

Handbook for Submitting a Proposal as a Subawardee Institution

Cayuse SP and 424

Use CTRL + click to jump to section

Contents

Overview	1
Glossary of Terms	1
Required Elements	2
Instructions	2
Step 1. Complete the Cayuse SP Proposal	2
Step 2. Cayuse 424 Proposal, if the <i>Prime Applicant is using Cayuse 424.</i>	4
Resources	7

Overview

Incoming subawards are those in which a sponsor has awarded funding to a **Prime Recipient** (or Prime Applicant) institution that is in turn forwarding a portion of those funds to UC Davis as the **Subrecipient** (or Subawardee) institution.

When such a subaward is issued to UC Davis, it is treated as a regular incoming award by the Sponsored Programs Office (SPO) and entered as an **Award** in Cayuse SP.

The instructions for submitting a proposal as a subawardee institution are similar to those as when submitting a proposal to a prime sponsor as a prime applicant.

Glossary of Terms

- **Prime Applicant/Recipient:** The institution submitting the proposal to the funding sponsor and that will receive the award if funded.
- **Sponsor:** The sponsor to which UC Davis is applying.
- **Prime Sponsor:** The funding sponsor to which the prime applicant is applying, such as the National Institutes of Health.
- **IPF:** Internal Processing Form. The electronic “proposal” created in Cayuse SP and routed for internal approvals: PI/Co-PI certifications and department authorizations. In the School of Medicine and the School of Veterinary Medicine, the dean’s office provides an additional authorization.

Required Elements

The same elements are required when UC Davis is the subawardee institution as when UC Davis is the prime applicant. These include, at a minimum:

1. Routed **IPF** in [Cayuse SP](#) with required approvals.
2. **Scope of Work** - upload on the **Proposal Attachments** page in Cayuse SP.
 - a. A draft is acceptable while the PI finalizes the document prior to submission to sponsor.
3. **Budget** – upload on the **Proposal Attachments** page in Cayuse SP.
4. **Budget Justification** - upload on the **Proposal Attachments** page in Cayuse SP.

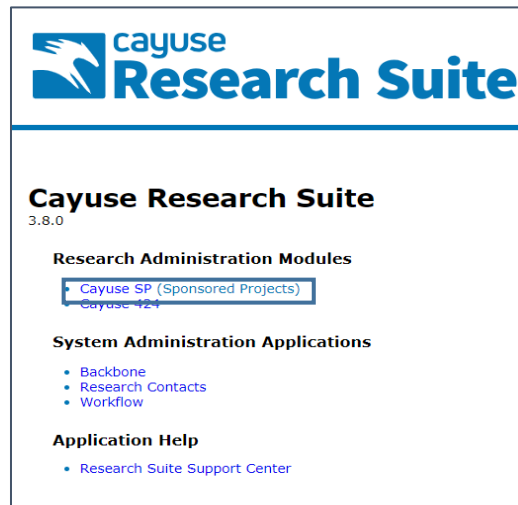
It will be also helpful to attach:

5. **Sponsor and/or program guidelines** – either provide the link or attach as a Proposal Attachment.
6. **Any prime applicant guidelines** - upload as a Proposal Attachment

Instructions

Step 1. Complete the Cayuse SP Proposal

- a. Login to <https://ucdavis.cayuse424.com> with your Kerberos.
- b. Select **Cayuse SP**.



