Cayuse SP: Submitting After-the-Fact Proposals

-SPO BAASICS-

October 8, 2020

Presented by Kassie M. Obelleiro

Sponsored Programs Trainer
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<th>Learning Objectives</th>
<th>01 Definition</th>
<th>02 SPO Approval</th>
<th>03 ATF Components</th>
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<td><strong>Definition</strong></td>
<td>Know the definition of an After-the-Fact (ATF) proposal</td>
<td>Understand when an ATF proposal should be submitted to Sponsored Programs (SPO)</td>
<td>Know the required components of an ATF submission to SPO</td>
<td>Be able to submit an ATF to SPO</td>
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Zoom Instructions
At the top of this screen:
Select “View Options”
Select “Annotate”

Choose a stamp
Select “Stamp”
Choose (click) any stamp

Practice
Put your stamp in the box to the left
After-the-Fact (ATF) Proposal Overview

What is an ATF and when should one be submitted to SPO?
After-the-Fact (ATFs) Proposals

Sometimes Principal Investigators (PIs) receiving extramural awards that have not been reviewed/approved by Sponsored Programs (SPO).

No Proposal Materials
The PI may not have been required to submit proposal materials

Letter of Intent (LOI)
The PI may have submitted proposal materials not requiring SPO approval

Proposal Submitted
The PI may have submitted a proposal directly to the sponsor without SPO review/approval
## Application Phases and Types

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<tr>
<th>LOIs</th>
<th>Pre-proposals</th>
<th>Proposals</th>
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<tr>
<td><strong>Letters of Intent</strong></td>
<td><strong>Preliminary Proposals</strong></td>
<td><strong>(Full) Proposals</strong></td>
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<tr>
<td>• Basic information</td>
<td>• Basic info, project summary and other documents as</td>
<td>• Entire/final application to the sponsor</td>
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<td>• Sponsors may use to manage the review process/invite for pre-</td>
<td>required</td>
<td>• May the only or the last phase</td>
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<td>proposals</td>
<td>• Sponsors may use to manage the review process/invite</td>
<td>• Always submit to SPO</td>
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<td>• Submit to SPO if the sponsor requires institutional approval</td>
<td>for proposals</td>
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<td>agreement to terms &amp; conditions or a budget</td>
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Activity 1: What is an ATF?

- Award received when no proposal submitted to SPO
- Proposal submitted to sponsor that was not funded
- Proposal submitted to sponsor and funding decision is pending
- Proposal submitted to sponsor that was funded
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ATF Concerns

Submitting ATF proposals can be problematic once/if they are awarded.

01 Terms & Conditions
May not be acceptable to the PI, UCD or UC Regents.

02 Budgets
Rates and calculations may be incorrect and costs may not be allowable.

03 Department/College Support
Department and/or Dean may not approve the project
Activity 2: When Does SPO Review ATFs?

Select “True” or “False” to each of the Poll questions and then select “Submit”.

01 True or False
Submit an IPF to SPO if the PI receives an award agreement from Widgets, LLC without having submitted a proposal to Widgets, LLC.

02 True or False
Submit an IPF to SPO if the PI submitted a proposal directly to Widgets, LLC but has not been informed of the funding decision.

03 True or False
Submit an IPF to SPO if the PI submitted a proposal directly to Widgets, LLC three months ago and received a draft award agreement.
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ATF Proposal Requirements

ATF proposal requirements
ATF Process Overview

All extramural proposals and awards are required to come through SPO even if not required by sponsor (source: PPM 230-02)

Submit IPF
Submit the IPF for routing and approval

SPO Review
Proposal documents and draft award agreement

Needed Info
SPO works with department to collect needed information.

Negotiations
SPO initiates sponsor negotiations, as needed.

