Cayuse SP Handbook for PIs and Dept Admins

Department Approvers, see the following:

- [IPF Approvers Guide](#) - 4-page guidance with screenshots

- [Pre-Award Spending Approvers Guide](#) - 3 page guidance with screenshots

Note: Additional resources on Cayuse SP are available at the following links:

- [Proposal Submission](#)
- [Award Review and Acceptance](#)
- [Outgoing Subawards](#)
- [Learn: Cayuse SP](#)
- For submissions to the UCDH [Clinical Trials Contracts Office](#):
  - [Cayuse SP Handbook for Department Industry-Funded Clinical Trial Staff, PIs and Approvers](#)

Contents

Updated August 2025

Proposal Submission Process

Per UC policy, all proposals for extramural funding must be submitted through the Sponsored Programs Office (SPO) for institutional review and approval.

- Exceptions:
  - Limited submission pre-proposals
  - Letters of Intent (LOIs) or pre-proposals that do not require:
    - A budget
    - Institutional signature
    - Agreement to terms & conditions
- Relevant Policies:
  - C&G Manual 2-200
  - UC Contract and Grant Manual 1-500 Principal Investigator Guidelines
  - Memo – Operating Guidance No. 95-1
 - Standing Orders of The Regents of the University of California – Duties of the President of the University

Proposal submission at UC Davis is a 2-stage process:

1. An **Internal Processing Form** (**IPF**; also referred to as a "proposal") is routed through **Cayuse SP** for required internal approvals.
   a. The IPF is certified by the PI and Co-PIs, and authorized by the department chair(s) and additionally, for the Schools of Medicine and Veterinary Medicine, by the dean's office.
   b. Once certifications and authorizations are made, the IPF routes to the Sponsored Programs Office (SPO) for institutional review and approval.
   c. For full review by a SPO analyst, the certified and authorized IPF with minimum required attachments *(see Necessary Documents section below)* must be received by SPO **at least five (5) business days** before the sponsor deadline.
      i. A full review covers PI & institutional eligibility, campus & sponsor requirements, financial & regulatory compliance and, if applicable, sponsor terms & conditions.
   d. Certified and authorized IPFs that arrive in SPO with **less than five (5) business days** before sponsor deadline, will receive limited or no review.
      i. Limited reviews cover the indirect cost rate, based on information as submitted, and additional items as time allows.
      ii. For limited and no reviews, SPO reserves the right to negotiate at time of award.
   e. IPFs are also created and routed for post-award actions that require approval (authorization) from the PI's academic unit.
      i. Examples: change of PI; change of Admin Unit; changes to cost-sharing; major budget revisions
2. A **proposal is submitted externally to the sponsor** via a sponsor-accepted **electronic Research Administration (eRA) system**.
   a. Cayuse 424 is used for most Federal sponsors.
      i. It is linked system-to-system to grants.gov and is used in place of grants.gov Workplace.

ii. NASA uses its NSPIRES grants management system.
iii. NSF uses Research.gov.

Cayuse SP Auto-generated Numbers

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

```
                            ┌─────────────────┐
                            │     Project     │
                            │    A##-####      │
                            └─────────────────┘
                                     │
           ┌─────────────────────────┼─────────────────────────┐
  ┌─────────────────┐       ┌─────────────────┐       ┌─────────────────┐
  │    Proposal     │──────▶│      Award      │ - - ▶│     Subaward    │
  │     ##-####      │       │  A##-####-###   │       │  A##-####-S###  │
  └─────────────────┘       └─────────────────┘       └─────────────────┘
```
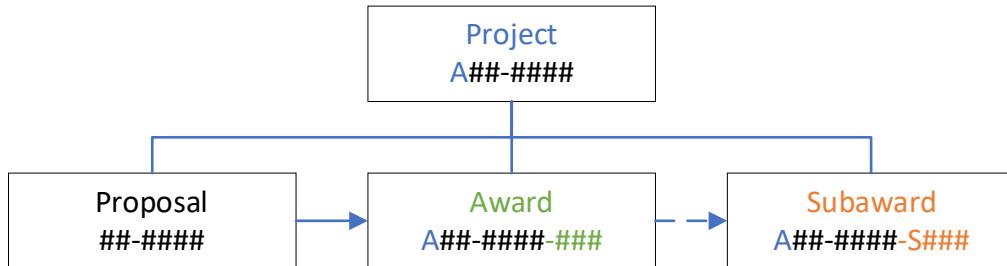
1. **Project Number** (e.g., A25-5432)
    a. The Project is the overarching folder that contains a Proposal or Subcontract (Subaward) and all subsequent actions, such as resubmissions, awards, amendments, or renewals.
    b. The Project number is established by the Sponsored Programs Office (SPO).
    c. Your SPO analyst will link each stage of a grant or contract to the overarching Project number.
2. **Proposal Number** (e.g., 25-5555)
    a. Created by Cayuse SP when the Internal Processing Form (IPF, aka "Proposal") is created.
        i. The IPF is the electronic document someone populates, adds attachments to, then routes for internal approvals at UC Davis.
    b. The Proposal number does not match the Project number.
3. **Award Number** (e.g., A25-5432-001)
    a. Created by Cayuse SP when an Award is added to the Project.
    b. The Award number is the Project number plus three digits at the end that indicate the number of Awards in that Project.
        i. The first Award is "Project Number-001", the second is "Project Number-002" and so forth.
4. **Subcontract (Subaward) Number** (e.g., A25-5432-S001)
    a. Created by Cayuse SP when a Subcontract (Subaward) is added to the Project.
    b. The Subcontract Number is the Project Number plus three digits at the end that indicate the number of Subcontracts in that Project.
        i. The first Subcontract is the "Project Number-S001", the second is the "Project Number-S002" and so forth.

Dotted line from **Award** to **Subaward** represents an Outgoing Subaward (i.e., UC Davis is the recipient of a Prime Award and forwards funding to another institution).

- An Incoming Subaward (i.e., UC Davis is forwarded funding from another institution that received a Prime Award) is generally entered as an **Award**.

Necessary Documents

At a minimum, the following documents must be attached for an IPF (Proposal) to be assigned to a Sponsored Programs Office (SPO) analyst for review.

1. **Completed and fully routed IPF**, including:
    a. **Certifications** by Lead Principal Investigator and Co-Principal Investigator certifications
    b. **Authorizations** by relevant unit head(s), and dean's offices, if applicable
2. **Scope of work**
    a. A draft may be submitted, but the final scope of work must be provided to SPO before submission to the sponsor
3. **Budget spreadsheet**, <u>strongly recommended</u> even when not required by the sponsor.
    a. For internal budgets, SPO recommends you use the [OR Budget templates](#) as they help reduce errors.
4. **Budget justification**, <u>strongly recommended</u> even when not required by the sponsor.
5. If there are Subawards (*visit SPO's [Prepare a Proposal with Subawards](#) webpage for additional guidance and materials)*:
    a. Subrecipient budget
    b. Subrecipient budget justification
    c. Subrecipient scope of work
    d. Subrecipient biosketches
    e. Subrecipient monitoring form
    f. Appropriate Subrecipient Commitment Form
6. If your proposal involves the **School of Veterinary Medicine**, upload the **Adjunct SVM Questions form**.
    a. Contact the SVM Dean's office to request the form.

SPO also suggests uploading any other required internal documents for the project **before** routing the Proposal for review and approval.

1. **To establish PI Eligibility**, if applicable: [Form 105: Request for Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity](#).
    a. If attached before routing, you do not need to have the unit head and dean sign. Their approval of the IPF in Cayuse SP constitutes their approval of the attached Form 105.
2. Cost-sharing commitment letters

Other proposal materials may be provided after assignment, if necessary. Refer to our [Proposal Preparation Checklist](#) to ensure all items are provided in the proposal package.

Access Cayuse SP

1. Login to: https://ucdavis.cayuse424.com with your Kerberos ID and Password.
   - Email ORCayuseHelp@ucdavis.edu if you (or another) are not able to login. Include the following information for the person to be added:
     - Full Name
     - Kerberos ID - this can differ from the user's UC Davis email
     - UC Davis Email
     - Home Unit
     - Will they be acting as a PI? Yes or No
     - Employee ID # (if you have it)

2. Select **Cayuse SP**.

Submit a Letter of Intent, Pre-Proposal, Concept Paper, etc.

A letter of intent (LOI), preliminary proposal (pre-proposal), concept paper, or other similar application material must be routed as an Internal Processing Form (IPF; aka "Proposal") in Cayuse SP to the Sponsored Programs Office (SPO) for review and approval if it requires:

1. A **signature** on behalf of an Authorized Representative
2. A **budget**, and/or
3. Acceptance of **terms and conditions** at the proposal stage

Otherwise, it does not need to be routed to SPO for review/approval.

To submit a LOI, pre-proposal, concept paper, etc. to SPO:

1. Follow the instructions immediately below to **Create and Submit an Internal Processing Form (IPF; aka "Proposal")** with the following differences:
   a. **Start New Proposal**:
      i. **Proposal Type**: Select **LOI/Preliminary Proposal**
   b. **Investigators/Research Team** form
      i. Add **only** the **Lead Principal Investigator** and those needing access to edit the Proposal (**Proposal Editor** or **Other Participant (no routing)**)

1. Co-PIs and other senior/key personnel need not be listed.
2. If the Lead PI does not have PI status, SPO <u>recommends</u> you <u>Request Exception to Principal Investigator (PI) Status</u> *(internal link; you are currently on page 7)* at this stage.
   a. However, it is not <u>required</u> at this stage.
   c. Complete the remaining IPF (Proposal) forms to the best of your knowledge at the LOI/pre-proposal phase.

