

# Proposal Preparation and Submission Handbook

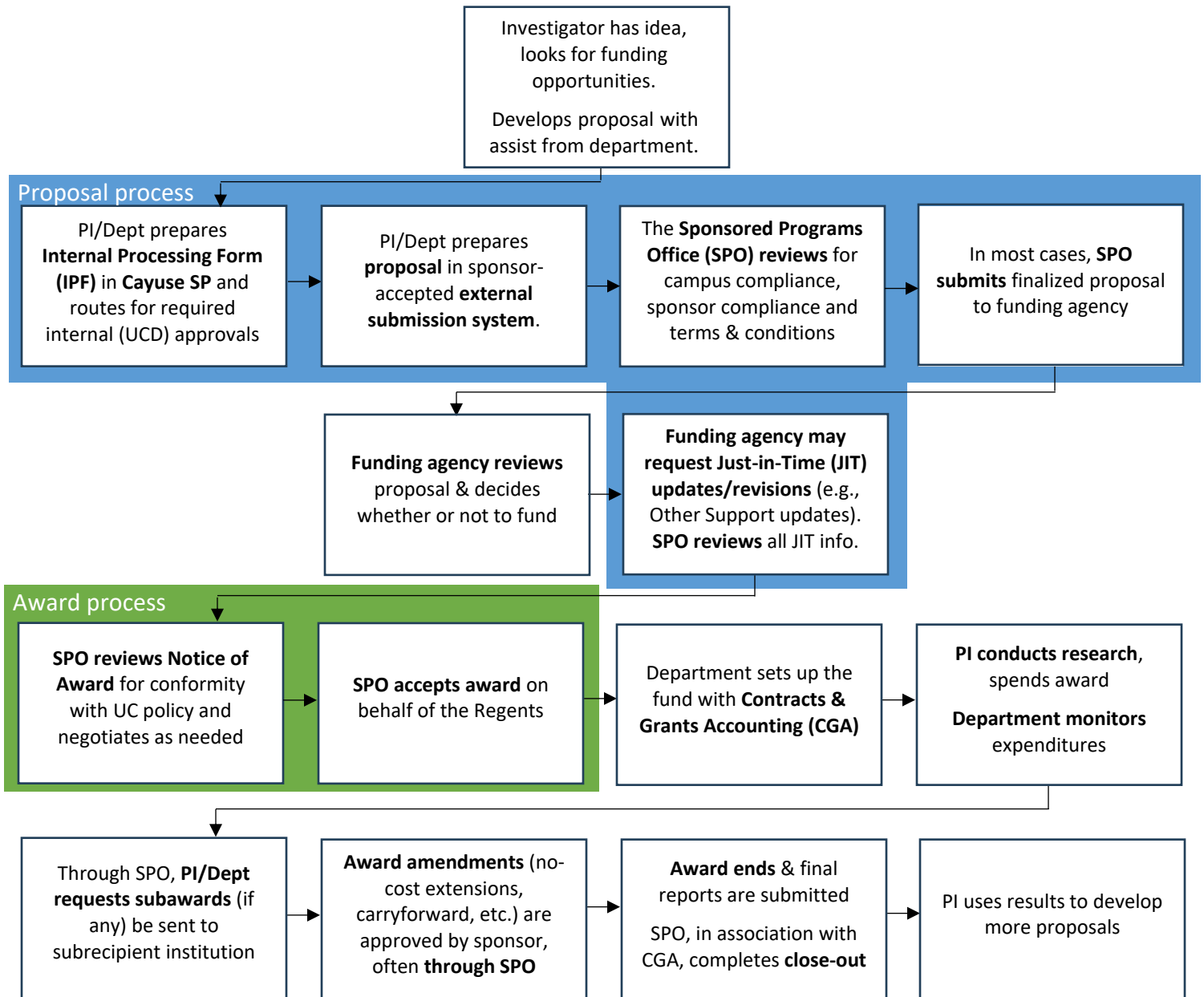
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# Funding Process at UC Davis