- c. Complete the IPF as usual, paying attention to the notes below for each of the Proposal tabs (*Note: Instructions are available in the [Cayuse SP Handbook for PIs, Department C&G Staff and Approvers.](#)*)
- d. **General tab:**
 - i. **Sponsor:** Prime Applicant (see [Glossary of Terms](#) above)
 - ii. **Prime Sponsor:** Prime sponsor to which the Prime Applicant is applying (see [Glossary of Terms](#) above)
 - iii. **Short Project Name:** [Date due to Prime Applicant] [PI] [Prime Applicant] [Prime Sponsor]
 - iv. **Submission Deadline:** Date due to the Prime Applicant
- e. **Proposal Attachments:** [Upload the required elements](#) indicated above.

i. Select Browse

>> Proposal Attachments

When applicable, please attach the following documents:

- Proposal Announcement Guidelines (RFP, RFA, etc.)
- Budget (in Excel)
- Form 800
- 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

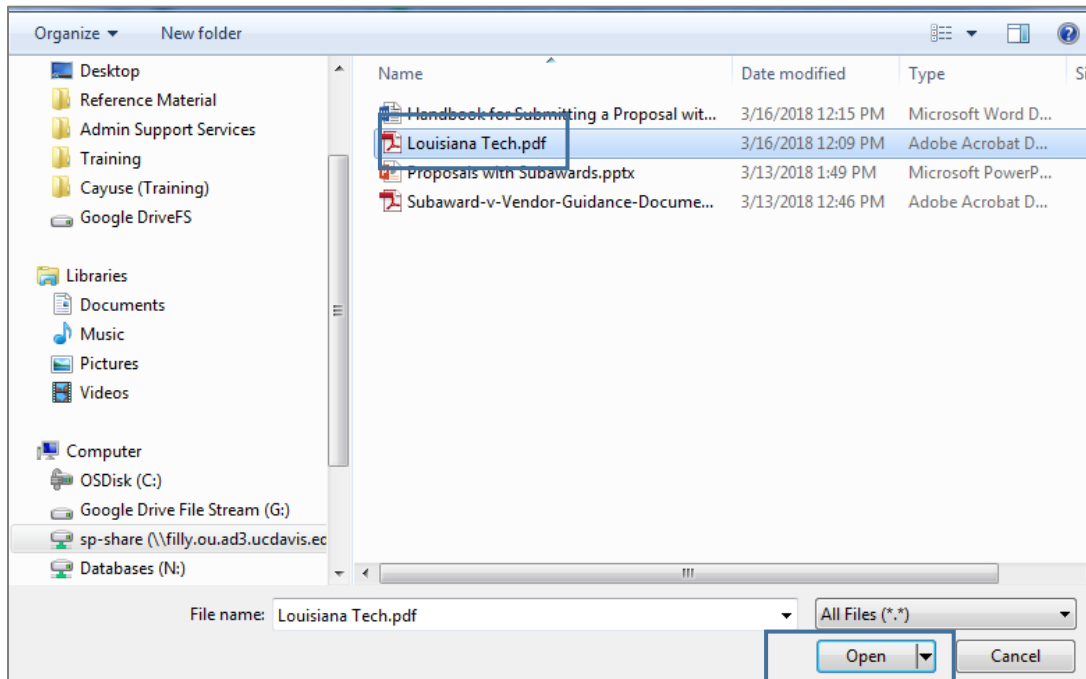
Add Attachment

Click Browse to select a file: No file selected.

Document Type:

No attachments have been added.

ii. Locate the file on your computer, select the file name and select **Open**.



iii. Select the **Document Type**, and then select **Add**.

>> Proposal Attachments

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Add Attachment

Click Browse to select a file: Louisiana Tech.pdf

Document Type:

No attachments have been added.

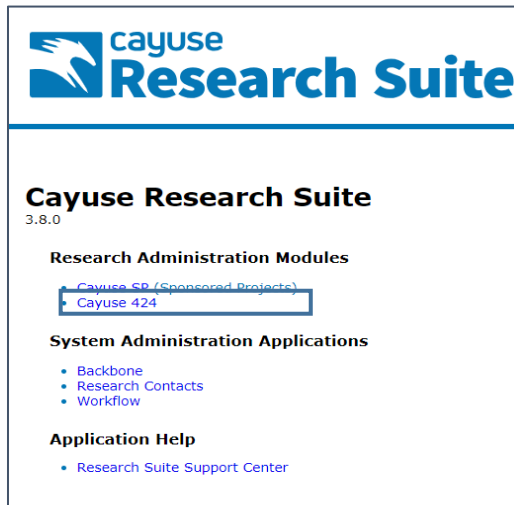
iv. Repeat steps e.i.-iii. for each required element.