Create and Submit an Internal Processing Form (IPF; aka "Proposal")

Create and submit an IPF for:

Proposal Dashboard
Start New Proposal
4 My Proposals
Proposals In My Unit
Advance Account Inbox

Award Dashboard
My Awards
Awards In My Unit

Certifications/Approvals
PI Certification Inbox ⓘ
2 Unit Approval Inbox

UC Davis Sponsored Programs Office
1 Shields Avenue
Davis, CA 95616-5270
Email: orcayusehelp@ucdavis.edu

- New proposals
- Supplemental proposals
- Proposal resubmissions
- After-the-fact (ATF) proposals
- Amendments to awards *(when Dept. approval is required)*

Select **Start New Proposal** under **My Dashboard**.

Start New Proposal

Complete all fields for which you have information even if not indicated as required with a red *.

1. **Sponsor:** Enter the agency/organization to which UC Davis is applying for funding.
   a. If the funding is flow-through, such as when UC Davis is a Subrecipient, list the Prime Applicant/Recipient in the **Sponsor** field.
   b. Select the magnifying glass.
   c. Enter part of the sponsor's name and select **Search**.

Sponsor Information

* Sponsor:	🔍
Funding Opportunity/Sponsor application No:	
Sponsor Program Name:	
Proposal Guideline URL:	
Prime Funding Agency:	🔍

Enter a keyword to locate the organization you are looking for:

Keyword: NIH

Search   Cancel

No Sponsors

d. Select the sponsor from the list.

   i. If the sponsor is not listed, repeat the search again using a different part of the sponsor/funding agency name.

   ii. If the sponsor is still not listed, repeat the search again and select **Miscellaneous Sponsors** as a placeholder.

      A. Do <u>NOT</u> select **No Sponsors.**

      B. Provide the sponsor's information in the **Submission Notes** form, which will appear at the bottom of the left column once you **Save** the **Start New Proposal** page.

Organization Search (choose the organization by clicking the name)

Foundation for the National Institutes of Health Incorporated (FNIH)
NIH AIDS Research & Reference Reagent Program
NIH Cooperative Human Tissue Network
NIH Molecular Libraries Small Molecule Repository
NIH National Cancer Institute (NCI)
NIH National Center for Advancing Translational Sciences
NIH National Center for Biotechnology Information
NIH National Center for Complementary and Integrative Health
NIH National Database for Autism Research

3. **Funding Opportunity/Sponsor application No.**: Enter the relevant number from the sponsor's funding opportunity announcement, if applicable.

Sponsor Information

* Sponsor: (i)   NIH National Center for Complementary and In
Funding Opportunity/Sponsor application No: RFA-AT-20-003
Sponsor Program Name: Discovery and Biological Signatures of Diet-Der
Proposal Guideline URL: https://grants.nih.gov/grants/guide/rfa-files/RFA

Prime Funding Agency:

4. **Sponsor Program Name**: Enter the program name from the sponsor's funding opportunity announcement, if applicable.

5. **Proposal Guideline URL**: Enter the website address of the proposal guidelines, if applicable.

   a. If the proposal guidelines are not available online, upload them instead in the **Proposal Attachments** form, which will appear at the bottom of the left column once you **Save** the **Start New Proposal** page.

6. **Prime Funding Agency**: If the proposal is for flow-through funding, such as when UC Davis is applying as a subrecipient, indicate here the prime sponsor that the prime applicant institution is applying/has applied to for funding.

   a. **Leave this field blank if the proposal is not for flow-through funding**

7. **Admin Unit**: The Admin Unit is the UC Davis unit that will administer and get credit for the award.

   a. Place your cursor in the text field and click/select.

General Proposal Information

* Admin Unit
* Primary Administrative Contact:
Proposal Owner:

Project No:

b. Enter part of the unit's name or the unit code then select the appropriate unit.

Unit Code	Unit Name
Search x	soci x
040385	Ctr: History,Society & Culture
040116	Institute for Social Sciences
040008	L&S Deans - Social Sciences
030008	Science And Society Program
040325	Social Sciences Program
040320	Sociology

8. **Primary Administrative Contact**: This is the person the Sponsored Programs Office (or the UC Davis Health Clinical Trials Contracts Office) should contact regarding the proposal, often the person preparing it.
   a. Select the magnifying glass.

General Proposal Information

* Admin Unit

* Primary Administrative Contact:

Proposal Owner:

Project No:

   b. Enter the admin contact's last name and select **Search**.

Enter the last name of the person you are looking for:

Last Name Only: admin

Search   Cancel

      i. Select the administrative contact's name.

People Search (choose the person by clicking the name)

Admin, Amie   OVCR - Sponsored Programs

   c. **Proposal Owner**: This field auto-populates with the name of the individual creating the proposal.

* Admin Unit   Sociology

* Primary Administrative Contact: Amie Admin

Proposal Owner: Amie Admin

9. **Short Project Name**: This field is an internal identifier to aid reviewers. Instructions on how to complete it are also found at the top of the **Start New Proposal** screen.

a. Enter the **Sponsor Deadline** (or the date Admin Office review is requested by) **in MM/DD/YY format** + **PI Last Name** + **Sponsor** (e.g. "03/15/2025 Apple NIH")

10. **Project Start Date** and **End Date**. Note that you can use the calendar icons 📅 to select dates from a calendar.

11. **Activity Code**: Select the appropriate activity code.

Activity Code	Definition
01 Basic Research	Acquire new knowledge without view to its application.
02 Applied Research	Advance towards specific objective/application.
03 Developmental Research	Create improved or new product/process.
04 Other Research	Anything that does not fit Activity Code 01, 02 or 03.
05 Public Service	Direct benefit provided to non-sponsor affiliated people.
06 Other Service	Service activity that does not fit Activity Code 05.
07 Clinical Trial – Investigator Initiated	Self-explanatory.
08 Clinical Trial – Sponsor Initiated	Self-explanatory.
09 Equipment	Over $5000 for one item.
10 Infrastructure/Capital Improvement	Facility remodel needed.
11 Fellowship	Fixed amount of financial support to UC Davis employee.
12 Training /Instruction	Funds are used to deliver curriculum to people.

| 13 Material Transfer | MTA's are needed. |
| 14 Other | Anything that does not fit Activity Codes 01-13. |

12. **Proposal Type**: Make the appropriate selection from the dropdown list. See the **Proposal Type** table below.

Proposal Type	Definition
New	Proposal submitted for the first time, including a proposal for an unfunded research collaboration.
New – Graduate Studies	New graduate student or postdoc fellowship. Directs this IPF to the Office of External Fellowships, Division of Graduate Studies
New – UC Davis Health	New submission for 100% industry-funded interventional clinical trial protocol submissions to the UC Davis Health Clinical Trials Contracts Office *
Non-Competing Continuation/ Progress Report	Not used for proposals. The Sponsored Programs Office (SPO) does not require an IPF for progress reports.
Revision (competitive)	Federal proposal submitted to expand budget or scope of current award.
Renewal (competitive)	Federal proposal submitted for funds subsequent to current award.
Resubmission	Federal unfunded proposal submitted again after modification within 37 months of the new application.
LOI/Preliminary Proposal	Letter of intent or preliminary proposal for new funding if the sponsor requires a budget amount, agreement to terms and conditions at this stage, or institutional approval (endorsement or signature).
Supplement	Proposal submitted to continue a previously funded project or for additional funding for work not initially anticipated.
Recurring Contract	The Sponsored Programs Office (SPO) does not use.
After-the-Fact (ATF)	Award is received though there was no proposal submitted to the sponsor, or the PI/department submitted a proposal directly to the sponsor without Sponsored Programs Office (SPO) review and approval.
Prior Approval	To request sponsor approval for an award modification (such as PI change) when the sponsor requires the request come from the Sponsored Programs

	Office (SPO). Otherwise, submit the prior approval request directly to the sponsor.
Termination	The Sponsored Programs Office (SPO) does not use.
Administrative Action	To request department (and in SOM and SVM, dean's office) approval for department or PI change.

13. **Instrument Type**: Select the appropriate Instrument Type/Award Mechanism from the dropdown list as indicated in the sponsor's funding opportunity announcement.

Instrument Type	Definition
Grant	An assistance relationship where the Principal Investigator has significant freedom to change the emphasis within the general area.
Contract	A procurement relationship that is a legally binding contract with detailed financial and legal requirements, a specific work statement, and/or a specific set of deliverables and/or reports due to the sponsor.
Cooperative Agreement	A project involving significant scientific or programmatic involvement from the sponsor. Scientific or programmatic staff may assist, guide, coordinate or participate in the project.
Non Monetary Agreement	An agreement that does not include money.

14. **Select Submission Method**. Select as appropriate. **Cayuse 424** is used for funding opportunities offered through grants.gov (in place of Workspace).
    a. NSF has discontinued use of FastLane. For NSF submissions select **Research.gov.**

15. **Affiliated Unit(s)**: Click to add an affiliated UCD unit. This is primarily used when submitting an amendment (or Administrative Action) that will result in a changed Admin Unit or changed unit for key personnel.
    a. Add the prior unit(s) here so they can review and approve the changes.