## Funding Life Cycle



## Sponsored Programs Office (SPO) Functions

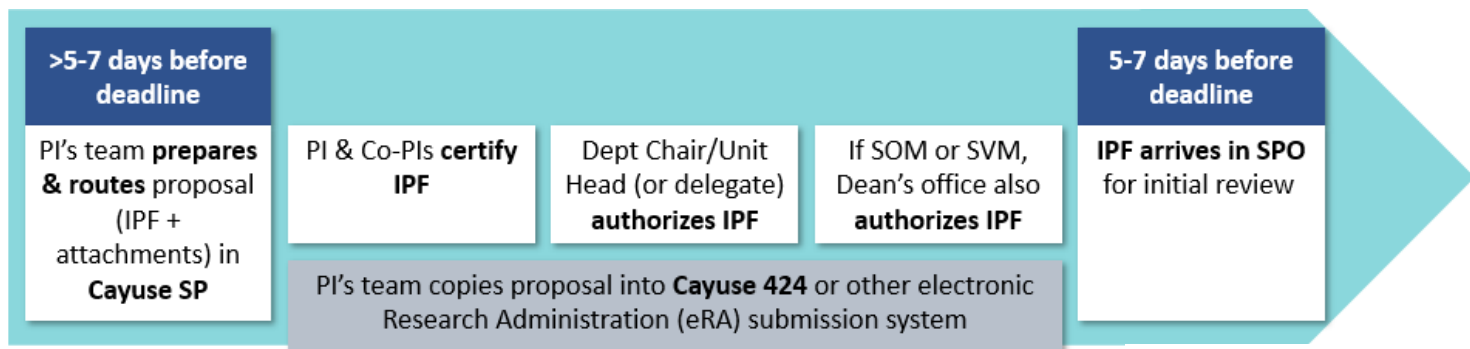
The [Sponsored Programs Office \(SPO\)](#) is responsible for:

- Reviewing and submitting **proposals**
- Negotiating and accepting **awards** on behalf of the Regents
- Drafting, negotiating, and executing (outgoing) **subawards** for collaborative research

## Proposal Process Timeline

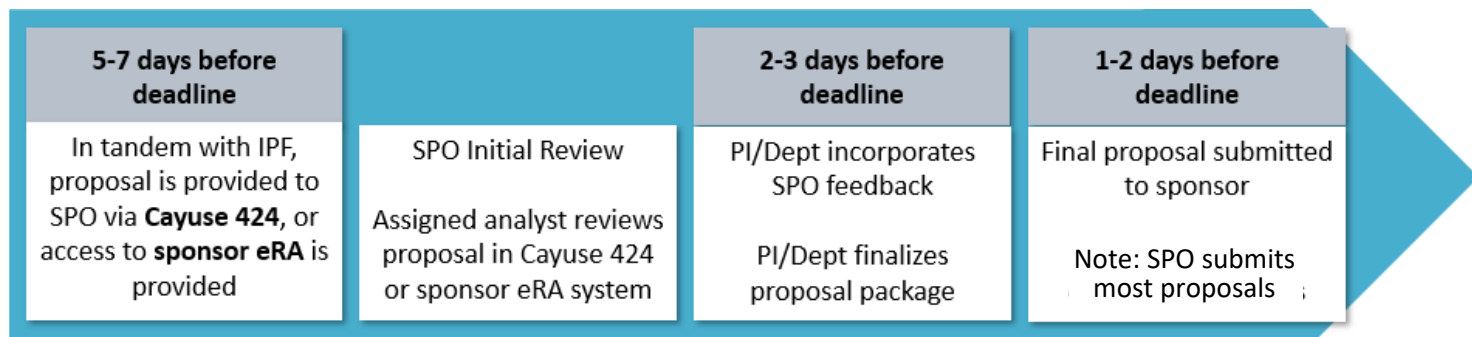
Proposals at UC Davis are a multi-step process:

1. **Prepare and route an Internal Processing Form (IPF)** with attachments in Cayuse SP for:
  - a. PI and Co-PI **certifications**
  - b. Departmental **authorizations** (and dean’s office authorizations in Schools of Medicine and Veterinary Medicine)
  - c. **Institutional review and approval** by the UC Davis Sponsored Programs Office (SPO).



Certified and authorized IPFs must be **received by SPO 5-7 business days** prior to the requested return/submission date in order to receive a full review by SPO.

2. **Prepare and submit a proposal** to the sponsor in a separate sponsor-approved external submission system.
  - **Examples:** Cayuse 424, Research.gov (NSF), NSPIRES (NASA), FFAST (State of California agencies), SmartSimple (UCOP), ProposalCentral, etc.



## Proposal Types (LOIs, Pre-Proposals, Full Proposals)

The proposal or application process may involve one or multiple phases that require submission of proposal materials:

### LETTER OF INTENT / PRE-PROPOSAL

- Provides basic applicant and application information.
  - Sponsor may request a **project summary** and **other documents**.
  - Sponsor often uses to manage review process or invite for full application.
- **Submit to the Sponsored Programs Office (SPO)** if the sponsor requires:
  - **Institutional approval**
  - A **budget**, or
  - **Agreement to terms and conditions** at this stage

### FULL PROPOSAL

- Full application to sponsor.
- May be the only or last phase of the proposal submission process.
- **Always submit to SPO**

## Activity Types (Research, Training/Instruction, Other Sponsored Research, etc.)

If unsure about the **Activity Type**, read the scope of work or ask the Principal Investigator (PI).