Step 2. Cayuse 424 Proposal, if the *Prime Applicant is using Cayuse 424*.

The Prime Applicant may request your proposal as an exported Cayuse file, which is accomplished by completing the proposal in Cayuse 424.

Even if the Prime Applicant does not request an exported Cayuse file, it may facilitate your gathering of information to complete a proposal in Cayuse 424 and send it to them as a PDF.

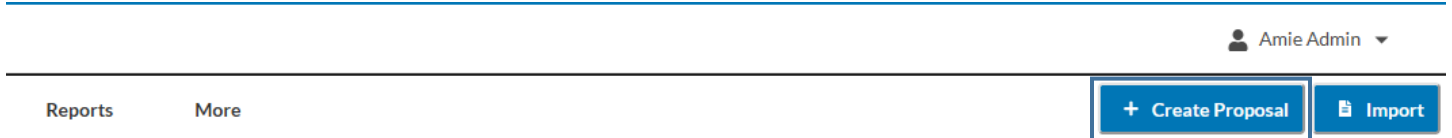
- Login to <https://ucdavis.cayuse424.com> with your Kerberos.
- Select **Cayuse 424**.



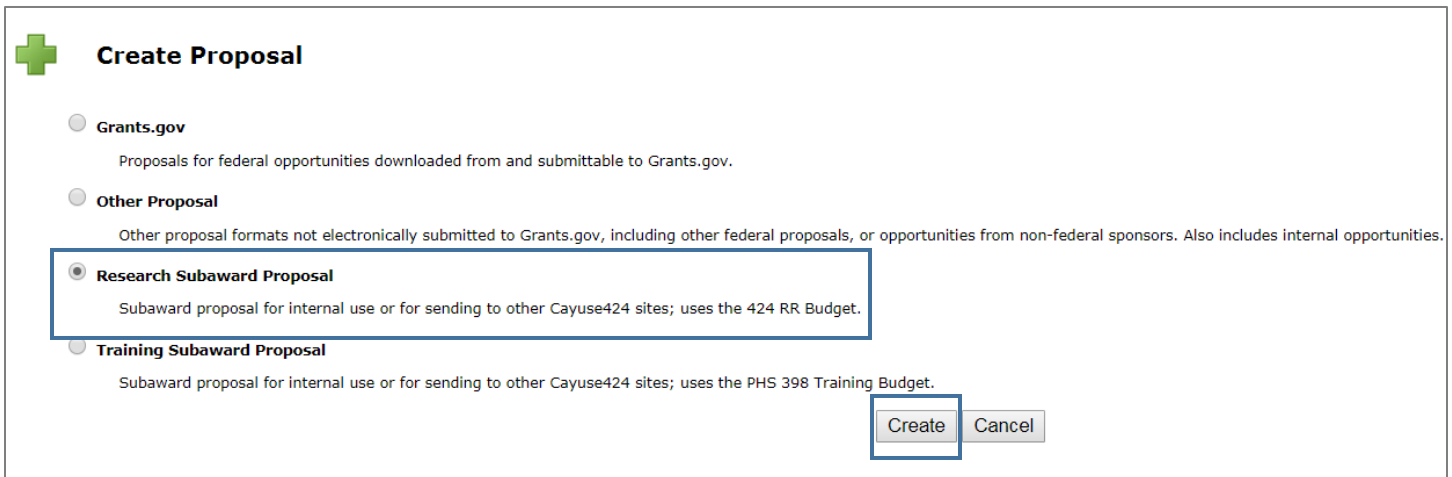
c. Go the **Proposals** tab (default landing page).



