Cayuse SP: Submitting After-the-Fact Proposals

-SPO BAASICS-
October 8, 2020
Presented by Kassie M. Obelleiro
Sponsored Programs Trainer

Learning Objectives

01 Definition

02 SPO Approval

03 ATF Components

04 SPO Submission

Definition

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

SPO Approval

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

Components

Know the required components of an ATF submission to SPO
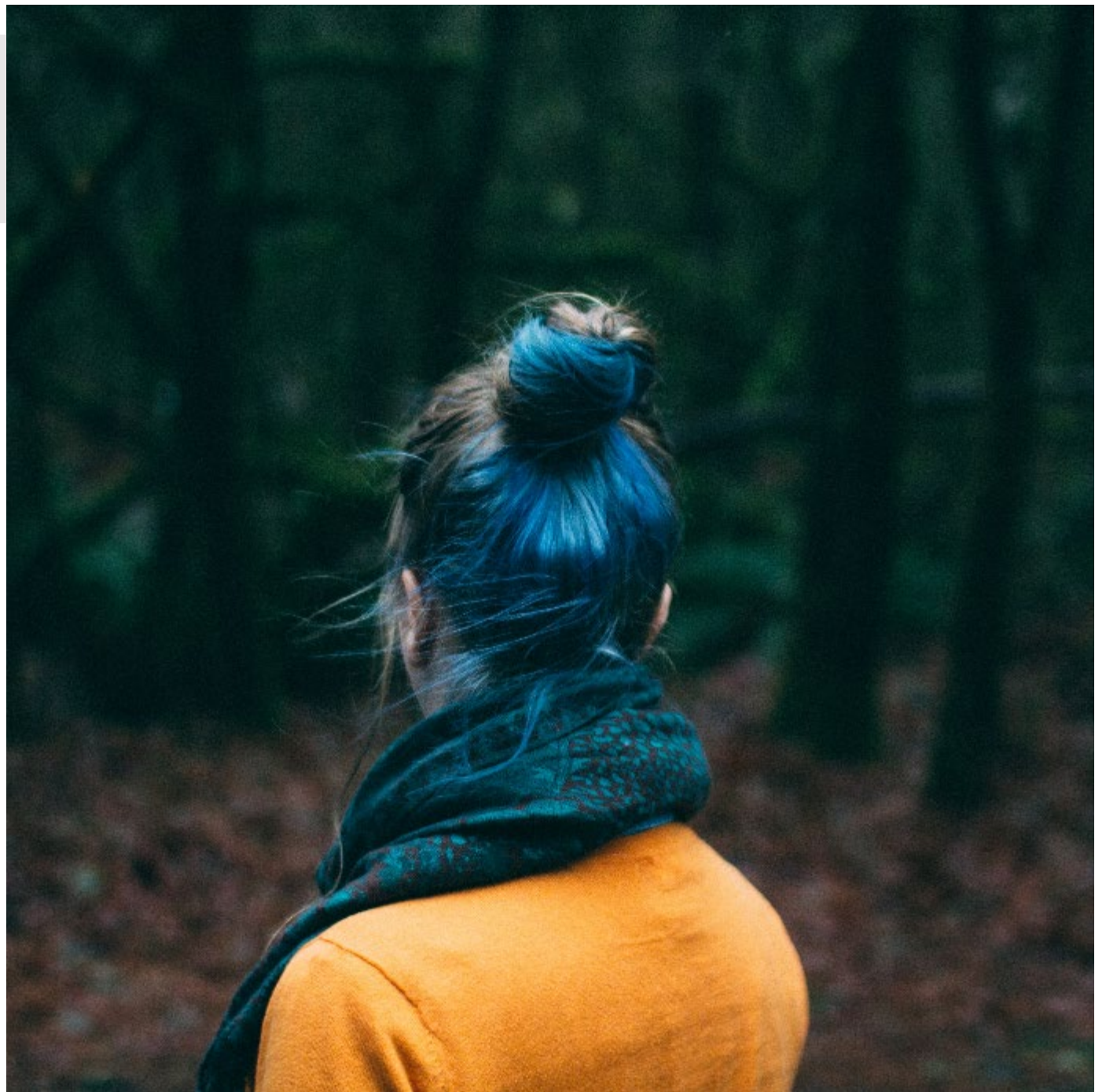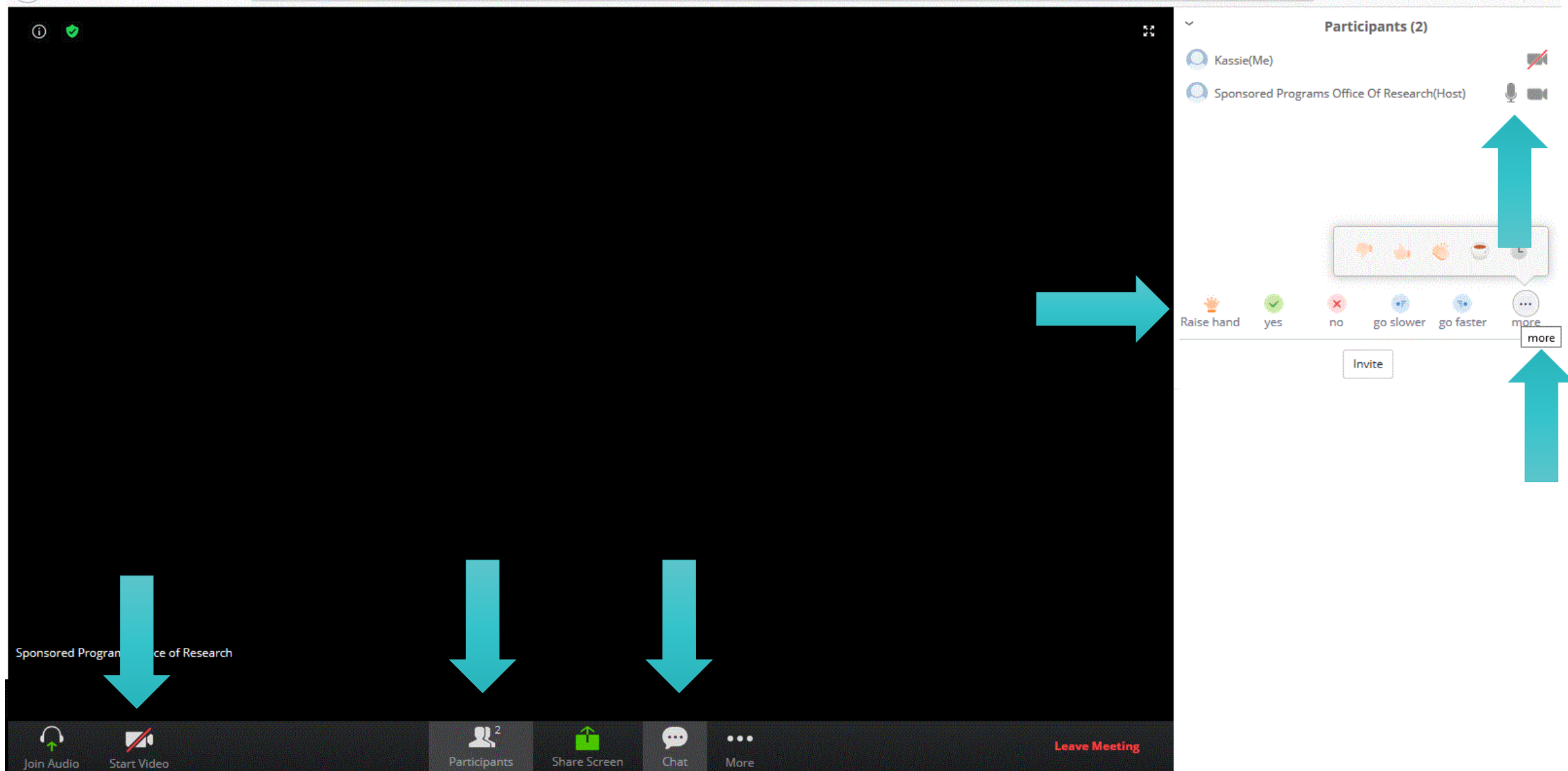
Submit

