SPO-Campus Training
May 17, 2018

1. Critical Proposal Components for Department and/or Dean Review
2. Open Discussion/Questions
Training Outline

• Why is Department and/or Dean Review and Approval Required?
• What Does the Department and/or Dean Review?
• What Happens if:
  • Not all required documents were provided?
  • One of the required documents changes after submitting the proposal for approval?
• Q&A
• Resources
Handouts

- Presentation
- Guidance for Review of Proposals by Deans, Directors, and Department Chairs
- Cost Sharing Guidance
What is the Chair/Dean Authorizing?

As Dean/Chair/Director, I understand and assume the following responsibilities with respect to this proposal:

• It is an **appropriate activity** within the Department/Center/Institute; and supports the mission of the University.

• That the Department/Center/Institute has agreed to **provide the resources identified** in this proposal.

• That all **investigators on this proposal are eligible** to be an investigator in accordance with PPM 230-02, or that I support their application to be a PI by Exception by my approval of this proposal and the completed PI Exception form(s) which are attached to this proposal.

• That in the event that the Principal Investigator does not complete any report or other obligation required as a result of an award based on this proposal, that my **department will assume responsibility for completion of that obligation(s)**.

• When applicable, these **resources could include cost sharing and the responsibility for reimbursement of costs to the University** in the event that the sponsor is unable to pay the University for research expenses incurred during the period of performance of this project.

• When applicable, since the University policy mandates only full-time, permanent EPA employees may serve as principal investigator (PI); with respect to this application, I approve that this **individual is eligible to serve in the role of PI despite his/her part-time employment status**.

• In the event that I have delegated my signature authority to the person signing this Internal Processing Form in my absence, **a copy of the delegation is on file at my organization**. However as Dean/Chair/Director, ultimate responsibility remains with me.
Why is Department and/or Dean Review Required?

• Department Chair, Director or Dean certifies:
  • An individual’s eligibility for Principal Investigator status;
  • Consistency of the proposed project with the educational, research, and/or public service objectives of the organizational unit;
  • Appropriateness and acceptability of faculty/researcher time, space, equipment, and University financial commitments contained in proposals for sponsored projects;
  • Scope of work is consistent with internal University policies, with acceptable sponsor terms and conditions; and
  • Appropriateness of funding sources to cover project costs not covered by the project sponsor’s funds or by other funds available to the Principal Investigator.

Source: UCOP’s Contract and Grant Manual, Section 10-340
Why is Department and/or Dean Review Required?

- Guidelines for their review
  - Financial Resources
    - Are the resources required to carry out the project currently available?
    - Have cost sharing or matching commitments been made? If so, are appropriate resources available for these commitments?
    - If two or more units are involved, are the cost sharing responsibilities of each clearly understood and documented?
  - Space
    - Is the space needed for the project adequate and available for the full project period?
    - If additional space or facilities will be required, have appropriate commitments been made to assure their availability for the project?
    - Have the Deans and Chairs of other involved units been consulted?

Commitment Letter(s) document the details

Effort; Cash Matching; Resources

Location of Sponsored Activity

Budget form: Other Resources (Space)
Cost Sharing vs. Leveraging

Cost Sharing
• For a specific project
• Cash matching
• In-kind support
  • Effort not charged to the grant
  • Space
  • Other resources

Leveraging
• Sometimes a sponsor will refer to a leveraging requirement
  • Not really cost-sharing
• Not for a specific project
• Facilities and resources
  • Graduate Groups
  • Core Facilities

Cost sharing of direct costs always involves of cost sharing of indirects; whether identified or not
Why is Department and/or Dean Review Required?

• Guidelines for their review (continued)
  • Faculty and Staff Time
    • Are the time commitments proposed by the faculty reasonable to achieve the goals of the project in light of teaching and other University responsibilities? Is release time likely to be required? If so, can it be approved? Will any faculty time be committed as cost share? This should be clearly indicated in budget for the proposal. Approval in Cayuse by the Chair or Director of the Academic Unit indicate approval of any faculty time commitments listed. Will the principal investigator/project director and other key personnel be available throughout the proposed term of the project? If the project involves staff employees, are they available and properly funded for the entire project period?

• PI Status
  • If the proposed principal investigator (PI) does not have “Regular Eligibility”, or “Eligibility by Special Request” to be a PI, as detailed in PPM 230-02, the Dean/Chair/Director is required to seek “Eligibility by Exception”, following the requirements of PPM 230-02, as a part of the proposal package.
Why is Department and/or Dean Review Required?

