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

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- 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 sim... UC Davis personnel, including i... 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
  - ...ect to the sponsor's compliance requirements
  - ...on of equipment or components of ...t (unless fabricating specialized ... 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 analyzation as a routine professional service
  - Routine in nature and follow established or previously invited/discovered procedures

Submit to Business & Revenue Contacts

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**

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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

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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

University and Campus Requirements

- IPF Certifications and Approvals
- Budget and Budget Justification
  - Accurate F&A Rate and Base
  - Accurate calculations
  - Allowable and allocable costs
  - Budget and budget justification match
- Scope of Work

Sponsor and Program Administrative Compliance

- Required proposal components
- Eligibility
- Budget limitations and other restrictions

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SPO Proposal Review

Regulatory Compliance	Financial Conflicts of Interest and other compliance items, if applicable
• Human and/or animal subjects • Stem Cells • Biohazardous materials • Human anatomical specimens	• Form 800 e-disclosure • PHS e-disclosure and online training

Award Process

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┌─────────────────────┐      ┌─────────────────────┐      ┌─────────────────────┐      ┌─────────────────────┐
│ SPO receives Notice │ ───> │ SPO reviews the     │ ───> │ SPO initiates       │ ───> │ SPO receives all    │
│ of Award (NOA)      │      │ agreement and       │      │ contract            │      │ outstanding         │
│                     │      │ notifies the        │      │ negotiations with   │      │ documents and       │
│                     │      │ Principal           │      │ the sponsor, if     │      │ negotiations are    │
│                     │      │ Investigator and    │      │ needed              │      │ successful          │
│                     │      │ Department          │      │                     │      │                     │
│                     │      │ Administrator of    │      │                     │      │                     │
│                     │      │ outstanding         │      │                     │      │                     │
│                     │      │ documents           │      │                     │      │                     │
└─────────────────────┘      └─────────────────────┘      └─────────────────────┘      └─────────────────────┘
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┌─────────────────────┐      ┌─────────────────────┐      ┌─────────────────────────────────────┐
│ SPO signs the       │ ───> │ SPO receives the    │ ───> │ Copies of the fully-signed          │
│ agreement and sends │      │ fully-signed        │      │ agreement are available to:         │
│ it to the Sponsor   │      │ agreement from the  │      │                                     │
│                     │      │ Sponsor             │      │ • Principal Investigator            │
│                     │      │                     │      │ • Department Administrator          │
│                     │      │                     │      │ • Contracts & Grants Accounting     │
│                     │      │                     │      │ • Other campus units as needed      │
│                     │      │                     │      │   (e.g., Equipment Management,      │
│                     │      │                     │      │   Risk Management, etc.)            │
└─────────────────────┘      └─────────────────────┘      └─────────────────────────────────────┘
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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?

RESOURCES

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](#)

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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](#)

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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) Listerv: https://lists.ucdavis.edu/sympa/info/gcn