16. **Sponsor Deadline**:
    a. Enter the time due in **24-hour format** (i.e., 5:00 pm = 17:00) and select **Pacific** for our time zone.
       i. You can click on the **calendar icon** 📅 to select the date from the calendar.
       ii. The deadline will usually be based on **Receipt** rather than **Postmark**.
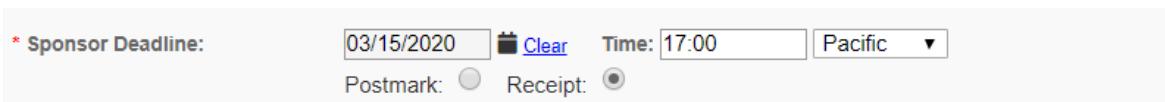
17. **Title of Project:** Enter the full title of the specific project.
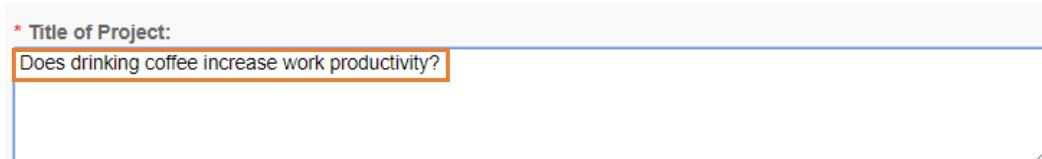
18. **Do Not Pair the Proposal**. Though three buttons at the bottom of the screen suggest you can pair the proposal, do not select any of them. The pairing feature creates undesired technical issues.
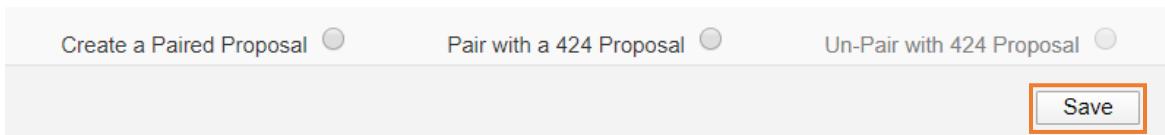
19. Select **Save**.

After saving the **Start New Proposal** page, a column of forms will appear to the left.

- The **Start New Proposal** form is now titled **General Information** and a **green checkmark** indicates it is complete.

- To submit the IPF (Proposal) for routing, complete each form so that a **green checkmark** displays next to it.
  - When all forms but **Submission Notes** have a **green checkmark**, the **Submit for Routing** button at the bottom will become clickable.

Investigators/Research Team

Confirm the Lead Principal Investigator (PI) is an eligible investigator according to sponsor guidelines.

If the Lead PI is eligible per the sponsor but does not have PI eligibility at UC Davis, attach a completed Request for Exception Form 105 to the IPF before it routes for approvals.

- For additional guidance on this subject, see Requesting Exception to Principal Investigator (PI) Status , which immediately follows this **Investigators/Research Team** section.

1. Starting with the **Lead PI**, add all key personnel as well as others who need edit access to the **Proposal** or view access to the **Award** in Cayuse SP.
   a. Contact the OR Cayuse Help Desk (ORCayuseHelp@ucdavis.edu) if a person is not listed. Provide their:
      i. Full Name
      ii. Kerberos ID - this can differ from their UC Davis email
      iii. UC Davis Email
      iv. Home Unit
      v. Will they be acting as a PI? Yes or No
      vi. Employee ID # (if you have it)
   b. Add the **Primary Administrative Contact** (IPF creator) as a **Proposal Editor** if they also need access to any associated awards.
   c. Add anyone else requiring edit access of the IPF as either a **Proposal Editor** or **Other Participant – No Routing**.
      i. All other roles will require the relevant unit head(s) approval of the IPF.
2. Select the magnifying glass next to the **Last Name Only** field.

3. Enter the person's last name and select **Search**.

4. Select the person's name.

> People Search (choose the person by clicking the name)
>
> Apple, Charlie   OVCR - Sponsored Programs

5. **Unit**: Ensure the **Unit** listed is the unit associated with the individual's effort on the project.
   a. To change the unit, place your cursor in the **Unit** field and select the appropriate unit from the list.
      i. **IMPORTANT:** Do NOT select a unit indicated as **Non Admin/Home** or that reads: **(Use ####)**. Instead, find and select the unit code listed in parenthesis.

Add Personnel Information

| * Last Name: | Apple | * Unit: | Sociology |
| * First Name: | Charlie | * Role: | Lead Principal Investigator ▾ |

6. **Role**: Select the individual's **Role** on the project. See below for list of **Role** definitions.
   a. The only Roles that do not require authorization of the IPF by the individual's unit are **Proposal Editor** and **Other Participant – No Routing**.
   b. As indicated in this table, the PI (indicated as the **Lead Principal Investigator** in Cayuse SP) and all Co-PIs (indicated as **Principal Investigators** in Cayuse SP) must certify the IPF.
      i. Personnel added as **Investigators** do not certify the IPF.

Cayuse SP Role	Definition (Use)	Edit Access	Certification Required	Unit Approval Required
Lead Principal Investigator	The lead investigator of the overall project. If the sponsor allows multiple Program Directors/Principal Investigator (PD/PIs), this would be the contact PI. *Cayuse 424 Translation: PD/PI*	X	X	X
Principal Investigator	This role should only be selected if the sponsor allows multiple PIs. Other roles that may fall under this designation include Research Scientist, Research Specialist, Research Associate, or Scholar. *Cayuse 424 Translation: PD/PI and co-PD/PI*	X	X	X
Investigator	This individual is considered to be a primary contributor to the successful conduct of a research project; any person who is responsible for the design, conduct, or reporting of research. *Cayuse 424 Translation: Co-Investigator*	X		X
Postdoctoral Research Associate	This individual has received a doctoral degree and serves on the research project.	X		X

Cayuse SP Role	Definition (Use)	Edit Access	Certification Required	Unit Approval Required
Fellow	This individual is a student, pre or postdoc, applying for a fellowship, or support for dissertation research whose mentor is the Lead Principal Investigator on this proposal.	X		X
Graduate Research Assistant	A post baccalaureate student who serves on the project.	X		X
Clinical Research Coordinator	This individual has significant responsibility for the conduct of a human subjects study. Responsibilities may include study subject recruitment, arranging subject visits, informed consent, regulatory documents, case report forms, and meeting with study monitors.	X		X
Project Manager	An individual is identified in this role on a limited basis such as on program project grants or on a clinical trial.	X		X
Technical Staff	This individual performs standardized or routine measurements, analyses, or procedures in support of the research project.	X		X
Undergraduate Student	An undergraduate student who does not meet the definition of Fellow	X		X
Administrative Contact	This role is used on a limited basis on eligible funding opportunities, for example, program project or state contracts.	X		X
Other Key Participant	Project participants whose role title differs from those above. After selecting "Other Key Participant", a field labeled "Role Title" appears beneath the Role. Enter the participant's custom title into the Role Title field. The participant's unit will be included in the routing list on the Approving Unit's screen.	X		X
Proposal Editor	Grants permissions equal to the Proposal Creator in the SP record.	X		
Other Participant (no routing)	This designation serves the same purpose as Other Key Participant, except that the participant's unit is excluded from the routing list on the Approving Units screen.	X		

7. **Person Months**: Add the individual's effort in **Person Months**.
   a. Select the **Person Months** hyperlink to download an NIH calculator that determines Person Months based on the appointment type (9, 11 or 12 months) and the percent effort committed to the project.

* Person Months: 2.7   Allocation of Credit %: [   ]

Save Personnel

8. **Sponsored Effort**: Enter the amount of effort the sponsor is being asked to fund.
   a. Enter **0%** if the salary included in the proposal is not determined from the effort committed and no effort is being committed.

9. **Cost Shared Effort:** Enter the amount of effort, if any, being paid for by UC Davis.

a. **Voluntary Contributed Cost Share** is strongly discouraged.

10. **Allocation of Credit**: Though not indicated as required (with a *****), **Allocation of Credit** must equal 100% across all key personnel entered.
    a. **Allocation of Credit** demonstrates the contribution of the senior personnel for a specific project.
       i. This data will be used for ad hoc reports from campus leadership regarding investigator productivity and contribution to campus research.
       ii. These reports are often requested in such contexts as retention, space allocation, invitations for panel discussion participation, and more.
    b. If **Allocation of Credit** is not indicated, the Sponsored Programs Office (SPO) will allocate credit equally across the Lead Principal Investigator and Co-Investigators.

11. Select **Save Personnel**.

12. Review the **List of Personnel** for accuracy, which is **critical** for appropriate routing and approval. Errors here will delay the proposal review and, potentially, the submission.

    a. All units listed here will require authorization from their departments unless the associated role is either **Proposal Editor** or **Other Participant – No Routing**.

    b. Select **Edit** to make any necessary corrections.

Request Exception to Principal Investigator (PI) Status

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.

- UC Davis policy on PI eligibility: [UC Davis Policy and Procedure Manual – Section 230-02 – Eligibility to Undertake Sponsored Research](#)

If the PI is eligible per the sponsor but does not have PI eligibility at UC Davis:

1. Complete and obtain the appropriate signatures on [Form 105: Request for Exception to Policy on Eligibility to Undertake Sponsored Research/Other Sponsored Activity](#).
   a. The requestor/applicant (who seeks PI status) must sign the form.
   b. If the exception request is for a student or post-doc, identification of and signature by an Academic Senate member who will have overall responsibility for the project or program is required.
   c. If Form 105 is submitted **after** routing the IPF for approval, the relevant unit head/department chair (and dean's office for School of Medicine and School of Veterinary Medicine) must also sign the form.
2. Upload the signed form as a **Proposal Attachment** in the relevant IPF.
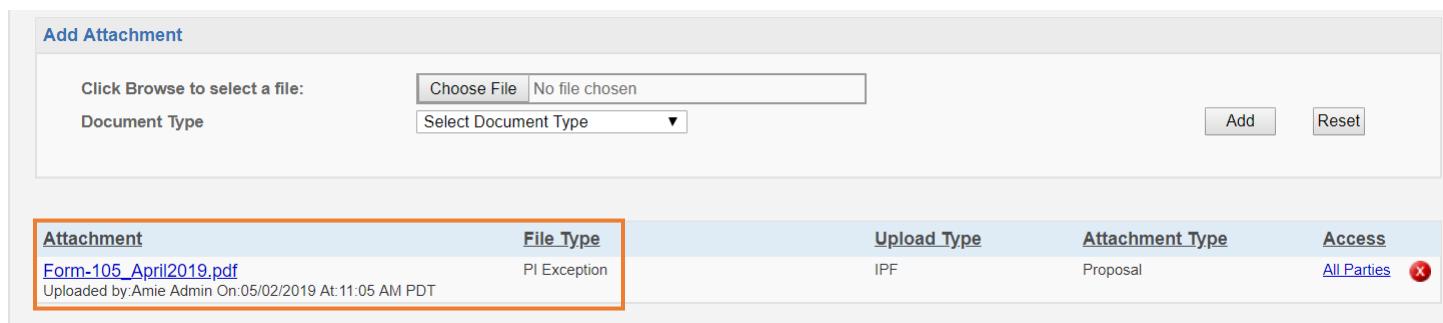
3. The request for exception will be reviewed as part of the SPO review process.
   a. If the request is approved, the SPO analyst will upload the approved form as a **Proposal Attachment** in the relevant IPF.