- UC Davis' federal negotiated Facilities and Administration (F&A; aka "indirect costs") rates are based on the following **Activity Types**:

### Organized Research

#### BASIC RESEARCH

- Aims to increase knowledge.
- The primary goal is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application.
- The end product is usually a report, although experimental hardware may be involved.
- **Example:** Exploring alternative means of administering medicine other than by oral consumption. Discovering that medicine can be absorbed through the skin.

#### APPLIED RESEARCH

- Normally occurs after a period of basic research.
- It attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices and technologies, and attempts to advance the state of the art.
- **Example:** Clinical trials are developed to administer nicotine into the human body via patches

#### DEVELOPMENTAL RESEARCH

- Concerned with the systematic use of scientific and technical knowledge in the design, development, testing or evaluation of potential new products or services.
- **Example:** Patches are developed and determinations made regarding types of medicines that can be absorbed via the skin, in what volume, etc.

### Training / Instruction

- The instruction of University students and/or employees in research or in the techniques or practices pertinent to a particular academic discipline.
- Support is generally awarded in the form of individual fellowships (with stipends) or as institutional grants to conduct an entire training program.

**Example:** A fellowship given to a medical student to specialize in clinical research.

### Other Sponsored Activities

- Services/activities that the University provides or makes available which do not fit within the categories of research, training or instruction.

**Examples:** Support to:

- Organize conferences or symposia for the public
- Provide musical or dramatic productions
- Offer tutorial services to potential university students

## Award Types/Funding Mechanisms (Grants, Contracts, Cooperative Agmts, Clinical Trial Contracts)

Correctly determining the **Award Type** can benefit budget preparation and other proposal components.

- Read the program and sponsor guidelines to determine the award type:

### Grants

Financial assistance awarded to conduct research or other programs as specified in an approved proposal. Grants contain the following elements:

- The statement of work allows the PI **significant freedom to change the emphasis** within the general area of work as the project progresses.
- There is **no substantial involvement anticipated between the sponsor and recipient** during performance of the activity.
- **Deliverables are minimal**, consisting mainly of reports.
- Benefits of the project are to accrue to the nation and the world.

Grants often use the **cost-reimbursement** method of payment (*see definition below*).

### Cooperative Agreements

Similar to a grant, except that the **sponsor has significant involvement** in the project.

The **sponsor's staff** may **actively participate** in the **programmatic design** and, once awarded, will continue to actively participate or have **substantial involvement in project activities**.

### Contracts

An agreement to **acquire services** or **perform research or other services** that primarily **benefit the sponsor**.

For an award to be considered a contract, it normally must contain all of the following elements:

- **Detailed financial and legal requirements** included with a specific statement of work.
- A **specific set of deliverables** and/or reports to the sponsor.
- Separate accounting procedures.
- Legally binding **contract clauses**.

### Clinical Trial Contracts

Combines **research with the testing of practical applications in biomedicine or engineering**.

Clinical Trials are **often funded by pharmaceutical companies** seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA) and are usually fixed-rate agreements.

- Human subject clinical trial contracts with private pharmaceutical companies are handled by [UCD Health Clinical Trials Contracts](#).
- All other clinical trials are handled by the Sponsored Programs Office (SPO).

Note: **Gifts** are a unilateral transfer of money, property or other assets by a donor to the recipient for the recipient's ownership and use. **The donor makes no claims** on the recipient in connection with the gift.

- Gifts are processed and managed through the UC Davis [Office of University Development](#) and should **not** be submitted to the Sponsored Programs Office (SPO) for review.

### **Cost-Reimbursement**

The sponsor agrees to give UC Davis actual dollars in an amount exactly equal to what UC Davis spends on allowable costs.

- If there is a limit to the contract amount, UC Davis must notify the sponsor if it appears all funds will be spent prior to completion of the work.
  - The sponsor may decide to add more money to allow completion of the approved scope of work.
- Because the work is usually associated with the PI's "reasonable efforts", it poses the **least risk** to the University and, therefore, is the most desirable method of contracting.
- Unexpended balances are returned to the sponsor.

### **Fixed Price/Rate**

UC Davis agrees to provide a service or deliver a product at a fixed payment amount regardless of the actual costs.

- If the project costs more than what was proposed and agreed to, UC Davis absorbs the additional costs.
  - On rare occasions, the University may be able to renegotiate the costs.
- Fixed price/rate agreements place the University at a greater risk.
- Any unexpended balance at the conclusion of a fixed price/rate contract remains with the University.