Execution
SPO works with sponsor to Full Execute the award
Minimum Proposal Documents for SPO Assignment

- **Completely Routed and Authorized IPF**
  Complete IPF with Lead PI and co-PI Certifications and IPF Authorizations

- **Budget Spreadsheet and Budget Justification**
  Strongly encouraged even if NOT required by the sponsor

- **Scope of Work/Abstract**
  Final scope of work to be performed

- **Draft Award Agreement**
  Attach the draft award agreement and other materials sent by the sponsor
Internal Documents, as applicable

• Letters of Support for cost share commitments
  • Cost share is not always allowed (Cost Sharing Guidance)

• Exception to PI Status
  • Form 105

• Informed Participation/Special Individual Agreement
  • Facilitate signatures if form requested by SPO

• Protocol Certification if requested by SPO
  • IRB, IACUC
Financial Conflicts of Interest (COI) Requirements

Proposal Stage

- Form 800
  - Awards from the NSF, CIRM and UCOP Special Programs
  - Non-PHS awards that involve human subjects
- PHS COI
  - Awards from any PHS agency or other sponsor that has adopted the PHS regulations
  - Online Training (required every 4 years) and annual PHS e-disclosure

Award Stage

- Form 700-U (State of California requirement)
  - Awards from non-governmental sources not on the exempt list
  - Signed at award acceptance (no more than 30 days before award acceptance)
- Statement of Economic Interests Supplemental Form
  - Positive disclosures
  - Required before award can be released
Disclose Financial COI

- File disclosures online
  - Form 700-U
  - Form 800
  - PHS COI
  - Statement of Economic Interest Supplemental Form
- Investigator must initiate and submit
  - Can establish one admin contact
  - Do not list the SPO analyst as the admin contact
- Need help? Contact or_coi@ucdavis.edu
# Activity 3: ATF Proposal Components

<table>
<thead>
<tr>
<th>Complete and Routed IPF</th>
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<td>Scope of Work/Abstract</td>
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ATF Proposal Submission

Submitting the ATF proposal to SPO
Required Certifications and Approvals

Internal Processing Forms serve as documentation of certifications and approvals.

Certifications
Lead Principal Investigators and co-Principal Investigators

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

Approval
Sponsored Programs, as the admin office
Demo: Entering an IPF in Cayuse SP

https://youtu.be/Blx3j6KDFPw

Welcome to Cayuse SP

Please use Mozilla Firefox. All features may not function properly in other browsers.

Use the Proposal Dashboard to:

- Create a new proposal
- Edit and track proposal records you have created or on which you are named as a contributing member.
- View proposal records in administering units to which you have been granted Proposal Data Access.
- Authorize preliminary award requests in your role as a Pre-Award Spending Approver.

Use the Award Dashboard to:

- View awards on which you are listed as a member of the Research Team.
- View awards in administering units to which you have been granted Award Data Access.

Use the Certifications/Approvals Dashboard to:

- Certify proposal records on which you are cited as the Lead PI or PI.
- Authorize proposal records in your role as a unit IPF Approver.
Key Differences in ATF Proposals

IPF General Tab

• **Short Title:** ATF [Cayuse Project Number, if known] [Assigned SPO Analyst, if known] [Project Name]
• **Proposal Type:** After-the-Fact
• **Submission Method:** Paper and provide the Sponsor’s contact information in the pop-up
• **Sponsor Deadline:** At least seven business days from today
• **Full Project Title:** ATF [Cayuse Project Number, if known] [Assigned SPO Analyst, if known] [Project Name]

Proposal Attachments

• Proposal documents (see “minimum documents”)
• Draft award agreement
• Other communication from the sponsors

View the Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers for detailed instructions
Activity 4: Submit an ATF Proposal to SPO

Help Professor Apple submit her ATF proposal to SPO

01 Download and Review Materials
Instructions, Scope of Work (SOW) and Budget

02 Login to Cayuse SP - UAT
Login to Cayuse UAT as follows:
• Username: amieadmin
• Password: training
• Select “Cayuse SP”

03 Enter a Proposal/IPF
Based on the class materials provided, enter a Proposal/IPF for this ATF proposal.
Closing
Learning objective review and Q&A
Learning Objective Review