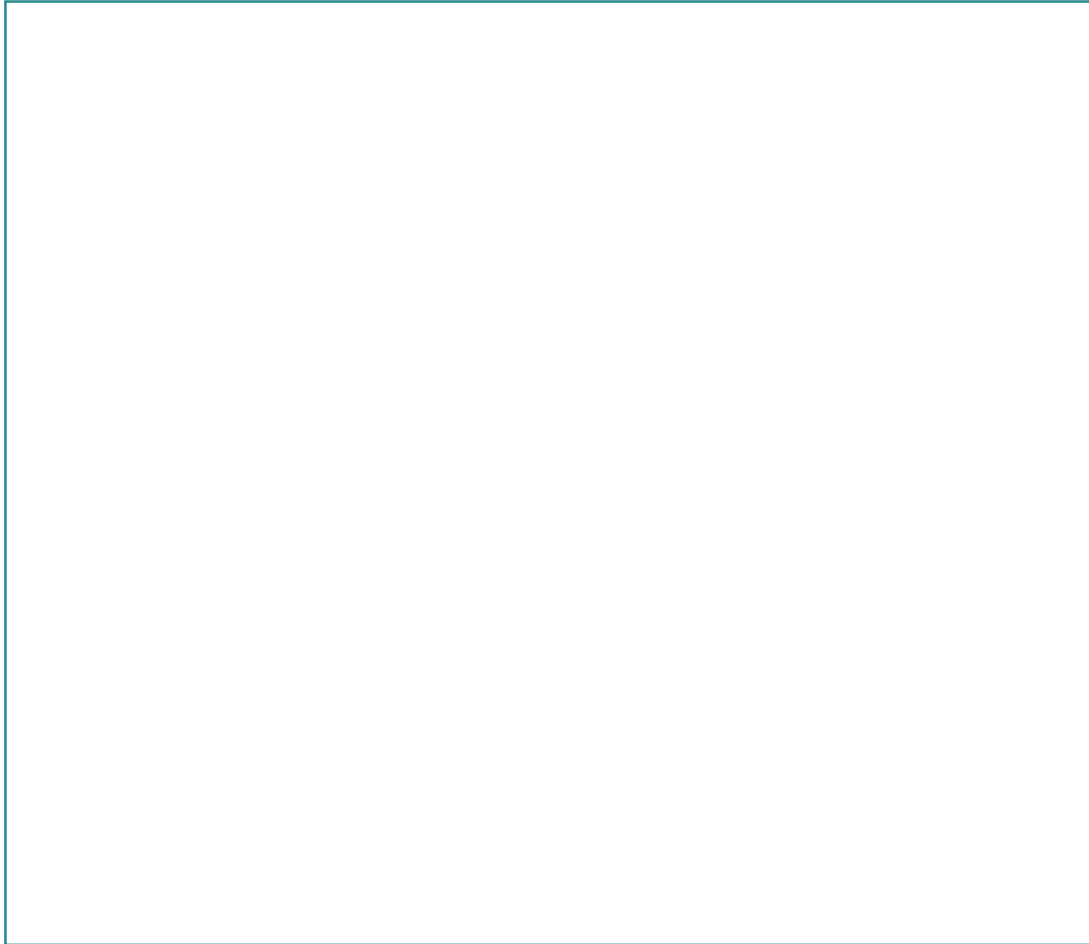Be able to submit an ATF to SPO

Outline

Zoom Instructions

Zoom Instructions - Annotations

01 **At the top of this screen:**
Select "View Options"
Select "Annotate"

02 **Choose a stamp**
Select "Stamp"
Choose (click) any stamp

03 **Practice**
Put your stamp in the box to the left

01 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

LOIs

Letters of Intent

- Basic information
- Sponsors may use to manage the review process/invite for pre-proposals
- Submit to SPO if the sponsor requires institutional approval agreement to terms & conditions or a budget

Pre-proposals

Preliminary Proposals

- Basic info, project summary and other documents as required
- Sponsors may use to manage the review process/invite for proposals
- Submit to SPO if the sponsor requires institutional approval agreement to terms & conditions or a budget

Proposals

(Full) Proposals

- Entire/final application to the sponsor
- May the only or the last phase
- Always submit to SPO

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	

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

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.

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.

02 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
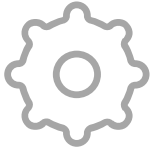
Completely Routed and Authorized IPF
Complete IPF with Lead PI and co-PI Certifications and IPF Authorizations