d. Select **+ Create Proposal**.



f. In the pop-up that appears, select **Research Subaward Proposal**, and then select **Create**.



g. Complete the pop-up

- i. **Subaward Name:** [SP #] [PI Name] [Prime Applicant] [Prime Sponsor]
- ii. **Organization:** The Regents of University of California (Davis)
- iii. **Default IDC Rate:** Appropriate UC Davis rate
 1. **Common:** On Campus Org Research MTDC (“Modified Total Direct Costs”)
- iv. **# of Budget Periods:** Budget Periods of the Prime Proposal
- v. **Validation Type:** Validation type for the Prime Proposal

vi. Select **Create Subaward**.

Create New Subaward

Subaward Name: [SP #] [PI Name] [Prime Applicant/Recipient] ?

Organization: The Regents of the University of California (Davis) ▼

Default IDC Rate: On Campus Org Research MTDC ▼

of Budget periods: 1 2 3 4 5 6 7 8 9 10

Due Date: 03/13/2019 [Calendar Icon]

Validation Type: NIH ▼

Create Subaward Cancel

h. Complete the Cayuse 424 application as usual.

- i. All attachments required by the sponsor/prime applicant are submitted separately to the prime applicant. The prime applicant will upload into their application.

Overview Opportunities Proposals Routing People Institutions Reports Admin Kassie M Obelleiro (kassie@ucdavis.edu) [Sign out]

Proposals List > 19-1092 Apple UC Irvine Proposals List

19-1092 Apple UC Irvine

RESEARCH & RELATED BUDGET (FED + NON-FED) - SECTION A & B Budget Period 1 of 2

ORGANIZATIONAL DUNS: 047120084 Inactive budget period

Budget Type: Project Subaward/Consortium

Enter name of Organization: The Regents of the University of California (Davis) ✖

Period 1 Start Date: 01/01/2020 End Date: 12/31/2020

A. Senior/Key Persons in Budget Period 1 of 2 Manage Key Persons

First Pref. Name	Mid. Last Name Name	Project Suf. Role	Base Salary (\$)	Cal. Salary (\$)	Acad. Salary (\$)	Sum. Salary (\$)	Cal. Mons	Acad. Mons	Sum. Mons	Requested Salary (\$)	Fringe Benefits (\$)	Total (\$) (Fed + NonFed)
Charlie	Apple	PD/PI	100,000	0	75,000	25,000	0.900	1.000	1.000	15,833	6,032	21,865
				Federal:	21,865		Non-Federal:				21,865	
				Total Senior/Key Person:	21,865						21,865	

B. Other Personnel

* Number of Personnel	* Project Role	Cal. Months	Acad. Months	Sum. Months	* Requested Salary (\$)	* Fringe Benefits (\$)	* Federal (\$)	* Non-Federal (\$)	* Total (\$) (Fed + NonFed)
2	Post Doctoral Associates	12.00			39,000	10,000	49,000	0	49,000
1	Graduate Students	12.00			25,000	7,000	32,000	0	32,000
	Undergraduate Students								
	Secretarial / Clerical								

Error (0) / Warning (0) / Info (0) NIH Final Review

- i. When complete and approved by SPO, use the **Export** feature at the bottom of the left column to export the file as a Cayuse file.
- j. Alternatively, depending on the Prime Applicant's needs, you can click on the **printer icon** in the upper right to print a PDF to send to the prime applicant.

Resources

- Sponsored Programs Office's (SPO's) [Prepare a Proposal with Subawards](#) page
- [PI/Department Checklist](#)
- Table: [Subrecipient, Contractor/Vendor/Consultant?](#)
- [Subaward or Contractor/Vendor Guidance](#) document
- [Subaward FAQs](#)
- SPO's [Proposal and Award Learning Resources](#)
 - [Learn: Subawards](#) – written materials, brief videos, and training opportunities