01 Definition
Know the definition of an After-the-Fact (ATF) proposal

02 SPO Approval
Understand when an ATF proposal should be submitted to Sponsored Programs (SPO)

03 ATF Components
Know the required components of an ATF submission to SPO

04 SPO Submission
Be able to submit an ATF to SPO
Contact Us

Let us know how we did: http://bit.ly/BAASICS-Eval

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

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

Kassie M. Obelleiro
Training Officer
05 Resources
Common Acronyms

- AB20: Assembly Bill 20
- AY: Academic Year
- BAA: Broad Agency Announcement
- BUA: Biological Use Approval
- BY: Budget Year
- CGA: Contracts and Grants Accounting
- COI: Conflict of Interest
- ERA: Electronic Research Administration
- F&A: Facilities & Administrative rates; also referred to as indirect cost rate (IDC or ICR) or “overhead”
- FOA: Funding Opportunity Announcement
- GMS: Grant Management System
- HASTOC: Human Anatomic Specimens and Tissue Oversight Committee
- IACUC: Institutional Animal Care and Use Committee
- IPF: Internal Processing Form
  - IP: Intellectual Property
- IRB: Institutional Review Board
- PI: Principal Investigator
- RCI: Research Compliance and Integrity
- RCR: Responsible Conduct of Research
- RFA: Request for Applications
- RFP: Request for Proposals
- PHS: Public Health Service
- PRAM: Progress Report Additional Materials (NIH)
- PY: Project Year
- RPPR: Research Performance Progress Reports
- SBIR: Small Business Innovation Research
- SMR: Summer
- SNAP: Streamlined Non-Competing Award Process (NIH)
- SPO: Sponsored Programs unit in the Office of Research
- STTR: Small Business Technology Transfer
UC Davis Resources

- **Proposal Preparation Checklist**: Applicable to all proposals materials
- **Proposal Preparation and Submission Toolkit**
- **Senior/Key Personnel Descriptions**
- **Preparing a Proposal Budget Toolkit**
- **Budget Justification Checklist**
- **Guidance for submitting proposals/IPFs that involve cost sharing**
- **Cayuse SP Instructions**
  - [Cayuse SP Quick Reference](#)
  - [Cayuse SP Quick Start Guide for Principal Investigators and Departmental Staff](#)
  - [Cayuse SP Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers](#)
  - [Cayuse SP Interactive How-to Guide Written Instructions](#)
Sponsored Programs Contacts

- SPO Contact Us webpage: [http://research.ucdavis.edu/contact-us/sponsored-programs/](http://research.ucdavis.edu/contact-us/sponsored-programs/)
- Proposals: proposals@ucdavis.edu
- Awards: awards@ucdavis.edu
- Subawards: subawards@ucdavis.edu
- Closeouts: closeouts@ucdavis.edu
- eRA Help: SPOeRAhelp@ucdavis.edu
- Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
- Training: SPOTraining@ucdavis.edu
Office of Research Listservs

• C&G Listserv: https://lists.ucdavis.edu/sympa/info/ovcr-cg
• Other Office of Research Listservs: http://research.ucdavis.edu/resources/listserv-subscriptions/
  • Core Facilities Program
  • Digital Millennium Copyright Act (DMCA)
  • Funding
  • Institutional Review Board (IRB)
  • Research Compliance and Integrity (RCI)
  • Responsible Conduct of Research (RCR)
  • Research Unit Lists
• SPARK: https://lists.ucdavis.edu/sympa/subscribe/spark_info
Research Administration Forum
FOURTH WEDNESDAY OF EACH MONTH
8:30 – 10:00 AM
ZOOM: HTTPS://ZOOM.US/J/058409717

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

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Subscribe to the C&G listerv for updates and reminders: https://lists.ucdavis.edu/sympa/info/cacr_crg

Additional meeting in April and May due to COVID-19
Live and Recorded Learning Opportunities

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

Learn more

Staff Development and Professional Services Classes
SPO offers classes in the Research Administration Certificate Series (RACS) and the eRA Train the Trainer certificate series.