To attach Form 105 to an IPF that has already been submitted:

Important: If Form 105 is attached **after** routing the IPF for approval, the relevant unit head/department chair (and dean's office, if applicable) must sign the form.

1. From the **Proposal Dashboard** in Cayuse SP, find the relevant IPF either under:
   a. **My Proposals** if you are the **Primary Administrative Contact** or are named on the **Investigators/Research Team** form of the IPF
      i. Select the **Submitted Proposals** tab.

b. **Proposals In My Unit** if you have been granted **Proposal Data Access** by your unit's Role Manager.
2. Once you find the IPF, click on the **Prop No** (Proposal Number)
3. This brings you to the **Proposal Routing Status** screen. Select the **Attachments** tab (paperclip icon)

   and add Form 105 there.

Budget

A completed budget form is required for mandatory reporting requirements.

- SPO recommends using an OR Budget Template to prepare a detailed internal (to UCD) budget for your project.
    - Copy figures over from your completed budget spreadsheet to this form.
- You may refer to the Budget Development webpage for additional instructions on preparing a proposal budget.

1. **Budget Form**: Select the **Summary** Budget Form.
   a. As you will be attaching a detailed internal budget, a **Summary** budget is sufficient.

2. **# of Budget Periods**: Indicate the appropriate number for the entire project.

3. **Start** and **End**: Select the **Start** and **End** Dates for the <u>first</u> proposed project period only under **Current Period**.
   a. You may use the **calendar icon** 🗓 to pick dates from a calendar.

4. **Cost Sharing**: Select **No**. Do not enter cost-share into Cayuse SP.
   a. To avoid routing issues, **the SPO Proposals Analysts prefer to add the cost-sharing themselves** based on attached letter(s) of commitment.
      i. View Guidance for submitting proposals/IPFs that involve cost sharing to determine the necessary documentation.
      ii. Add a note under **Submission Notes** (at bottom of the **Item List** in the left column) along these lines: "As instructed, we have left it to SPO to add the cost-share based on the attached letter(s)."
   b. Cost-share that is added to Cayuse SP and authorized by the unit head is not considered approved.

      i.   A signed letter of commitment is the only acceptable cost-share approval.

Cost Sharing ⓘ

* Does this proposal include funds or contributions in the form of required cost sharing or required cash matching?

For Internal Cost Sharing: please select "Intl Cost Sharing" as the unit, enter the total amount of all internal cost sharing for the Period and then for Project Total and upload the cost sharing commitment letter(s) in Proposal Attachments.

○ Yes   ○ No

5. **F&A Rates**:
   a. Select the **F&A Rates** for the **Current Period** (first project period) and the **Entire Project** period (required).
      i. 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.

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 %

   ii. 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**.
      A. Upload documentation regarding the sponsor's F&A (indirect) Rate policy as a **Proposal Attachment** (towards the bottom of the **Item List** in the left column)
   iii. Repeat these steps for all other appropriate F&A rate fields.
      A. **F&A Rates (2) and (3)** come into play when the project period extends through Fiscal Periods with different F&A rates.

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. To report a different **Effective Rate** (total of selected rates) than calculated, uncheck the **Use Calculated Values** box and enter the desired percentage value.

> i. The **Effective Rate** is for reporting purposes.

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.

6. **Budget Categories**: Enter Sponsor Direct Costs and Base Rates from the OR Budget Template.
   a. The **FA_Details** tab at the bottom of the OR Budget Template indicates precise base amounts for the **Current Period** (first project period) and **Entire Project** period.

Budget Categories

	Current Period	Entire Project
SPONSOR DIRECT COSTS:	$ 250,000	$ 1,000,000
BASE for F&A Rate (1):	$ 225,000	$ 900,000
BASE for F&A Rate (2):	$ 0	$ 0
BASE for F&A Rate (3):	$ 0	$ 0
Use calculated values: ☑ INDIRECT COSTS (F&A):	$128,250	$513,000
FEE:	$ 0	$ 0
Use calculated values: ☑ TOTAL SPONSOR PROPOSED COSTS:	$378,250	$1,513,000
Internal Cost Sharing:	$20,000	$80,000
Third-Party Cost Sharing:	$25,000	$25,000
TOTAL PROJECT COSTS:	$423,250	$1,618,000

   b. **Indirect Costs (F&A)** and **Total Project Costs** will auto-calculate.
      i. Unselect **Use Calculated Values** if there is more than a $1 difference in the budget category totals and manually enter the amounts from the budget spreadsheet.

8. **Additional Resources**: If resources outside the administering unit will be used, select **Yes** and complete additional questions.

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

If yes, please specify the needed resources below:

* Please check all that apply.	* Please provide a brief explanation.
☑ Personnel	Imaging at the ICPMS facility
☑ Space	
☐ Equipment	

   a. If no additional resources will be used, select **No**.

b. Select **Save**.

Financial Conflicts of Interest in Research

Consider leaving this page for the PI to complete to ensure they are aware of their responsibilities.

1. Review the various disclosures to determine which need to be completed and submitted by the PI and Co-PIs.
    a. All required disclosures must be filed before SPO will approve the proposal for submission to the sponsor.
    b. The **Click here** link leads to the electronic Conflict of Interest (eCOI) disclosure webpage.

2. **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

* 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

* 4. Please indicate concurrence with the statements below by selecting "Yes":

- I understand that I must complete the financial conflict of interest disclosure requirements for this project, as applicable.

- I certify that all necessary human subject, animal subject, and/or Environmental Health & Safety approvals have been obtained prior to conducting work that requires such approvals.

- I certify that funds will be available to cover the expenditures incurred for this project in the event that the Sponsor does not provide the funds requested.

○ Yes

[Save] [Reset]

3. **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.
4. Click **Save**.

Regulatory Compliance

1. **Human Subjects**: Select **No** if the project does not involve human subjects or **Yes** if the project does involve human subjects.
    a. If unsure, consult Does My Project Need Review on the IRB website.
    b. If **Yes** was selected, complete the additional questions:
        i. Indicate whether the IRB application(s) was/were submitted via IRBNet.

   ii. Enter the approved IRB protocol/application numbers if known, or "Pending" if unknown.

2. **Animal Subjects**: Select **No** if no vertebrate animals are involved in the project or **Yes** if vertebrate animals are involved. If **Yes** was selected, complete the additional questions:

    a. Indicate whether the IACUC application(s) was/were submitted via the IACUC Protocol system.
    b. Enter the approved IACUC protocol/application numbers if known, or "Pending" if unknown.
    c. Enter the species involved.

3. **Hazardous Research Materials**: Check all that apply or **None** if there are no hazardous materials involved.

    a. Select **Save**.

Subrecipients

1. Select **No Subcontractors** if the project does not involve any outgoing subawards.

2. If the project does involve outgoing subawards, complete the following steps for **each** subaward/ subrecipient:

   a. Search for and select the subrecipient(s) in the **Subcontractor** field.
      i. If the subrecipient is not listed, select **Miscellaneous Sponsors**, and enter the Subcontractor Name and contact information in the **Submission Notes** form (towards the bottom of the **Item List** in the left column).
      ii. Do NOT select **No Sponsors.**
   b. Select **Add Subcontractor**.

      i. Upload all required documents for each subaward as **Proposal Attachments** (at bottom of the **Item List** in the left column).

A. For additional guidance, see SPO's [Prepare a Proposal with Subawards](#) page.

c. Once all Subrecipients are listed, select **Authorize Subcontractor List**.

List of Subcontractors: (to edit the list, remove the entry and re-select)

Subcontractor
Texas Woman's University

Authorize Subcontractor List   Reset

Foreign Activity

1. Indicate if the product involves conducting proprietary research that may have a potential military application.

> * 1. Does the project involve conducting proprietary research with a potential military application?
>
> ● Yes ○ No

2. Answer the questions regarding foreign activity, including any additional questions based on your selections.

> 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.
> >
> > > 1) Travel on airline (2) University laptop (3) Will remain with the traveler, PI (4) Business use while attending a professional conference (5) Dates of the conference are TBD
> >
> > * ii. To which countries are you shipping?
> >
> > > Aruba
> > > Australia
> > > Austria
> > > Azerbaijan
> > > Bahamas
> > > Bahrain
>
> * 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. Answer the questions regarding potential export control implications.

4. Select **Save**.

> * 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]

Special Interest

1. Indicate if the project involves the use of Human Stem Cells and the protocol number (if applicable).

> * 1. Are Human Stem Cells involved in this proposal?
>
> ○ Yes   ○ No
>
> * Please indicate protocol number:
>
> 55555
>
> *Maximum number of characters is 1000.*

2. Indicate **Yes** or **No** to questions 2 through 6.

* 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 this project involve Sustainability Research?
  ○ Yes   ● No

3. Indicate whether the proposal is to a Small Business Innovation Research Program (SBIR) or a Small Business Technology Transfer Program (STTR) and complete the additional questions (if applicable).

4. Select **Save**.

* 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

  If yes, please enter the following information:

  * Will you be the designated Principal Investigator for this project at the small business?

  ○ Yes   ● No

  * What is your formal relationship with the small business?

  Board of Directors ▼

| Save | Reset |

Additional Questions

1. Answer all required Additional Questions (indicated by a red *).
2. Answer questions 6 and 7 if applicable.
3. Select **Save**.

