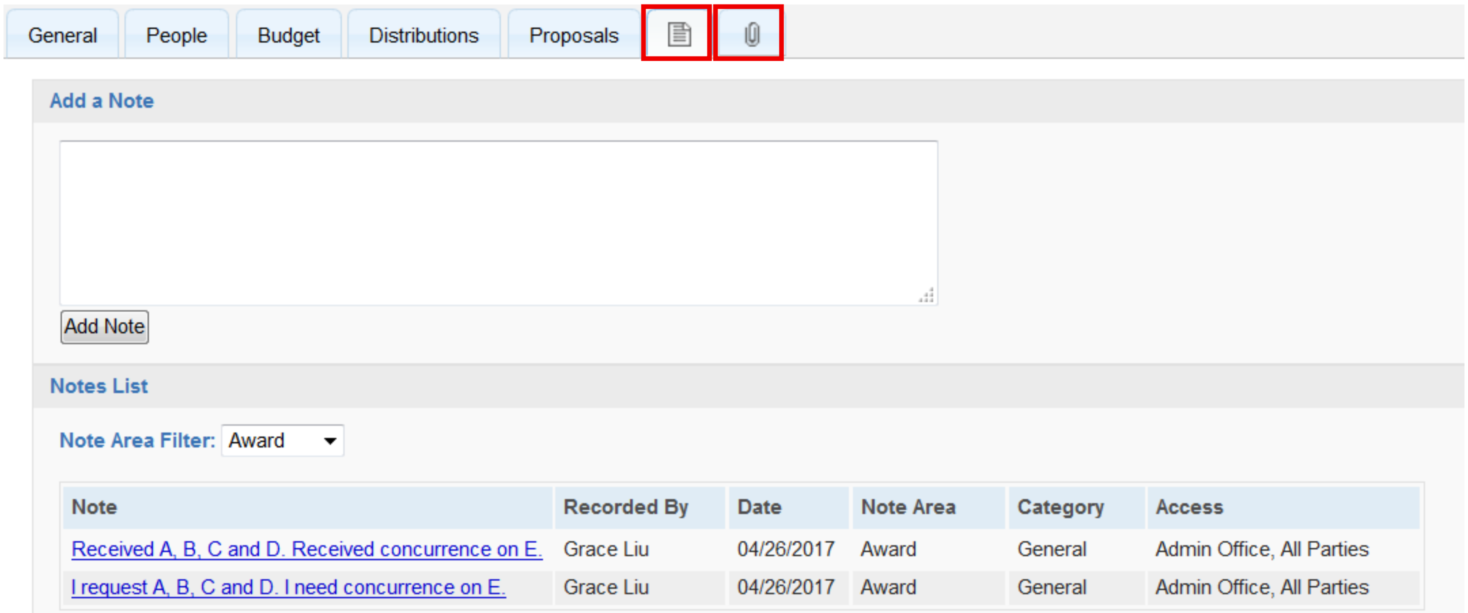
Award No.	Project Title	Lead PI	Sponsor	Award Amount	Award Notice Received	Award Begin Date	Award End Date	Admin Unit	Account Numbers	Status
A17-0035-001	ATF Almond Board KMO	Kassie Obelleiro	Almond Board of California (Federal)	$150,000.00	05/01/2017	05/03/2017	05/31/2017	Academic Assessment (068024)		Pending
A17-0014-002	Test_kmo	Kassie Obelleiro	Almond Board of California (Federal)	$200,000.00	04/26/2017	05/01/2017	04/30/2018	Academic Assessment (068024)		Active
A17-0014-001	Test_kmo	Kassie Obelleiro	Almond Board of California (Federal)	$210,500.00	04/01/2017	05/01/2017	04/30/2018	Academic Assessment (068024)		Active

Award Status Definitions

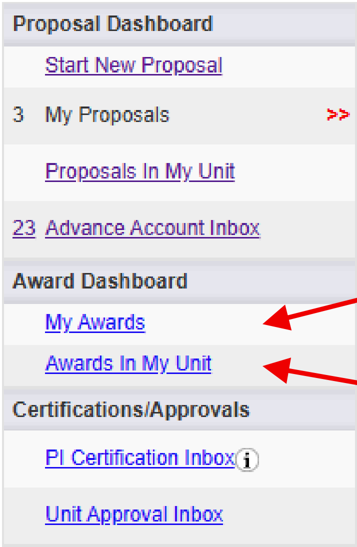
Status	Definition
Pending	A Notice of Award has been received, but the award is not fully executed
Active	The award has been fully executed and routed to Contracts and Grants Accounting

For additional details:

3. Open the relevant **Award** by selecting the **Award No**.
4. View the **Notes** tab (page icon) to see if there are any outstanding items.
5. View the **Attachments** tab (paperclip icon) to see the **Award** documents.