## Sponsor Types (Federal, State & Local Govt, Non-Profit, For-Profit)

Each **sponsor type** is subject to different policies and regulations that impact the format and content of a proposal.

- UC Davis commonly receives funding from federal, State of California and local government, non-profit and for-profit sponsors.

### Federal

All federal agencies must comply with the requirements of [the U.S. Office of Management and Budget \(OMB\)](#). The OMB Circular that most directly impacts grant proposal budget preparation is [OMB Uniform Guidance](#).

It is important to read **all** of the sponsor specific guidelines and policies for proposal budget and/or re-budgeting limitations and prepare your budget accordingly.

- OMB permits each federal sponsor to implement the requirements that best suit their needs, which may result in differences from sponsor to sponsor.
- Also, a single sponsor may have multiple variations of a policy to cover specific grant programs.

When applying to a federal sponsor, note the following:

- Use UC Davis' [federally-negotiated F&A rate](#) unless a non-standard rate is explicitly stated in the program announcement or other sponsor guidelines.
- Budget items must be **reasonable, allowable and allocable**. See [§200.403 – 200.405](#).
- Most Federal proposals are submitted electronically via [Cayuse 424](#).
- Contact SPO ([proposals@ucdavis.edu](mailto:proposals@ucdavis.edu)) early regarding a federal contract proposal or other proposal with terms and conditions listed in the guidelines. **Legally binding contract clauses must be reviewed prior to submission.**

### State and Local Government

State of California and local government proposals usually result in **contracts**.

- SPO recommends the **PI's discussion with a program officer at a State or government agency be limited to programmatic issues**, and that draft budgets be submitted for Sponsored Programs Office (SPO) review **before** submission to the sponsor.
  - Informal or draft budgets submitted without SPO review and approval **may need to be renegotiated** to secure full costs, including the full F&A (Facilities and Administration costs, or indirect costs).
    - If unsuccessful, the difference in F&A must be taken from the project's direct costs so the university can recoup the funds to which it is entitled.

When applying to a State or local government agency, note the following:

- State and local government **contract terms are restrictive** and **require prior approval** for the smallest changes in the project or budget. Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.
- Unless a special exception is requested from UCOP for the particular agency/program, the [full applicable rate](#) for the project being conducted must be requested.

## Non-Profit

Many non-profit sponsors implement their own policies, which result in a **wide range of regulatory and procedural compliance requirements**.

- While many non-profit sponsors reflect the general principles set out in federal guidelines, **they are not restricted by the OMB circulars**.
- Charges not allowable on federal proposals may be allowable on foundation proposals. However, the reverse may also be true. **Closely read all program and sponsor guidelines**.

Non-profit sponsors often limit or even prohibit the F&A (or indirect) cost rate applied.

## For-Profit

Most awards from for-profit sponsors are issued in the form of a **contract**.

- The Sponsored Programs Office (SPO) will review and negotiate the terms and conditions in consultation with the PI prior to submission to ensure that terms are acceptable and comply with Federal and State laws and research policies, as well as University policies.

When applying to a for-profit entity, note the following:

- **Contract terms are restrictive** and often **require prior approval** for changes in the project or budget.
  - Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.
- F&A rates for proposals with for-profit sponsors should use the appropriate [UC Davis Federally Negotiated Rate](#).
- Sponsors may **limit the purchase of equipment** or maintain title to equipment purchased after project completion.
- **Confidentiality agreements** may be required.
- **Cost-sharing is generally not allowed**; therefore, all associated faculty and staff effort should be charged to for-profit projects.

## F&A Costs (MTDC, TDC & TC)

UC Davis' [negotiated F&A rates](#) should be used unless otherwise indicated by the sponsor.

- In addition to the F&A (Facilities & Administration, or indirect cost) rate, there are multiple indirect cost **bases** that are used. An indirect cost **base** is the amount of direct costs to which an indirect cost **rate** is applied in order to determine a project's total indirect costs.

Common indirect cost bases used as UC Davis are:

### Modified Total Direct Costs (MTDC)

Certain costs such as equipment and subawards to other UC campuses, are not subject to indirects and are excluded from the F&A/indirect cost base.

- All [negotiated rates](#) at UC Davis are **applied on an MTDC base**, and the specific excluded costs are listed in the [federally negotiated rate agreement](#).
- Non-profit sponsors also often require an MTDC base but may define MTDC differently than the federal government.

**Example:** a private foundation may limit indirect costs to 10% of all direct costs excluding personnel.

### Total Direct Costs (TDC)

Calculated the same as MTDC except that there are **no direct cost exclusions** other than subawards or service agreements to other UC campuses.