* Indicates Required Fields

* 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

6. **Health Relatedness**

Please indicate the primary area of health relatedness that applies to your proposal.

[Human Health ▾]

7. Please select additional areas that also describe your activity (check all that apply).

If you choose the primary area again in the drop-down list, that will be treated as "other".

☐ Companion Animal Health

☐ Food Animal Health

☐ Environmental Health

☐ Equine Health

☐ Food Safety

☐ Human Health

☐ Wildlife Health

Location of Sponsored Activities

1. Enter all locations where work will be performed on the **prime project** until the **total** across all sections **equals 100%.**
   a. Do not include subrecipient locations. This section is for UC Davis locations only.
   b. In each relevant section/quadrant:
      i. Enter or select the location.
         A. For campus locations, enter the building name.
      ii. Enter the percent of work to be performed at the location and select **Add**.

Campus Locations

If any sponsored activities occur in university owned or leased space on campus, please enter each building and the percentage of work that will done there.

Click Add after each entry.

Location: Social Sciences and Humanities

Percent of Work: 75 %   Add

There are no Campus Locations added to the proposal.

Use of ORUs, SRPs, Core Facilities, and ANR

Select below if proposal activities require use of or access to one or more Organized Research Units (ORU), Strategic Research Programs (SRPs), core facilities or ANR facilities (and ANR is not a subawardee). Provide the % of the project that will be physically conducted at each of these locations. If there will be no physical access or use, but the project or PI is affiliated with one or more of these unit(s), please identify these units and select 0%.

Location: Interdisciplinary Center for Inductively-Coupled Plasma Mass Spectrometry ▼

Percent of Work: 25 %   Add

There are no ORUs, SRPs, Core Facilities, or ANR resources added to this proposal.

Proposal Abstract

1. Indicate whether the Proposal Abstract may be made public within UC Davis.
   a. A **Yes** indicates that this abstract may be used to help match faculty researchers with potential collaborators and funding resources, and to help identify expertise and areas of research interests.
      i. It may also be used to search key words in order to provide reports to UC Davis administrative offices regarding research on specific subjects.
2. **Abstract**: Enter the abstract/scope of work details.
   a. If preferred, you can write something along the lines of "Scope of work attached separately" and attach the abstract/scope of work to the **Proposal Attachments** form (towards the bottom of the **Item List** in the left column).
3. **Animal Categories**: Not required, but if applicable, select the animal category in this proposal from the drop-down list.
4. Select **Save**.

* 1. I give permission to make this abstract publicly accessible:

   ◉ Yes   ○ No

* 2. Abstract:

   In this project, I will....

3. Animal Categories: Please indicate the applicable animal category in this proposal.

   Select one... ▼

   Save   Reset

Proposal Attachments

1. Upload all applicable documents as described above or in the sponsor's Funding Opportunity Announcement.
   a. At a minimum, attach the:
      i. **Budget** (in Excel)
      ii. **Budget Justification**
      iii. **Scope of Work** (Abstract)
         A. A **draft** Scope of Work is acceptable so long as a final version is provided prior to submission to sponsor.
   b. Select **Choose File** to locate the document.

>> **Proposal Attachments**

When applicable, please attach the following documents:

- Proposal Announcement Guidelines (RFP, RFA, etc.)
- Budget (in Excel)
- Subcontractor documentation (letter of commitment, budget, budget justification, scope of work)
- Representations & Certifications

For industry-sponsored clinical trials, please attach the following documents:

- Sponsor Protocol
- Final Sponsor Budget
- Final Internal Budget
- Editable Agreement
- Exception to Policy

Add Attachment

Click Browse to select a file:	Choose File	No file chosen		
Document Type	Select Document Type ▼		Add	Reset

   c. Select the document to upload and then select **Open**.
   d. Select the most appropriate **Document Type** from the drop-down list, then select **Add**.

Add Attachment

Click Browse to select a file:	Choose File	RFP.pdf		
Document Type	RFP or Sponsor Guidelines, etc. ▼		Add	Reset

Approving Units

1. Review the listed **Approving Units.**
   a. Errors on this form will cause the IPF to get stuck in routing and not arrive in the Sponsored Programs Office 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.
         A. For more guidance, see the **Cost Sharing** section (#5) in the Budget form instructions above.
         B. 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. Re-order the **Routing Order** 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.
   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** and **School of Veterinary 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**.
   b. If an Admin Unit is in the School of Veterinary Medicine and you see a Unit listed as **School of Veterinary Medicine (Use 072000)**, follow the instruction:
      i. Under **Add Approving Unit**, search for Unit Code "072000", click on the name "VM: Deans Office", then click **Add Unit**.

4. Select **Authorize Unit Listing**.

Submission Notes

1. Add any notes regarding this proposal in the **Submission Note** field, such as:
   a. If you selected **Miscellaneous Sponsors** for a sponsor or subrecipient, enter the name, address and contact information (person's name and phone number) of sponsor or subrecipient.
   b. The Sponsored Programs Office **strongly recommends** a budget and budget justification be attached even if the sponsor does not require one. If a PI decides they will not be attaching one or both, enter a note indicating this so that the IPF (proposal) will be assigned to a SPO analyst for review.
      i. **Failure to upload a budget and/or budget justification without adding such a note will result in the proposal not being assigned to a SPO analyst and instead being returned to you for correction.**
   c. Add a note along the lines of **"See 424 proposal"** if a Cayuse 424 proposal was created.
   d. If a different **Primary Administrative Contact** should be included for the Award phase, add a Note such as "X should be listed as the Primary Administrative Contact on the Project." This is the person who will be contacted on Award matters.
2. Select **Add Note**.

Submit for Routing

1. Select **Submit for Routing** when all sections are complete, noted by a green checkmark next to each.
   a. The **Submission Notes** section does not require a green checkmark.
2. Select **Yes** when asked **Are you sure you wish to submit this Proposal Record?**

4. Review the **Approvals** tab for accuracy.

   a. Errors on this page will cause the IPF to be stuck in routing.
   b. Ensure at least one name is listed under **Authorizing Person(s)** for all units.
      i. If the **Authorizing Person(s)** column for any unit is blank or includes "OR Cayuse Help", email ORCayuseHelp@ucdavis.edu immediately for assistance.

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	Not Yet Reviewed

Unit(s) that must authorize this proposal

Order	Unit	Authorizing Person(s)	Authorizing Decision
1	Med: Intl Med- Cardiovascular	Jaskaran Birak , Ulrike Kreutzer	Not Yet Reviewed
2	Med: Intl Med (Use the PI's Int Med Dept.)	Timothy Albertson	Not Yet Reviewed
2	Primate Center Special Rate (Non Admin Dept)	Mary McNally , Rowena Banks , Christine Munsterman , OR Help	Not Yet Reviewed
3	School of Medicine (Use 049000)	Anuurad Erdembileg , Tammi Olineka , Teresa Coats	Not Yet Reviewed
4	Intl Cost Sharing	Kassie Obelleiro	Not Yet Reviewed
5	UC Davis Sponsored Programs Office	Admin Office	

Status History

Status	Person	Date
Changed to: Submitted for Routing	Changed by: Amie Admin	7/21/2018 01:59 PM
Changed to: Unsubmitted	Changed by: Amie Admin	7/20/2018 11:46 AM

Role Management and Permissions

Get access to view and/or approve Cayuse SP records

1. Contact the Role Manager for the unit to which you need access.
   a. Determine the appropriate Role Manager by one of the following methods:
      i. From the **Cayuse Research Suite** page (first page you reach when you go to https://ucdavis.cayuse424.com), select **Research Contacts**, then search for the unit on the **Unit List**.
      ii. In **Cayuse SP**, select **More** in the top toolbar, then **View Roles by Unit**, then search for the unit on the **Unit List**.
   b. For additional guidance, see **View Unit Role Assignments** in the Handbook for Role Managers.

Establish a Role Manager for your unit

1. To request the addition of a Role Manager for a unit, the Unit Head (i.e., chair or director) should email a completed and signed Cayuse SP – Role Delegation Authorization Form to ORCayuseHelp@ucdavis.edu.
2. The selected Role Manager should review the Learn: Managing Roles in Cayuse webpage, which includes a brief how-to video: How Role Managers Add/Remove Roles in Cayuse.

How a Role Manager grants Roles for a unit

1. The Role Manager should either:

   a. Go to **Research Contacts** from the **Cayuse Research Suite** page (first page you reach when you go to https://ucdavis.cayuse424.com), or
   b. In **Cayuse SP**, select **More** in the top toolbar.
2. Select **Manage Roles**.
3. If the person is not already listed as a **Research Contact**, add the user and assign roles.
4. If the person is already listed as a **Research Contact**, select the user's name and assign roles.
5. For further instructions, see the Learn: Managing Roles in Cayuse webpage as well as **Managing User Roles** in the Handbook for Role Managers.

Certify the IPF (Proposal) as a PI/Co-PI

As indicated in the **Investigators/Research Team** form above, the PI (indicated as the **Lead Principal Investigator** in Cayuse SP) and all Co-PIs (indicated as **Principal Investigators** in Cayuse SP) must certify the IPF.

- Personnel added as Investigators do not certify the IPF.

It is good practice to have the PI and all Co-PIs **certify the IPF immediately after it is routed** for approvals so that this step is not overlooked.

Please ensure all who must certify are asked to do so. As certifications are a campus requirement, an IPF that is missing any will not be assigned to a Sponsored Programs Office (SPO) analyst and will be returned for completion, delaying the review process.