• Guidelines for their review (continued)
  • Appropriateness
    • Is the proposed project acceptable under the principles of University Regulation 4 regarding faculty salaries and investigations of a purely commercial nature? Is the proposed project appropriate for the principal investigator/project director(s), the administering unit, and the campus to undertake? Does it serve the University missions of expanding knowledge and educating students? Is there significant graduate student involvement? If not, why? If the project involves other units on campus, have the chairs and deans of those units been consulted?
What Does the Department and/or Dean Review?

Completed Internal Processing Form (IPF) – Cayuse SP

- PI status
- Financial Resources
- Space
- Faculty and Staff Time

Project Budget and Budget Justification - Cayuse SP Proposal Attachment

- Financial Resources
- Appropriateness of funding source
- Cost share salary and benefits

Scope of Work - Cayuse SP Proposal Attachment; Narrative in Cayuse 424 if applicable

- Space
- Faculty and Staff Time
- Appropriateness of funding source, educational, research and/or public service objective, involvement of graduate students, and involvement of other campus units
What Does the Department and/or Dean Review?

PI Exception Request (if applicable) - Cayuse SP Proposal Attachment

- PI status
- Appropriateness of project director/PI
- Faculty and staff time

Sponsor/Program Guidelines (RFA, RFP, BAA, etc.) - Cayuse SP Proposal Attachment

- Appropriateness of funding source
What Happens if…

Not all required documents were uploaded
• The Unit Head may Reject the IPF
  • Department/PI upload missing document(s)
  • Re-submit for approvals
• OR Unit Head may authorize the IPF
  • SPO will return it to Unsubmitted
  • Department/PI upload missing document(s)
  • Re-submit for approvals

One of the required documents changes after submitting for approvals
• If the change is significant:
  • SPO will return it to Unsubmitted
  • Department/PI revise IPF
  • Re-submit for approvals

Dean and/or Department will need to re-approve. This will slow down SPO review due to the “First-in, first-out” policy.
Making Revisions

- Look in Proposals in My Unit
  - Does anything indicate Reopened status?

![Proposals In My Unit](image-url)
Making Revisions

• View the IPF Notes to determine what revision is needed
• Add an IPF Note to the department chair, dean or SPO
• Go back to IPF and revise
What is the Chair/Dean Authorizing?

As Dean/Chair/Director, I understand and assume the following responsibilities with respect to this proposal:

• It is an **appropriate activity** within the Department/Center/Institute; and supports the mission of the University.

• That the Department/Center/Institute has agreed to **provide the resources identified** in this proposal.

• That all **investigators on this proposal are eligible** to be an investigator in accordance with PPM 230-02, or that I support their application to be a PI by Exception by my approval of this proposal and the completed PI Exception form(s) which are attached to this proposal.

• That in the event that the Principal Investigator does not complete any report or other obligation required as a result of an award based on this proposal, that my **department will assume responsibility for completion of that obligation(s)**.

• When applicable, these **resources could include cost sharing and the responsibility for reimbursement of costs to the University** in the event that the sponsor is unable to pay the University for research expenses incurred during the period of performance of this project.

• When applicable, since the University policy mandates only full-time, permanent EPA employees may serve as principal investigator (PI); with respect to this application, I approve that this **individual is eligible to serve in the role of PI despite his/her part-time employment status**.

• In the event that I have delegated my signature authority to the person signing this Internal Processing Form in my absence, a **copy of the delegation is on file at my organization**. However as Dean/Chair/Director, ultimate responsibility remains with me.
Resources and Help


• Minimally required documents at submission proposal to SPO for review: [http://research.ucdavis.edu/proposals-grants-contracts/spo/spo-proposal/working-spo/](http://research.ucdavis.edu/proposals-grants-contracts/spo/spo-proposal/working-spo/)

• UC Davis Cayuse Landing Page: [http://spark.ucdavis.edu/cayuse/](http://spark.ucdavis.edu/cayuse/)

• Cayuse Training Sessions, Help Guides and Videos: [http://spark.ucdavis.edu/training/](http://spark.ucdavis.edu/training/)

• Cayuse Listserv: [https://lists.ucdavis.edu/sympa/subscribe/spark_info](https://lists.ucdavis.edu/sympa/subscribe/spark_info)

• Help Request: ORCayuseHelp@ucdavis.edu
Thank you!