- Because a TDC base differs from the base defined in our federally negotiated rate agreement, it should **only be used if the sponsor specifically requires it**.

### Total Costs (TC):

**Only use TC as an indirect cost base if the sponsor specifically requires it** or is silent on the base type (e.g., "10% indirect costs.").

- When using a TC base, **F&A is applied to the total project costs (direct + indirect)**.
- Note that **subawards and service agreements to other UC campuses are always excluded from the F&A base** regardless of the base type.

# Get Started

## Sponsor and Program Guidelines

Most sponsors provide funding opportunities that serve as a roadmap for the proposal submission. Funding opportunities are used by both public and private sponsors, and may have a variety of names, all meaning the same thing:

- Request for Applications (RFA)
- Request for Proposals (RFP)
- Program Announcements (PA)
- Broad Agency Announcements (BAA)
- Funding Opportunity Announcements (FOA)

**Take the proposal guidelines seriously! Carefully read all** the relevant sponsor and program guidelines.

- **Sponsors may return proposals without review if all the guidelines are not followed.**
- Additionally, **sign-up for email alerts** from the sponsor if they are available as **sponsors sometimes change program guidelines** after they have been issued.

## Common Sponsor Guidelines

Below are some common sponsor guidelines to look for during your review:

### 1. Deadline(s)

- Are either a **letter of intent** or a **pre-proposal** required prior to full proposal submission?
  - i. If so, what are the deadlines for these preliminary stages?
- What is the deadline for full proposal submission?

### 2. PI (Principal Investigator) Eligibility

- Sponsors may limit PI eligibility based on their career stage, such as offering an opportunity specifically to early or established investigators.
- If the PI is eligible to apply based on the sponsor requirements **but does not** have PI status at UC Davis, complete and upload [Form 105](#) as an attachment before submitting the [Cayuse SP Internal Processing Form \(IPF; aka the “proposal”\)](#).
  - i. UC policy ([PPM 230-01](#) and [PPM 230-02](#)) 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.
  - ii. View the [Organization of the Academic Senate](#) or the UC Davis [Academic Personnel Attributes Chart](#) for assistance in determining if a person has PI status by their title or needs an exception.

### 3. Institutional Eligibility

- In some cases, sponsors place restrictions on what types of institutions are eligible to apply for funding or how many proposals an eligible institution may submit.
  - i. UC Davis is an eligible applicant institution as follows (assuming it meets other eligibility requirements):
    1. Institution of Higher Education (IHE)
    2. Public Institution of Higher Education
    3. 1862 Land Grant University
    4. Non-Profit Institution; 501c3

### 4. Limited Submissions

- Sponsors may limit the number of applications an institution may submit.
  - i. In these cases, internal pre-proposals must be submitted to the [Limited Submissions Program](#) before submitting a proposal to the Sponsored Programs Office (SPO).
- Only an investigator selected through the Limited Submissions Program can then proceed with routing the application as usual.

### 5. Submission Method

- Sponsors will indicate the method for submitting applications.
- Use [Cayuse 424](#) for all Grants.gov submissions **except**:
  - i. [Research.gov](#) should be used for **NSF**
  - ii. [NASA NSPIRES](#) should be used for **NASA**
  - iii. Though SPO recommends using **Cayuse 424** as it speeds both the preparation and review processes, [ASSIST](#) may be used for **NIH**.
- **Note:** SPO has a helpful [Cayuse 424 Handbook](#).
- Other sites may be used as mandated by the RFA/sponsor guidelines (e.g., EERE for some DOE submissions)

### 6. Funding Limitations

- Is there a maximum dollar amount that can be requested? Are there F&A restrictions? Any other funding stipulations?

### 7. Application components and formatting

- The guidelines will indicate which sponsor forms are required.
  - i. In sponsor submission systems, required forms are often pre-selected but depending on guidelines and project details, you may be required to attach additional optional forms for a complete application package.
    1. **Pay attention to which attachments are required** along with the sponsor forms.
- **It is the responsibility of the PI** (with department administrator assistance) to ensure all

appropriate forms and attachments are included in a proposal and that these documents are formatted according to sponsor guidelines.

## Tips and Tools

- **Helpful checklists:**
  - [Call for Proposals Checklist](#) – 2-page checklist to help extract key information from a call for proposals
  - [New Proposals Checklist](#) – 4-page checklist of items to consider when you begin preparing a new grant proposal
  - [Proposal Preparation Checklist](#) – 1-page checklist to assist with proposal preparation
  - Find these and other helpful resources at [Learn: Proposal Review and Submission](#) (part of [Proposal and Award Learning Resources](#))
  
- Email [proposals@ucdavis.edu](mailto:proposals@ucdavis.edu) to clarify any complexities.
  