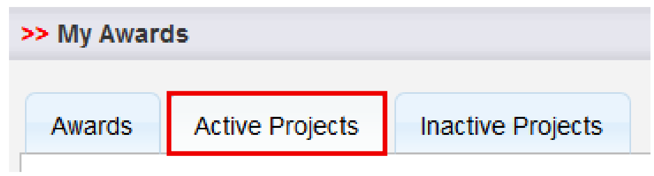
Checking the Status of a Subcontract (Subaward)



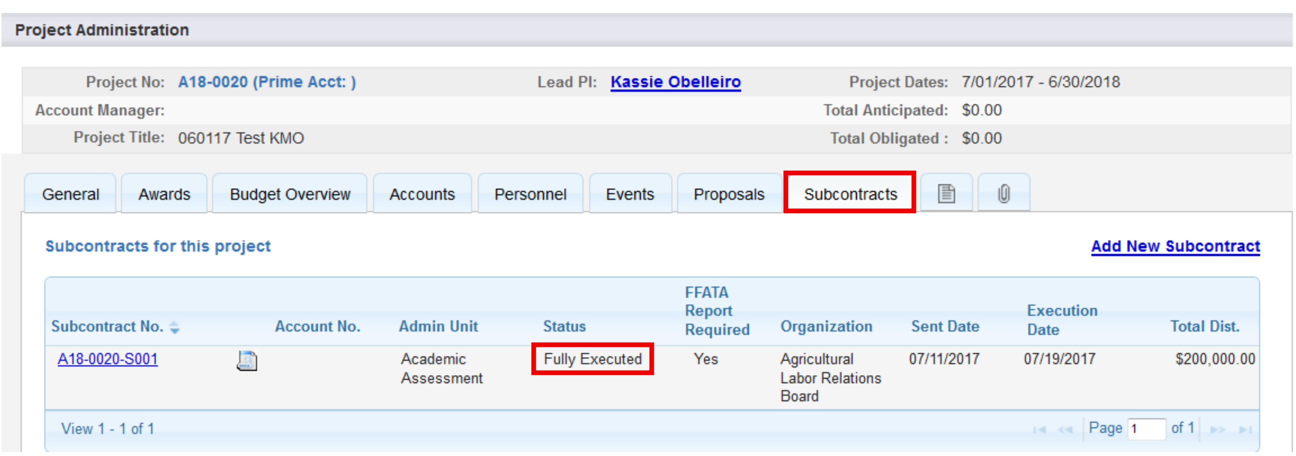
View the status of a Subcontract (Subaward) for an IPF you initiated or in which you are listed on the **Investigators/ Research Team** tab

View the status of a Subcontract in your unit (requires **Award Data Access** role, provided by your department's **Role Manager**)

1. Note that there are three tabs: **Awards**, **Active Projects** and **Inactive Projects**. Go to the **Active Projects** tab.
    a. **Note:** The **Project** is the overarching folder that related **Proposals**, **Awards** and **Subcontracts** (Subawards) are filed within.



2. Search for the relevant **Project**.
    a. The **Project Number** (i.e., A26-8888) is the first two parts of the **Award Number** (i.e., <u>A26-888</u>-001).
        i. Note: The **Proposal Number** (i.e., 25-9876) rarely matches the **Project Number**.
3. Select the **Project No** associated with the **Subcontract** (Subaward).
4. Go the **Subcontracts** tab.