How to certify:
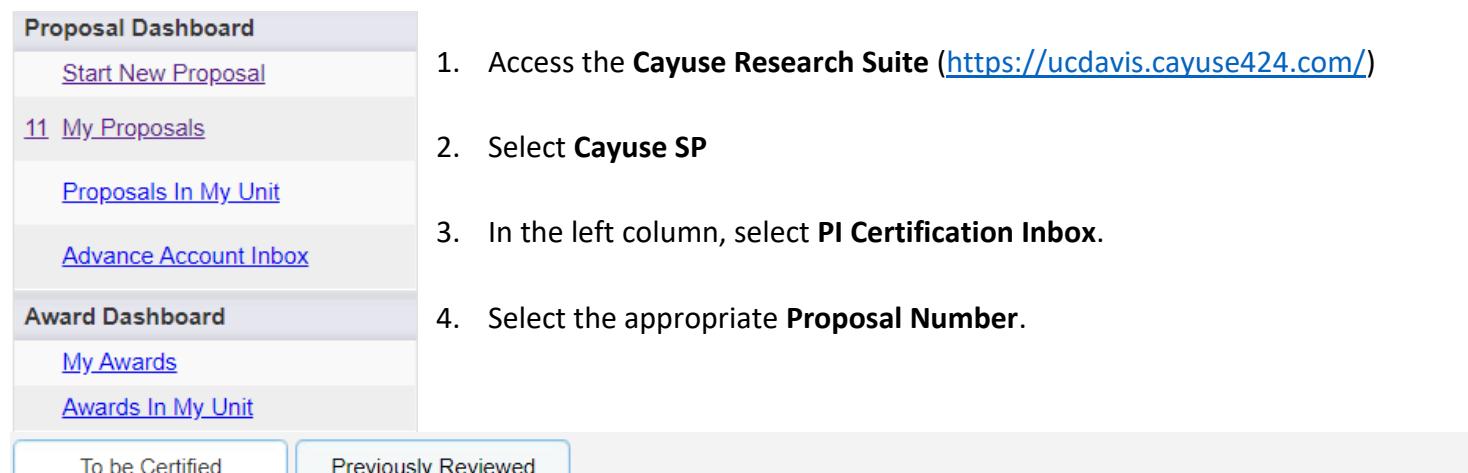
Proposal Dashboard

Start New Proposal

11 My Proposals

Proposals In My Unit

Advance Account Inbox

Award Dashboard

My Awards

Awards In My Unit

1. Access the **Cayuse Research Suite** (https://ucdavis.cayuse424.com/)

2. Select **Cayuse SP**

3. In the left column, select **PI Certification Inbox**.

4. Select the appropriate **Proposal Number**.

| To be Certified | Previously Reviewed |

Below is a list of proposals that require your certification as Lead or Principal Investigator.

Date Submitted ▼	Proposal No.	Project Name	Sponsor	Deadline	PDF
3/04/2020	20-2576	03/15/2020 Apple NIH	NIH National Center for Complementary and Integrative Health	03/15/2020	📄
2/05/2020	20-2542	12/11/2018 Apple NSF	National Science Foundation (NSF)	12/11/2018	📄
	20-2569	SAMPLE SHORT FORM PROPOSAL	National Science Foundation (NSF)	02/19/2020	📄
	20-2528	Sample Proposal - Advance Account Request	National Science Foundation (NSF)	01/09/2020	📄
	20-2530	Change in PI from Smith to Apple A20-1234 for Awards	National Science Foundation (NSF)	01/21/2020	📄
	20-2531	Change PI Smith to Apple NSF-PIRE	National Science Foundation (NSF)	01/21/2020	📄

5. To review the IPF before certifying, select one of these three options:
    a. To go through the IPF section-by-section, click on:
        i. The **Proposal Number link**, or
        ii. The **View IPF** button
            1. Both options lead to the same place
    b. To instead review a PDF of the IPF, select the **PDF icon**.

Proposal Routing Status

Proposal: 20-2576 [PDF]	Sponsor:	NIH Nati
Project:	Prime Sponsor:	
Lead PI: Charlie Apple	Instrument Type:	Grant
Admin Unit: Sociology	Specialists:	
Project Title: Does drinking coffee increase work productivity?		

[View IPF] [Certify Proposal]

| Approvals | Compliance | Status History | Advance Account | Awards | |

6. When ready to certify, select the **Certify Proposal** button.
    a. Alternatively, if you chose to review the IPF section-by-section you can click the **Certify Proposal** button that appears below the **Item List**.

7. Read the onscreen text, enter any comments or additional information you have regarding the proposal, and then select **Submit Certification**.

Edit an IPF that has been Submitted for Routing

Once an IPF (Proposal) has been submitted for routing, it may no longer be edited. If you need to make revisions, follow the appropriate set of instructions below:

Revisions that <u>require re-authorization (or "re-approval")</u> from the **IPF Approvers** (unit head(s), and dean's office in the Schools of Medicine and Veterinary Medicine) are:

- 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 -- see Necessary Documents above *(internal link; you are currently on page 41)*
- Other revisions representing a significant change in commitment of departmental and/or campus resources

In these cases:

1. Email ORCayuseHelp@ucdavis.edu, provide the Cayuse SP Proposal Number (e.g., 25-5555) and the Lead PI's name, and request the IPF (Proposal) be returned to **Unsubmitted** status.

    a. Indicate that you will need to acquire re-approval by the IPF Approver(s)

2. Once notified that the IPF has been returned to **Unsubmitted** status, make necessary edits.
3. Select **Submit for Routing** to reroute the IPF for required re-authorizations.

Minor revisions that <u>do not require re-authorization</u> from **IPF Approvers** include, but are not limited to:

- Change in project title
- Change in project dates
- Edits to the abstract field
- Minor budget edits

In these cases:

1. Email ORCayuseHelp@ucdavis.edu, provide the Cayuse SP Proposal Number and the Lead PI's name, and request the IPF (Proposal) be returned to **Unsubmitted** status.

2. Once notified that the IPF has been returned to **Unsubmitted** status, make necessary edits.
3. Email ORCayuseHelp@ucdavis.edu or your assigned Sponsored Program Office (SPO) analyst and inform them that the changed have been made.

    a. Do **NOT** submit for routing again.
    b. If **Submit for Routing** is selected, all IPF Approvals already obtained will need to be re-obtained.

Check Proposal Status

Proposal Dashboard
- Start New Proposal
- 13 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

1. From the **Proposal Dashboard:**
   a. Select **My Proposals** if you created the IPF (Proposal) or are listed on the **Investigators/Research Team** form.
      i. Then select **Submitted Proposals**.

Unsubmitted Proposals	Submitted Proposals

Below is a list of unsubmitted proposals you initiated or on which you are listed.

Created Date	Prop No	Lead PI	Project Name	Sponsor	Dea
Search x	Search x	Search x	Search x	Search x	Se
03/04/2020	20-2578	Charlie Apple	03/12/2020 Apple WCEF	West Coast Equine Foundation	03/1
03/04/2020	20-2577	Charlie Apple	ATF A21-1234 Kassie Otie's Coffee Test	Specialty Coffee Association of America	03/1

   b. Select **Proposals in My Unit** if you have **Proposal Data Access** for the administrative unit of the Proposal but are not listed on the **Investigators/Research Team** form.
2. Search for the Proposal by any column: **Created Date**, **Prop No**, **Lead PI**, **Project Name**, **Sponsor**, etc.
3. The Proposal **Status** will display in the last field (to the right).

Below is a list of submitted proposals you initiated or on which you are listed.

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	
03/04/2020	20-2576	Charlie Apple	03/15/2020 Apple NIH	NIH National Center for Complementary and Integrative Health	03/15/2020	Owner	Dept Approval In Process		Copy 📄
	20-2569	Charlie Apple	SAMPLE SHORT FORM PROPOSAL	National Science Foundation (NSF)	02/19/2020	Proposal Editor	Funded		Copy 📄
02/14/2020	20-2554	Charlie Apple	For Awards	National Science Foundation (NSF)	02/21/2020	Owner	Admin Office In Process		Copy 📄
02/14/2020	20-2553	Charlie Apple	For Awards	National Science Foundation (NSF)	02/21/2020	Owner	Funded		Copy 📄

4. To view the detailed status, open the relevant Proposal by clicking on the **Proposal No**.
5. The status displays on the Approvals tab.
   a. SPO analysts and others may also include comments regarding outstanding items on the **Notes** tab (indicated with a page icon 📄).

Proposal Status Definitions

Status	Definition
Unsubmitted	Not submitted for routing
Dept Approval in Process	Submitted for routing and pending IPF (departments and or deans, if applicable) 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
Reopened	Proposal was rejected by an IPF approver and may need revision; will display on the Unsubmitted proposals tab
Submitted to Sponsor	Proposal has been submitted to the sponsor
Withdrawn	Proposal withdrawn by the Principal Investigator
Not Funded	Proposal not funded by the sponsor
If the IPF is an LOI/pre-proposal, this may also mean that the LOI/pre-proposal was invited for full submission
JIT Request Received	SPO or Principal Investigator received a Just-in-Time (JIT) request from the sponsor
JIT Request Approved	SPO has approved the JIT information provided by the Principal Investigator /department
JIT Request Unsubmitted	The Principal Investigator decided not to submit JIT information
Funded	Notice of Award received by the sponsor (This does not mean the award has been executed)

Identify your assigned Sponsored Programs Office (SPO) analyst

You will be notified by email when the Sponsored Programs Office (SPO) assigns your Proposal, Award or Subcontract (Subaward) to one of its analysts for review and approval.

If you need a reminder of who your assigned **Proposal or Award analyst** is, do the following:

1. If you are the **Primary Administrative Contact** or are listed on the **Investigators/Research Team** form of the associated IPF:
    a. From the **Cayuse Research Suite** (https://ucdavis.cayuse424.com/), go to **Cayuse SP**
    b. Select **My Proposals** in the left column.
    c. Select the **Submitted Proposals** tab.
    d. Jump to step 3 below.
2. If you are not the **Primary Administrative Contact** and are not listed on the **Investigators/Research Team** form but have been granted **Proposal Data Access** by your unit's Role Manager:
    a. From the **Cayuse Research Suite** (https://ucdavis.cayuse424.com/), go to **Cayuse SP**
    b. Select **Proposals in My Unit** in the left column.
3. Select the relevant **Proposal No**.
4. On the **Proposal Routing Status** screen:
    a. The Proposal Analyst will be the first name next to **Specialists** at the top center of the page.
    b. The Award Analyst will be the **Specialist** whose name is to the right of the Proposal Analyst.
5. For direct contact info, consult the Sponsored Programs Office Staff.