- Create a **timeline** to ensure required information/documents being provided by others arrives sufficiently ahead of the proposal deadline.
  
- Create a **checklist** to track all required documents/components prior to proposal deadline(s).

### *Sample checklist categories*

Sections
Budget
Budget Justification
Biosketches (key personnel only)
Facilities and Other Resources
Equipment
Project Summary
Project Narrative
Specific Aims
Research Strategy
Literature Cited
Vertebrate Animals (if applicable)
Human Subjects (if applicable)
Authentication of Key Biological and Chemical Reagents
Resource Sharing Plan
Letters of Support (if any)
Data Management and Sharing Plan
MPI plan
Cover Letter w/ARA Approval

## Prepare the Proposal

Although PIs are ultimately responsible for the accuracy and quality of the content of their proposal – and certify the IPF (Internal Processing Form) in [Cayuse SP](#) to confirm this – departmental contract and grant administrators assist in organizing and creating the required information and documents.

[Proposal Development Services \(PDS\)](#) provides resources to aid in the development of proposals to extramural sponsors and coordinates the preparation of major grant proposals for large-scale, interdisciplinary research programs.

- Visit their [Proposal Development](#) webpage for additional information.

## Coordinate the Proposal

1. **Gather the necessary Information**, such as the RFP and all other guidelines from the sponsor.
2. **Get organized** for the proposal preparation process:
  - a. Coordinate tasks with the PI.
  - b. Determine who will be providing info to satisfy relevant sponsor and university requirements and by which date.
3. **Prepare and collect** all proposal components.
  - a. Do not re-use components such as budgets and biosketches from previous proposals without reviewing them to confirm that they are fully applicable to the current project and accurate.
  - b. If the proposal includes outgoing subawards (from UC Davis to a subrecipient institution), collect the necessary subaward components before submitting the proposal to the Sponsored Programs Office (SPO).
4. **Review the draft proposal** before submitting it for SPO review.
  - a. Ensure all required documents and other information are included and properly formatted.
  - b. Compare the budget form(s) to the budget justification to ensure they match.
5. Once SPO receives your proposal:
  - a. The assigned SPO proposal analyst will review the IPF/proposal and provide feedback.
  - b. The PI and department administrator will review and incorporate SPO feedback.
  - c. Once SPO has approved the proposal for submission and the PI provides concurrence that the proposal is final, SPO often submits the proposal to the sponsor.

## Standard Proposal Components

Common components that may be required by a sponsor are listed here:

### Cover Page

May also be called a **Face Page**, **Proposal Title Page**, **Signature Page**, or by another name depending on the sponsor.

- Most granting agencies have standard forms or formats that should be used.
- If a standard form is not required, a title or face page should contain enough information to clearly identify the proposed project.
  - The Sponsored Programs Office (SPO) has an [optional cover page](#) to use if one is not provided by the sponsor.

### Abstract/Summary

Also referred to as a **Project Summary**, the abstract is an overview or summary of the project. Generally, it should be able to stand alone as a description of the project and describe what will be done, how it will be done, the anticipated results (including timeline, deliverables and milestones, as appropriate), and the significance of the project.

### Project Description (or Scope of Work, Research Strategy, or Narrative)

The project description, scope of work, research strategy or narrative is often referred to as the “body” of the proposal.

- Most agencies have specific guidelines or instructions for preparing and submitting this section of the proposal.

**Budget and Budget Justification** (strongly recommended by the Sponsored Programs Office (SPO) even when not required by sponsor)

The **budget** should reflect the PI’s best estimate of the actual cost of conducting the scope of work. This includes the materials and supplies as well as indirect costs.

- SPO requires internal budgets use the [OR Budget Templates](#).
- The OR Budget Templates can then be used to populate agency-specific budget forms or formats.
- The project description and the budget should be consistent with each other - that is, funds for activities described in the narrative should be requested in the budget.

The **budget justification** is a description of all the entries in the budget spreadsheet and should both contain all the exact same items as indicated in the budget, listed in the same order.

- Use the budget justification to support why line items are necessary for the project – this can help them from being cut by the sponsor at time of award -- and to explain how each cost was determined.

- See below under [Develop the Budget](#) (*internal link*) for more guidance.

## Biosketches (CV)

Some proposal guidelines require a specialized format for biographical sketches of key personnel and other important collaborators who will be working on the project.

## References

It is recommended that the PI list full references for any citations made in the body of the proposal.

- Some agency guidelines require specific formats.