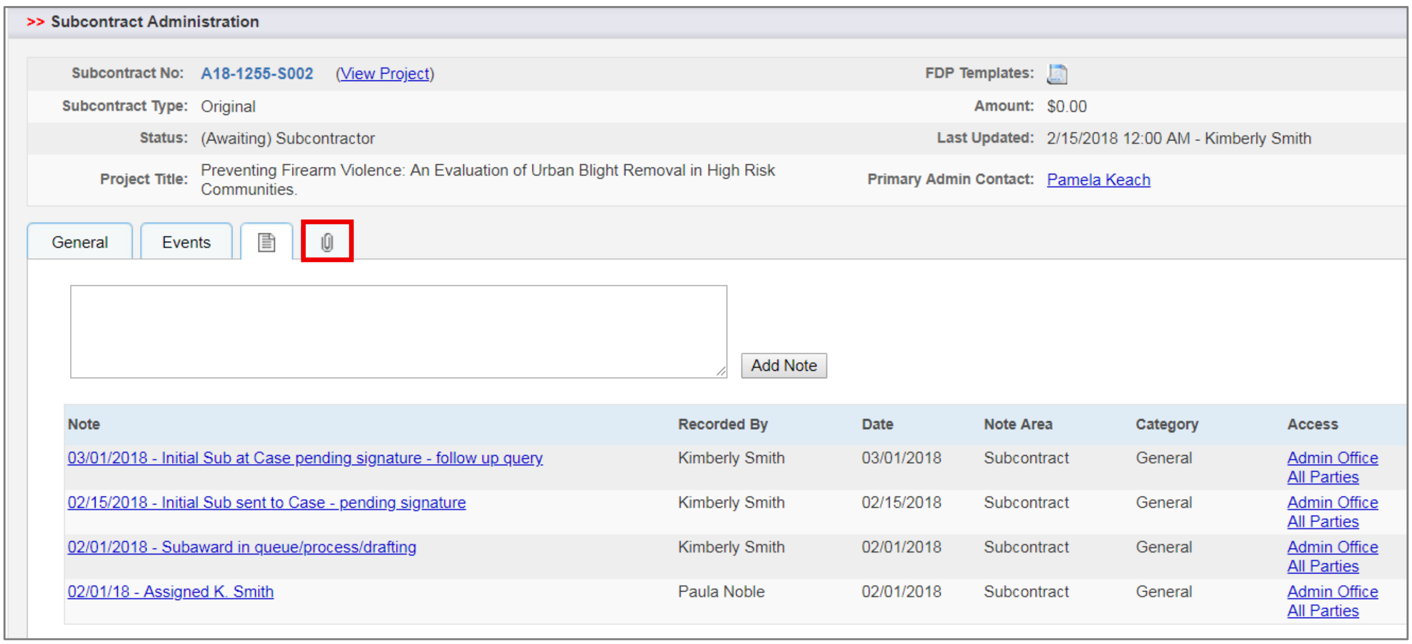


5. The **Status** is shown under **Subcontracts for this project**.

Subcontract Status Definitions

Status	Definition
(Awaiting) Admin Dept	Action is required by the PI/department
(Awaiting) Award Mgr/Analyst	Action is required by the CTCO Award Analyst
(Awaiting) Subcontractor	Action is required by the Subcontractor (Subrecipient)
Fully Executed	The Subcontract is fully executed and has been sent to CGA

6. Click on the **Subcontract Number** to view **Subcontract** details.
7. Go to the **Attachments** tab (paperclip icon) to view Subaward document(s).



Cayuse SP Auto-Generated Numbers

Cayuse SP creates identification numbers for each **Project**, **Proposal**, **Award** and **Subcontract** (Subaward).

1. **Project Number** (i.e., A26-8888)
    a. Created by the Clinical Trials Contracts Office (CTCO). Your Clinical Trials Contracts analyst will assign each **Proposal** and **Subcontract** (Subaward) to an overarching **Project**.
    b. **Awards** are created from **Proposals** and also assigned to the overarching **Project**.

2. **Proposal Number** (i.e., 26-9876)
    a. Created by Cayuse SP when the IPF is created.
    b. The **Proposal Number** rarely matches the **Project Number**.

3. **Award Number** (i.e. A26-8888-001)
    a. Created by Cayuse SP when an **Award** is added to a **Project**.
        i. The **Award Number** is the **Project Number** plus three digits at the end that indicate the number of **Awards** in that **Project**.
        ii. The first **Award** is **Project Number-001**, the second is **Project Number-002** and so forth.

4. **Subcontract Number** (i.e., A26-8888-S001)
    a. Created by Cayuse SP when a **Subcontract** (Subaward) is added to a **Project**.
        i. The **Subcontract Number** is the **Project Number** + "S" + three digits to indicate the number of **Subcontracts** in that **Project**.
        ii. The first **Subcontract** is **Project Number-S001**, the second is **Project Number-S002** and so forth.