Cayuse SP & 424: Submitting a Proposal as a Subawardee/Subrecipient

Campus Training Session

Presented by Sponsored Programs
Training Outline

- Overview of Subawards
- (incoming) Subawards
  - Proposal Process
  - Required Elements/Documents
- Hands-on Lab
- Q&A
- Resources
Handouts

- Class Workbook
- Handbook for Submitting a Proposal as a Subawardee Institution
- Subaward vs. Contractor/Vendor Guidance
Learning Objectives

• Know the definition of a Subaward
• Understand how UC Davis treats incoming and outgoing Subawards
• Know how to submit a proposal as a Subrecipient institution
OVERVIEW OF SUBAWARDS
Subawards

- **Scope of Work:**
  - Is intellectually significant and separable from the overall project
  - Could result in intellectual property or publishable results (including co-authorship)
  - Requires animal and/or human subjects’ approval
- The entity has programmatic decision-making
- Subawards are processed by Sponsored Programs
Contractor/Vendor Agreements

- **Contractor/vendor:**
  - May be an individual or sole proprietor; a university and the transactions are done via recharge rates, through service agreements or through other sponsored activity agreements; OR a professional consultant OR is not significantly using its own computers/equipment for simply providing advice to UC Davis personnel, including individuals in a different school/college
  - Does not have a PI on the proposal
  - Provides similar goods or services within normal business operations or to many purchasers
  - Operates in a competitive environment
  - Does not have programmatic decision-making

- **Scope of Work:**
  - Does not reflect a specific, clearly defined, intellectually significant part of the scope of work of the sponsor’s award to UC Davis

- **The goods/services are:**
  - Off-the-shelf or specialized services that are commercially available, usually at a fixed price or rate
  - Ancillary to UC Davis’ sponsored project
  - Not subject to the sponsor’s compliance requirements
  - Equipment, fabrication of equipment or components of fabricated equipment (unless fabricating specialized equipment for the project’s scope of work or to meet sponsor deliverables)
  - A survey using de-identified data; not requiring IRB approval
  - A test on data provided by UC Davis and the results are given to UC Davis to analyze and/or they provide result analysis as a routine professional service
  - Routine in nature and follow established or previously invited/discovered procedures
Outgoing Subaward = Subawards

Tier 1: Prime Sponsor – NSF, NIH or other funding entity

Tier 2: Prime Applicant/Recipient – UC Davis (Flow-through entity)

Tier 3: Subrecipient – Usually another university or research institution
Incoming Subawards = Treated as Regular Proposals/Awards

Tier 1: Prime Sponsor – NSF, NIH or other funding entity

Tier 2: Prime Applicant/Recipient – Usually another university or research institution; listed as Sponsor in Cayuse SP IPF

Tier 3: Subrecipient – UC Davis
### Key Terms

#### Subrecipient
- Submits proposal to Prime Applicant/Recipient
- Receives subaward from Prime Applicant (Sponsor) if funded
- If UC Davis is the Prime Applicant, the subrecipient is added as a Subcontractor on the Cayuse SP Internal Processing Form (IPF)

#### Prime Applicant/Recipient
- Submits proposal to Prime Sponsor
- Issues subawards once funded
- If UC Davis is the subrecipient, the Prime Applicant is listed as the Sponsor on the Cayuse SP IPF

#### Sponsor
- Receives proposal from Prime Applicant
- Makes funding decision
- If UC Davis is the subrecipient, the Sponsor is listed as the Prime Sponsor on the Cayuse SP IPF
Key Terms

Prime Award
- Award funded by the (Prime) Sponsor and provided to the Prime Applicant
- If UC Davis is the subrecipient, this would be the award provided to the institution to which we applied
- If UC Davis is the Prime Applicant, this would be the award provided to UC Davis

Lead Project Director/Principal Investigator (PD/PI)
- Lead Principal Investigator (PI) for the entire sponsored project
- If UC Davis is the subrecipient, this would be the Lead PI at the Prime Applicant institution
- If UC Davis is the Prime Applicant, this would be the UC Davis Lead PI

Site Project Director/Principal Investigator
- PI at the subrecipient institution
- If UC Davis is the subrecipient, this would be the UC Davis PI
- If UC Davis is the Prime Applicant, this would be Lead PI at the subrecipient institution
INCOMING SUBAWARDS
Proposal Process Timeline