If you need a reminder of who your assigned **Subcontract (Subaward) analyst** is, do the following:

1. If you are the **Primary Administrative Contact** or are on the **Investigators/Research Team** form of the associated IPF:
    a. From the **Cayuse Research Suite** (https://ucdavis.cayuse424.com/), go to **Cayuse SP**
    b. Select **My Awards** in the left column.
    c. Jump to step 3 below.
2. If you are not the **Primary Administrative Contact** or are not listed on the **Investigators/Research Team** form but have been granted **Award Data Access** by your unit's Role Manager:
    a. From the **Cayuse Research Suite** (https://ucdavis.cayuse424.com/), go to **Cayuse SP**
    b. Select **Awards in My Unit** in the left column.
3. Select **Active Projects**.
4. Select the associated **Project No**.
5. On the **Project Administration** screen, go to the **Subcontracts** tab.
6. Select the **Subcontract No**.

7. On the **Subcontract Administration** screen, go to the **Notes** tab (indicated with a page icon 📄).
8. A note will indicate your assigned SPO analyst.
9. For additional guidance, see the [Handbook for Accessing Subawards](#).

Awards

If you receive a Notification of Award (NOA) directly from a sponsor, email it to the Sponsored Programs Office (SPO) at awards@ucdavis.edu.

- Reference the original Proposal number (or Project number) and the PI's name.
- Refer to SPO's Awards Review and Acceptance webpage for additional guidance.

Check Award Status
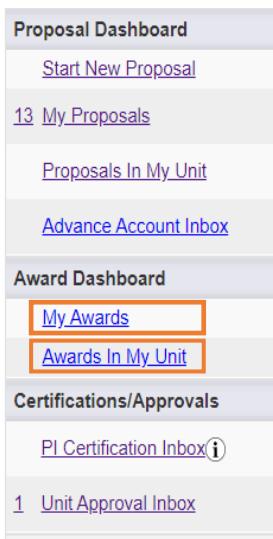
Proposal Dashboard

Start New Proposal

13 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

1. From the **Award Dashboard**:
   a. Select **My Awards** if you are the **Primary Administrative Contact** or are listed on the **Investigators/Research Team** form (in any role).
   b. Select **Awards in My Unit** if you have been granted **Award Data Access** by the Role Manager for the administering unit of the award.

2. The Award **Status** displays on the far right side of the screen.

3. Select the **Award No.** to view additional details.

Awards	Active Projects	Inactive Projects

Below is a list of obligated awards on which you are listed as a member of the Research Team.

Award No. ⬍	Project Title	Lead PI	Sponsor	Award Amount	Award Notice Received	Award Begin Date	Award End Date	Admin Unit	Account Numbers	Status	Flags
Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x
A21-0730-004	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$0.00	01/20/2020	01/16/2020	01/23/2020	Med: Intl Med-Allergy (049239)		Pending	
A21-0730-003	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$-11,400.00	02/19/2020	01/16/2020	01/23/2020	Med: Intl Med-Allergy (049239)		Active	
A21-0730-002	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$0.00	02/19/2020	01/01/2022	02/28/2022	Med: Intl Med-Allergy (049239)		Pending	
A21-0730-001	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$770,750.00	01/09/2020	01/01/2021	12/31/2021	Med: Intl Med-Allergy (049239)		Active	

Award Status Definitions

Status	Definition
Pending	The award is not fully executed
Active	The award has been fully executed and routed to Contracts and Grants Accounting

4. View the **Notes** tab (page icon) to see if the assigned SPO analyst noted any outstanding items.

View Attached Award Documents

Proposal Dashboard
- Start New Proposal
- 13 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

1. From the **Award Dashboard**:
   a. Select **My Awards** if you are the **Primary Administrative Contact** or are listed on the **Investigators/Research Team** form (in any role).
   b. Select **Awards in My Unit** if you have been granted **Award Data Access** by the Role Manager for the administering unit of the award.

2. The Award **Status** displays on the far right side of the screen.

3. Select the **Award No.** to view additional details.

4. Select the **Award No.** to open the Award.

| Awards | Active Projects | Inactive Projects | | | | | | | | | |

Below is a list of obligated awards on which you are listed as a member of the Research Team.

Award No. ⇕	Project Title	Lead PI	Sponsor	Award Amount	Award Notice Received	Award Begin Date	Award End Date	Admin Unit	Account Numbers	Status	Flags
A21-0730-004	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$0.00	01/20/2020	01/16/2020	01/23/2020	Med: Intl Med-Allergy (049239)		Pending	
A21-0730-003	SDPS Class Sample - Do not delete	Charlie Apple	NIH National Institute of Allergy and Infectious Diseases (NIAID)	$-11,400.00	02/19/2020	01/16/2020	01/23/2020	Med: Intl Med-Allergy (049239)		Active	

5. Go to the **Award Attachments** tab (paperclip icon 🔗) to view associated documents.

a. Use the **Attachment Filter** feature to view documents attached to the associated Proposal.

Award Administration

Award:	A21-0730-003	**Sponsor:**	NIH National Institute of Allergy and Infectious Diseases (NIAID)	**Award Begin-End Dates:**	01/16/2020 - 1/23/2020	
Project:	A21-0730	**Prime Sponsor:**		**Amount:**	($11,400.00) (Obligated)	
Lead PI:	Charlie Apple	**Sponsor Award:**	123456	**Prime Account:**		
Admin Unit:	Med: Intl Med- Allergy	**Instrument Type:**				
Project Title:	SDPS Class Sample - Do not delete					

General | People | Budget | Distributions | Proposals | Flags | 📄 | 📎

Add Attachment

Click Browse to select a file: | Choose File | No file chosen

Document Type | Select Document Type ▼

Final | ☐

>> Next | Reset

Attachment List

Attachment Filter: All ▼

Attachment	File Type	Final	Upload Type	Attachment Type	Access	
Agreement-FE1.pdf Uploaded by:Amie Admin Uploaded On:03/04/2020 At:3:31 PM PST	Agreement	☑	Investigator	Award	All Parties	Delete
budget.xlsx Uploaded by:Kassie Obelleiro Uploaded On:01/09/2020 At:11:11 AM PST	Budget	☑	IPF	Proposal	All Parties	
RFP.pdf Uploaded by:Kassie Obelleiro Uploaded On:01/09/2020 At:11:00 AM PST	RFP or Sponsor Guidelines, etc.	☐	IPF	Proposal	All Parties	
Scope.pdf Uploaded by:Kassie Obelleiro Uploaded On:01/09/2020 At:11:00 AM PST	Abstract	☐	IPF	Proposal	All Parties	

View 1 - 4 of 4 | | Page 1 of 1 |

Submit an After-the-Fact (ATF) Proposal

If the university receives a Notice of Award for a proposal that was not submitted through the Sponsored Programs Office (SPO) for review and approval, SPO will request that you submit an After-the-Fact (ATF) proposal.

Follow the steps above to **Create and Submit an Internal Processing Form (IPF; aka "Proposal")** *(internal link; you are currently on page 51)* **with the following differences:**

1. **Start New Proposal (General Information)** form.
    a. **Short Title:** ATF for Awards/[Cayuse Project Number, if known]
    b. **Proposal Type:** Select "After-the-Fact"
    c. **Submission Method:** Select "Paper" and provide the sponsor's contact information in the field that appears.
    d. **Sponsor Deadline:** Select a date **at least seven business days** from the current date.

* Short Project Name:	ATF A21-1234 Kassie Otie's Coffee Test (internal reference name)
* Project Start Date:	04/01/2020 📅 Clear
* Project End Date:	03/31/2021 📅 Clear
* Activity Code:	Click Here to Choose Activity Code
	01 Basic Research
* Proposal Type:	After-the-Fact (ATF) ▼
* Instrument Type:	Contract ▼

How will this proposal be submitted?

Select Submission Method: Paper ▼

For Paper submissions, please enter the following information:

How many copies are required? 0

Sponsor's Mailing Address and Contact Phone Number:
Jessica Cocoa, 530-555-5555, jscocoa@coffeefund.com; send via email

Affiliated Unit(s) (if applicable): Click Here to Choose Affiliated Unit(s)

* Sponsor Deadline: 03/11/2020 📅 Clear   Time: 17:00   Pacific ▼
Postmark: ◉   Receipt: ○

2. Now complete all sections in the **Item List** so that a green checkmark appears next to all. Specific notes:
    a. **Special Interest**: Question #5: Answer **Yes** if the Sponsor provided a draft award agreement.
    b. **Proposal Attachments**: Upload the draft agreement (**Document Type:** ATF Award) and all other required documents for a proposal submission.

i.   These include the scope of work, budget and budget justification. See [Necessary Documents](#) above *(internal link: you are currently on page 52)*.

c.   **Submission Notes**: Indicate that a draft agreement was received and provide sponsor contact information (name and email)

Submit Award Modifications

Completion of an IPF in Cayuse SP is required for modifications that require approval by the department (and dean's office in the Schools of Medicine and Veterinary Medicine).

- For all other types of award modifications, email the modification request to awards@ucdavis.edu and include the Cayuse SP Award number (e.g., A25-5555-001).
- See the [Modify an Award](#) webpage for specific guidance on types of modifications.

Such modifications include, but are not limited to:

1.   Change in Principal Investigator
     a.   Identify the new Lead Principal Investigator as the Lead Principal Investigator on the **Investigators/Research Team** form.
2.   Change in Administrative Unit of the award
     a.   Identify the new administrative unit as the administrative unit on the **General Information** form.
3.   Change in cost-share commitments

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.