## Facilities and Resources

This section describes equipment, labs or other resources that are already available to the PI for the project. It should explain why the physical facilities, resources and equipment described make this an advantageous location for the project.

## Current and Pending Support

Many sponsors require, and closely review, a current listing of pending proposals and funded awards for all key personnel at time of proposal or time of award. It is important that the PI's time does not exceed available research effort, or a maximum of 100% effort.

- Federal sponsors are also concerned with the sources of funding, so PIs should ensure all sources are detailed.

## Appendices

It is important to determine whether a sponsor allows appendices to be submitted with the proposal.

- Some agencies (NSF and NIH, for example) restrict the submission of appendices or have specific guidelines for inclusion with a proposal.

## Representations and Certifications

Some federal sponsors require that applicants provide assurances or sign certifications of compliance with a variety of Federal Policies whether or not they are applicable to the project.

- **Examples:** regulations regarding civil rights, lobbying, drug-free workplace, debarment and suspension and procurement integrity.
- All assurances must be certified by an authorized individual, such as a Sponsored Programs Office (SPO) analyst or associate director.

## Financial Conflict of Interest (COI) Requirements

Some sponsors, such as federal agencies, require disclosure of financial conflicts of interest. The [Research Ethics and Compliance Office \(RECO\)](#) is responsible for managing the COI process at UC Davis.

- All financial COI disclosures are filed online in the [e-COI system](#).
  1. **Form 800** is required at the **proposal stage** for proposals to NSF, NASA, CIRM, UCOP programs, non-PHS and some [other sponsors](#) if human subjects are involved.
  2. **Public Health Service (PHS) COI** and **online training** are required for awards from PHS agencies and some [other sponsors](#) that require compliance with PHS regulations.
    - a. This is verified at the **award stage**.
  3. **Form 700-U** is required for awards from non-government/private sponsors, such as private foundations, industry and for-profit universities.
    - a. This form should be submitted at the **just-in-time** and **award stages** or **before requesting an [advance account](#)** (pre-award spending).

## Other Internal Proposals Documents

Examples of other internal documents/forms that may be required are:

1. **Letter of Support for cost-share commitments.** View [guidance for submitting proposals that involve cost sharing](#) for the specific documentation requirements.
2. [Form 105](#) to request **exception to PI status** (as described in the **PI Eligibility** section of [Common Sponsor Guidelines](#) (*internal link*) above).
3. **Informed Participation/Special Individual Agreement** if there are terms and conditions that would generally not be acceptable to UC Davis (or the Regents).
  - a. Work with your PI to facilitate signatures when requested by the Sponsored Programs Office (SPO). Request this form from your SPO analyst if needed.
4. A [Protocol Certification form](#) may be requested by the assigned SPO analyst if the proposal involves human or vertebrate animals.

## Standard Subaward Materials

If UC Davis is submitting a proposal that includes an outgoing subaward to another subrecipient institution, the proposal package submitted for SPO review must include the following for each subaward:

1. Appropriate **Subrecipient Commitment Form**
  - a. [Multi-Campus Commitment Form](#) if the subrecipient is another UC campus.
  - b. [Federal Demonstration Partnership \(FDP\) Subrecipient Pilot – Supplemental Project Information Form](#) if the subrecipient is included among the list of institutions participating in the [FDP Expanded Clearinghouse](#).
  - c. [Subrecipient Commitment Form](#) if the subrecipient is a non-UC and non-FDP Member subaward institution.
2. **Subrecipient’s Scope of Work**, including a clear and detailed description of the work to be performed, the proposed timelines and deliverables.
3. **Subrecipient’s Budget** and **Budget Justification**, including the subrecipient’s direct and indirect costs calculated in accordance with sponsor guidelines using the subrecipient’s approved F&A (Facilities and

Administration, or indirect cost) and fringe benefit rates, and verifying any committed cost sharing.

- a. If the subrecipient does not have a current federally negotiated F&A rate in place they have the following options:
  - i. Use a de minimis F&A rate of 15% MTDC,
  - ii. Negotiate an F&A rate with their cognizant Federal Agency (must be approved at time of proposal to use at time of proposal) or
  - iii. Elect not to charge F&A.
4. If the proposal is for a federal contract (not a grant or cooperative agreement):
  - a. [Sole Source Justification](#) - Completion of this form is mandatory if a subaward was not included in the original proposal submitted to a sponsor.
    - i. See [Uniform Guidance Section 200.324](#) or the [Federal Acquisition Regulation 6.302-1](#) for additional guidance.
  - b. Any additional elements that may be required by UCD's sponsor for inclusion in the proposal.