5-7 days before Prime Applicant deadline
- Full proposal package arrives in SPO for review

SPO Initial Review

2-3 days before Prime Applicant deadline
- PI/Department incorporates SPO feedback
- PI/Department finalizes proposal package

SPO Finalizes Proposal Package

1-2 days before Prime Applicant deadline
- Submit final proposal to sponsor
- Note: SPO submits electronic proposals
Required Elements

Completed and fully-routed Cayuse SP Internal Processing Form (IPF)
- Lead Principal Investigator and Investigator Certifications
- IPF Approver Authorizations
- Prime Applicant listed as the Sponsor
- Funding Sponsor/Agency listed as the Prime Sponsor

The following documents must be uploaded in Cayuse SP before submitting for routing:
- Sponsor and/or program guidelines
- Prime applicant guidelines and deadline materials are due to them
- UC Davis Scope of Work (draft)
- UC Davis Budget and Budget Justification; strongly encouraged even when not a sponsor requirement
- Internal documents, as applicable
  - PI Exception Requests
  - Cost-sharing Commitment Letters
## Proposal Review

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<th>University and Campus Requirements</th>
<th>Sponsor and Program Administrative Compliance</th>
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<td>• IPF Certifications and Approvals</td>
<td>• Required proposal components</td>
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<td>• Budget and Budget Justification</td>
<td>• Eligibility</td>
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<tr>
<td>• Accurate F&amp;A Rate and Base</td>
<td>• Budget limitations and other restrictions</td>
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<td>• Accurate calculations</td>
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<tr>
<td>• Allowable and allocable costs</td>
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<tr>
<td>• Budget and budget justification match</td>
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<td>• Scope of Work</td>
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SPO Proposal Review

Regulatory Compliance

• Human and/or animal subjects
• Stem Cells
• Biohazardous materials
• Human anatomical specimens

Financial Conflicts of Interest and other compliance items, if applicable

• Form 800 e-disclosure
• PHS e-disclosure and online training
Award Process

1. SPO receives Notice of Award (NOA)
2. SPO reviews the agreement and notifies the Principal Investigator and Department Administrator of outstanding documents
3. SPO initiates contract negotiations with the sponsor, if needed
4. SPO receives all outstanding documents and negotiations are successful

SPO signs the agreement and sends it to the Sponsor

SPO receives the fully-signed agreement from the Sponsor

Copies of the fully-signed agreement are available to:
- Principal Investigator
- Department Administrator
- Contracts & Grants Accounting
- Other campus units as needed (e.g., Equipment Management, Risk Management, etc.)
SPO Award Review

The assigned SPO award analyst will review:

- Required proposal documents
  - To ensure all required documents were received and request them if not
- Outstanding compliance documents
  - To ensure all required compliance items are in place
- The award agreement:
  - To ensure it is acceptable under UC and UC Davis policies and regulations
  - For potential conflicts with the Principles Regarding Rights to Future Research Results in University Agreements with External Parties
  - SPO will negotiate acceptable terms and conditions with sponsor if needed
  - May require additional time
HANDS-ON LAB
Activity: Submitting a Proposal as a Subrecipient

- Complete Activity 1 (starting on Workbook Page 7)
- Complete Activity 2 (starting on Workbook Page 10)
  - Let me know when you complete step 11 and I will
Questions?
Handbooks and Toolkits

- **Handbook for Submitting a Proposal as a Subawardee Institution**
- **Quick Start Guide for Accessing Awards** (incoming subawards)
- **Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers**
Websites and Forms

- Cayuse Research Suite
- UC Davis Cayuse User Guides and Videos
- Cayuse Research Suite Support Center
- Subaward or Contractor/Vendor Guidance
- Sponsored Programs Training
Email Addresses and Listservs

- Sponsored Programs Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
- Sponsored Programs eRA Help Desk: SPOeRAHelp@ucdavis.edu
  - For non-Cayuse issues
- SPARK Listserv: https://lists.ucdavis.edu/sympa/info/spark_info
- C&G Listserv: https://lists.ucdavis.edu/sympa/info/ovcr-cg
- Grant Coordinators Network (GCN) Listserv: https://lists.ucdavis.edu/sympa/info/gcn