My Proposals

Submitted Date	Prop No	Lead PI	Project Name	Sponsor	Deadline	My Role	Status	Flags		
06/06/2024	24-0146	Charlie Apple	12/02/2024 Apple USDA	USDA National Institute for Food and Agriculture (NIFA)	12/02/2024	Owner	Funded		Copy	📄
09/20/2024	24-0089	Amie Admin	10/15/2024 Apple USDA NIFA	USDA National Institute for Food and Agriculture (NIFA)	10/15/2024	Lead Principal Investigator	Submitted to Sponsor		Copy	📄

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

Follow the steps above for Create and Submit an Internal Processing Form (IPF; aka "Proposal") **with the following differences**:

1. **Start New Proposal [General Information]** form:
   a. **Short Title**: [Cayuse SP Project #, if applicable] + [Action] instead of the submission deadline (e.g., "A18-1234 Change in PI Apple USDA).
   b. **Proposal Type**: Select either "Prior Approval", "Amendment" or "Administrative Action."

General Proposal Information

* Admin Unit	Med: Intl Med- Hematology & Or
* Primary Administrative Contact:	Amie Admin
Proposal Owner:	Amie Admin
Project No:	
* Short Project Name:	A25-5555 Change in PI from Smith to Apple *(internal reference name)*
* Project Start Date:	01/01/2025 Clear
* Project End Date:	12/31/2029 Clear
* Activity Code:	Click Here to Choose Activity Code
	01 Basic Research
* Proposal Type:	Administrative Action
* Instrument Type:	Grant

How will this proposal be submitted?

Select Submission Method: Other   If Other, please describe: Already submitted

Affiliated Unit(s) (if applicable):   Click Here to Choose Affiliated Unit(s)
061837 - Center For Watershed Sciences

    c. **Select Submission Method**: Select "Other"
        i. Then add "Already submitted" in the field that appears.
    d. **Affiliated Unit(s)**: Add old unit if changed.
    e. **Sponsor Deadline**: Pick date seven or more days from date the IPF will be routed.

2. **Budget** form:
    a. For changes in PI, Admin Unit or sponsor, only enter the required fields on the Budget form.
        i. The amounts should be 0.
    b. If cost-share commitments have changed, enter the updated cost-share commitments. *(internal link; you are currently on page 54)*

Advance Accounts (Pre-Award Spending)

Pre-Award Spending Approvers, *see separate document:* *Pre-Award Spending Approvers Guide*

UC Davis policy PPM 230-06 provides PIs the opportunity to plan activities and under certain circumstances, begin a project before actual receipt of award funds.

An Advance Account may be established for a project prior to receipt of award **only** if all of the following criteria are met:

1. There is a compelling reason to expend funds prior to receipt of award funds.
2. There is written confirmation provided to the Sponsored Programs Office (SPO) from the sponsor's contract officer or grants management officer that an award is forthcoming.
3. The requested advance dates fall within the sponsor's anticipated award period.
4. The guidelines from the sponsor do not prohibit commitment of funds before an award is fully executed.
5. Expenditures will be in accordance with the expected budget categories and limits, sponsor guidelines and UC Davis policies and procedures.
6. There are funds available within the department, organized research unit or college/school to cover the expenditures in the event an award fails to materialize.

At a minimum, the request must include evidence of firm commitment and an alternate account number to be used in the event the project is not awarded.

- Please note that all compliance items must be received before funds are released.
  - Typically, Advance Account requests will not be approved if the project requires IRB and/or IACUC approvals that are not in place.

Request an Advance Account

1. From the **Proposal Dashboard**, select **My Proposals**.

2. Select **Submitted Proposals**.

3. Click on the relevant **Proposal No**.

4. You will be on the **Proposal Routing Status** screen. On the **Attachments** tab, upload:

   a. Firm commitment of funding from the sponsor

      i. This is usually an email or letter from Program Officer

   b. Any required compliance items (i.e., IRB, IACUC, BUA, SCRO, AMRC)

      i. Financial Conflict of Interest disclosures filed in the eCOI system do not need to be attached.

5. On the **Advance Account** tab, select **Add Advance Account Request to Proposal**.

6. Complete all required fields in the pop-up **Advance Account** form.

   a. In the **Description** field, provide the:

       i. Sponsor contact information

       ii. Department account number to be changed in the event the sponsor does not fund the project

       iii. Amount of request

       iv. Project period for requested funds, and

       v. Justification for request.

   b. Select **Submit Advance Account Request for Processing**.

Check Advance Account Request Status

1. From the **Proposal Dashboard**, select **My Proposals**.

2. Select **Submitted Proposals**.

Unsubmitted Proposals	Submitted Proposals

Below is a list of unsubmitted proposals you initiated or on which you are li:

Created Date	Prop No	Lead PI	Project Name	Sponsor
Search x	Search x	Search x	Search x	Search
03/04/202(	20-2578	Charlie Apple	03/12/2020 Apple WCEF	West Coast Equin Foundation
03/04/202(	20-2577	Charlie Apple	ATF A21-1234 Kassie Otie's Coffee Test	Specialty Coffee Association of Am

3. Click on the relevant **Proposal No**.

Submitted Date	Prop No	Lead PI	Project Name
Search x	Search x	Search x	Search x
02/05/2020	20-2542	Charlie Apple	12/11/2018 Apple NSF
01/21/2020	20-2533	Charlie Apple	12/11/2018 Apple NSF

Proposal Dashboard

Start New Proposal

13 My Proposals

Proposals In My Unit

Advance Account Inbox

Award Dashboard

My Awards

Awards In My Unit

Certifications/Approvals

PI Certification Inbox(i)

1 Unit Approval Inbox

UC Davis Sponsored
Programs Office
1850 Research Park Drive
Suite 300
Davis, CA 95618
Phone:

Email:
orcayusehelp@ucdavis.edu

4. On the **Proposal Routing Status** screen, go to the **Advance Account** tab.
5. The **Status** will display on the far right.

Approvals	Compliance	Status History	Advance Account	Awards	📄	📎

Advance Account Request

Account No	Date Submitted	Submitted By	Status
(Not Yet Assigned)	05/31/2018	Amie Admin	Authorized

Advance Account Request Statuses

Submitted	Awaiting the first authorization from the department (and dean's office, if applicable).
Authorized	Used rarely, though if used, it's when assigned to Sponsored Programs Office (SPO) analyst. If a SOM or SVM request, it may indicate awaiting SPO assignment.

Funded	Approved (SPO will also email you when/if the request is approved.)
Deleted	Not approved or withdrawn.
Rejected	Rejected by the department and/or dean's office.

Subawards

Subawards are referred to as **Subcontracts** in Cayuse SP. Do not include non-subaward agreements, such as vendor or service agreements.

- For additional guidance, visit the Sponsored Programs Office's (SPO's) Outgoing Subawards page

An "Incoming Subaward" is when a Prime Applicant/Recipient institution will receive/has received an award from a sponsor and intends to forward a portion of that award to UC Davis as a Subrecipient.

- Incoming subawards are processed by SPO like regular incoming awards.

An "Outgoing Subaward" is when UC Davis is the Prime Applicant/Recipient institution and will forward a portion of an award it received/will receive from a sponsor to another Subrecipient institution.

- The information that follows is specific to Outgoing Subawards.

Submit a proposal with (outgoing) Subawards

1. Go to the Prepare a Proposal with Subawards webpage for guidance.
2. For additional guidance, see the Handbook for Submitting Proposals with Subawards.

Initiate a Subaward after receiving a notice of award

1. See the Send a Subaward Request to SPO webpage for guidance.

Check Subaward Status

1. From the **Award Dashboard**:
   a. Select **My Awards** if you are the **Primary Administrative Contact** or are listed on the **Investigators/Research Team** form of the associated award (in any role).
   b. Select **Awards in My Unit** if you have been granted **Award Data Access** by the Role Manager for the administering unit of the associated award.

2. As it can sometimes be confusing which Award to select (i.e., "-001," "-002," "-003," etc.) select the **Active Projects** tab then select the **Project Number** (which is the first 7 digits of the Award number).

3. On the **Project Administration** screen, go to the **Subcontracts** tab:

   a. In the middle of the page, you can see the **Status** of each subawards associated with the Project.

b. Select the **Subcontract No.** to open the Subaward for additional details.

Subcontract (Subaward) Status Definitions

Status	Definition
(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 Subcontractor/Subawardee
Fully Executed	The Subaward/Subcontract is fully executed and has been sent to CGA

4. View the Notes section (under the page tab) for status updates from the Subawards team, including the name of the assigned analyst.

   a. Select the hyperlink if the full note is not shown.

View Attached Subaward Documents

1. From the **Award Dashboard**:
   a. Select **My Awards** if you are the **Primary Administrative Contact** or are listed on the **Investigators/Research Team** form of the associated award (in any role).
   b. Select **Awards in My Unit** if you have been granted **Award Data Access** by the Role Manager for the administering unit of the associated award.

2. As it can sometimes be confusing which Award to select (i.e., "-001," "-002," "-003," etc.) select the **Active Projects** tab then select the **Project Number** (which is the first 7 digits of the Award number).

3. On the **Project Administration** screen, go to the **Subcontracts** tab and select the **Subcontract No.**

4. Go to the **Attachments** (paperclip icon 📎) tab to view attached subaward documents.

Resources

1. [UC Davis School of Medicine Cayuse SP Guidelines](#)

2. [Handbook for Department Industry-Funded Clinical Trial Staff, Principal Investigators and Approvers](#)

3. Sponsored Programs Office's [Learn: Cayuse SP](#) webpage

4. UC Davis Cayuse Help Desk: ORCayuseHelp@ucdavis.edu

5. [SPO Cayuse info](#) Listserv - **clicking on this link will subscribe you to this listserv**, used to send important updates and announcements for UC Davis Cayuse users.