View the [Handbook for Submitting a Proposal with \(Outgoing\) Subawards](#) for detailed instructions on preparing and submitting the proposal to SPO and sponsors.

## Develop the Budget

Creating the project budget is generally the most time-consuming and complicated part of the proposal preparation process for a department administrator.

- Work with the PI to find out what needs to be included in the budget: personnel, equipment, travel, supplies, fees, subcontracts, etc.
- Once you are given parameters, generate a first draft of the budget and forward it to the PI for review.
- Review the [Preparing a Proposal Budget Toolkit](#) for detailed guidance.

Keep the following compliance points in mind when you're completing the budget:

- **Charging Practices**
  - Regardless of whether the funding is from a federal, other government, or private sponsor, you must adhere to the applicable charging practices.
  - Are the costs on the budget allowable, reasonable, and allocable?
    - OMB Uniform Guidance [§200.403 – 200.405](#) provides guidance on the allowability, reasonableness, and allocability of expense items on federal grants.
  - For more details about charging practices, consider taking the **Costing Principles eCourse** offered by Contracts and Grants Accounting (CGA).
- **Indirect Costs**
  - Apply the applicable [federally negotiated indirect cost rate, UC negotiated state rate](#), or work with the Sponsored Programs Office (SPO) to determine if requesting a waiver from the University of California Office of the President (UCOP) is appropriate.
  - It is the policy of the University to recover the full costs of doing research ([UC Davis PPM 230-03](#)).
    - Exceptions to negotiated rates are done in line with UCOP guidelines.

Consider completing our two-part proposal budget series: the **Preparing a Proposal Budget: Basics eCourse** and the **Preparing a Proposal Budget: Lab instructor-led training over Zoom**.

- Visit SPO's [Upcoming Training Opportunities](#) page for more information.

## Submit to the Sponsored Programs Office (SPO)

1. Route an Internal Processing Form (IPF) internally in Cayuse SP.
  - At a minimum, the following should be included/attached:
    - i. Proposal **Scope of Work**
    - ii. **Budget Spreadsheet** (**strongly** recommended even if not required by sponsor)
    - iii. **Budget Justification** (**strongly** recommended even if not required by sponsor)
  - To speed the review process, complete as many applicable fields in Cayuse SP as possible, even those not indicated as required.
2. Submit the proposal externally in a sponsor-accepted submission system.
  - Both stages are reviewed by SPO.
  - Before or while the IPF is routing in Cayuse SP, prepare the proposal in the external submission system.
    - If using a sponsor-accepted submission system other than Cayuse 424 (linked system-to-system (S2S) to grants.gov for submission to **most** federal sponsors), **ensure your assigned SPO analyst has access** to view your proposal in the system, if possible.
      - Allow ample time to **register all required personnel** in the sponsor's external submission system, if needed.
        - New registrations can take several days in some systems, even a week.
        - SPO analysts already have full access to Cayuse 424 so there is no need to provide it.

In addition to all proposal components required by the sponsor it is also helpful to **provide the proposal guidelines** -- either as an attachment in [Cayuse SP](#) or as a link on the **General Information** page (first page completed in Cayuse SP).

Once the IPF is submitted for routing, monitor the routing and certifications/authorizations in [Cayuse SP](#).

- View the **Proposal Routing Status** screen in the IPF to see who has/has not certified and authorized.
- **You will receive an email from SPO when an analyst is assigned to the proposal**, but you can also view who this analyst is in the **Specialists** field of the **Proposal Routing Status** screen.
  - The first person listed is the assigned SPO proposal analyst. The second person listed (to right of first person) is the assigned SPO award analyst, if applicable.

Review SPO's [Proposal Review and Submission](#) page for more help with submitting proposal packages for review in [Cayuse SP](#).

## SPO Proposal Review & Submission to Sponsor

**Ensure there is at least one contact person available** (the PI ideally, but a Co-PI or department administrator may be acceptable) prior to the submission **to address any SPO requests regarding the proposal.**

Federal sponsors, and many others, recommend we **submit proposals two days before the submission deadline** to resolve errors or technical issues ahead of the cut-off. At a minimum, the Sponsored Programs Office (SPO) recommends submitting the day before the deadline.

**SPO will often submit the proposal** on behalf of the PI and university, but in cases where the PI is required to submit, will forward all approved materials to the PI for submission.

**Ensure there is at least one contact person available prior to the submission to address any last-minute submission issues.**

- There can be small errors, such as page limits exceeded or missing information, that cause a proposal to be automatically rejected by a sponsor's proposal submission system.
  - In these cases, the SPO analysts will work quickly to alert the contact person, so the issue can be resolved.