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
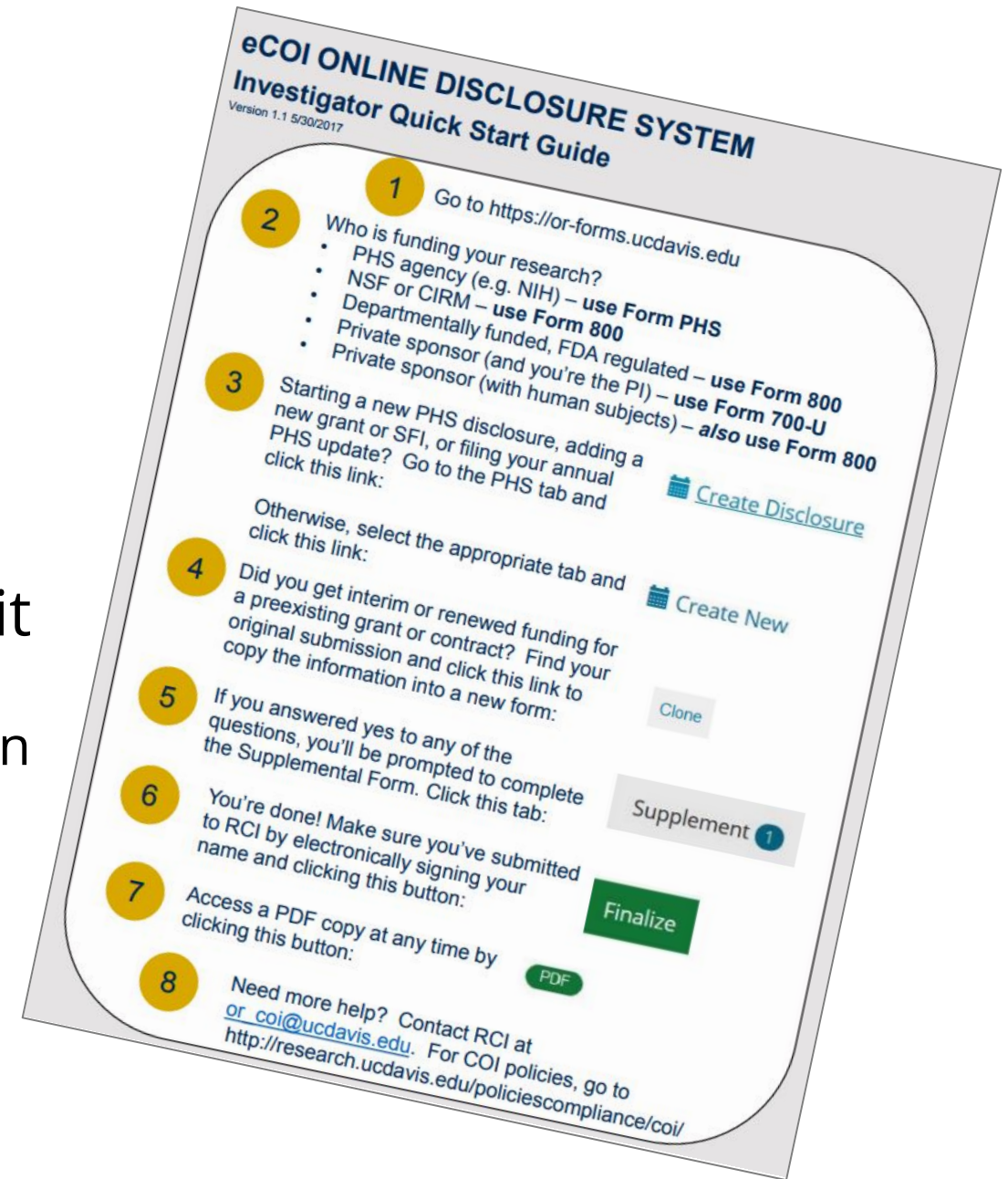
Activity 3: ATF Proposal Components

Complete and Routed IPF

Scope of Work/Abstract

Budget and Budget Justification

Award Agreement

Activity 3: ATF Proposal Components

Complete and Routed IPF

Scope of Work/Abstract

Budget and Budget Justification

Award Agreement

03 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

My Dashboard	Reporting	More

Proposal Dashboard

Welcome to Cayuse SP

Start New Proposal

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

80 My Proposals

Use the Proposal Dashboard to:

Proposals In My Unit

- 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.

Advance Account Inbox

Award Dashboard

My Awards

Use the Award Dashboard to:

Awards In My Unit

- 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.

Certifications/Approvals

Use the Certifications/Approvals Dashboard to:

PI Certification Inbox ⓘ

- 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.

Unit Approval Inbox

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.

04 Closing

Learning objective review and Q&A

Learning Objective Review

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Components

Know the required components of an ATF submission to SPO

Submit

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]()

UCDAVIS
OFFICE of RESEARCH

Sponsored Programs Contacts

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

Office of Research Listservs

- C&G Listserv: https://lists.ucdavis.edu/sympa/info/ovcr-cg
- Other Office of Research Listservs: http://research.ucdavis.edu/resources/listserv-subscriptions/
  - Core Facilities Program
  - Digital Millennium Copyright Act (DMCA)
  - Funding
  - Institutional Review Board (IRB)
  - Research Compliance and Integrity (RCI)
  - Responsible Conduct of Research (RCR)
  - Research Unit Lists
- SPARK: https://lists.ucdavis.edu/sympa/subscribe/spark_info

Research Administration Forum

FOURTH WEDNESDAY OF EACH MONTH
8:30 – 10:00 AM
ZOOM: HTTPS://ZOOM.US/J/958409717

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

2020

Forum for department research administrators to:

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

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

Additional meeting in April and May due to COVID-19

JANUARY
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DECEMBER
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Research Administration Forum

Join us via Zoom the **fourth Wednesdays at 8:30 am**!

Watch previous forums on YouTube

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](#).