

# Submitting a Proposal with Outgoing Subawards

Presented by Sponsored Programs, Office of Research

Campus Training Session

Revised: May 8, 2019



# Introductions

- We are...
  - Marlene Mooshian, Contract and Grant Analyst, Proposals
  - Kassie Obelleiro, Training Officer
- Please tell us...
  - Name and department/unit
  - Have you worked with subawards before?

# Learning Objectives

- Know the **definition** of a Subaward
- Understand how UC Davis treats **incoming and outgoing Subawards**
- Know how to submit a **proposal with outgoing Subawards**
- Know how to **initiate outgoing Subaward**
- Know how to **identify your outgoing SPO Subaward analyst and check the status**



# Today's Handouts

- Presentation
- Scripts for Today's Tasks
- Handbook for Submitting a Proposal with (outgoing) Subawards
- Subaward or Contractor/Vendor Guidance



# Training Outline

- Overview of Subawards
- Submitting a Proposal with Outgoing Subawards
  - Process and Required Elements
- Hands-on Lab
- Next Steps
- Q&A
- Resources



**Cayuse Research Suite**  
3.7.2

**Research Administration Modules**

- Cayuse SP ([Sponsored Projects](#))
- Cayuse 424

**System Administration Applications**

- Backbone
- Research Contacts
- Workflow

**Application Help**

- [Research Suite Support Center](#)

# Overview of Subawards

# Subaward Agreements

- 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

# Contractor/Vendor Agreements

- Contractor/vendor:
  - Is an individual or sole proprietor
  - is a university and the transactions are done via recharge rates, through service agreements or through other sponsored activity agreements
  - Is a professional consultant OR is not significantly using its own computers/equipment for simply providing advice to the UC Davis personnel, including individual's in another 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 analyzation as a routine professional service
  - Routine in nature and follow established or previously invited/discovered procedures

# Outgoing Subawards = Subawards

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

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

Tier 3: Subrecipient – Usually another university or research institution

# Incoming Subawards = Awards

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

Tier 2: Prime Applicant – 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
- 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

- 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

# Submitting a Proposal with Outgoing Subawards

Process and Required Elements



# Proposal Process Timeline

All proposals are required to come through SPO even if not required by sponsor.

Source: [PPM 230-02](#)

5-7 days  
before  
sponsor  
deadline

- Full proposal package arrives in SPO for review

SPO Initial  
Review

2-3 days  
before sponsor  
deadline

- PI/Department incorporates SPO feedback
- PI/Department finalizes proposal package

SPO  
Finalizes  
Proposal  
Package

1-2 days  
before  
sponsor  
deadline

- Submit final proposal to sponsor
- Note: SPO submits electronic proposals

# Proposal Preparation Process

## Request Required Elements from Subrecipient(s)

- Set a deadline for their submission to you
- Allot enough time for you to review their materials and request any needed edits or missing items

## Create the proposal

- Cayuse SP
  - Complete proposal/IPF as usual
  - Add Subrecipients to Subcontractor tab
  - Upload required Subaward elements in Proposal Attachment
- Cayuse 424, if applicable
  - Confirm Subrecipient has an Institutional Profile **and** Indirect Cost/F&A Rate(s) and Base(s)
  - Complete application as usual
  - Enter/import Subaward

## Submit to SPO as usual

- For a full review, the proposal must arrive in SPO for review at least 5 business days before the deadline
- Consider submitting earlier, so we have ample time to review the Subaward materials

# Required Proposal Elements

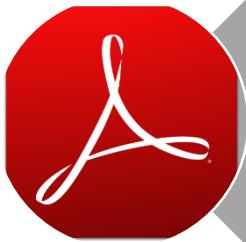
## Completed and Fully-routed Cayuse SP Internal Processing Form (IPF)

- Lead Principal Investigator and Investigator Certifications
- IPF Approver Authorizations
- Indication of subrecipient(s) on the Subcontractors tab

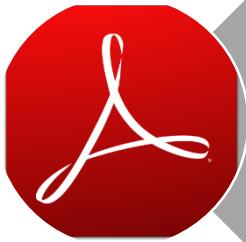
## Minimum Documents for SPO Analyst Assignment

- Scope of Work (draft)
- Budget and Budget Justification; strongly encouraged even when not a sponsor requirement
- Internal documents, as applicable
  - PI Exception Requests
  - Cost-sharing Commitment Letters
  - Subaward information (next slide)

# Required Subaward Elements



Subrecipient Commitment Form, Multiple Campus Award (MCA) Commitment (if UC Campus) or FDP Supplemental Information Form (if subrecipient is an FDP participating institution)



Scope of Work with description of work, proposed timelines and deliverables  
Budget and Budget Justification, including direct and indirect costs  
Any additional items



Subawardee institution F&A information, if not already in Cayuse 424

# Subrecipient Institution F&A Rate and Base

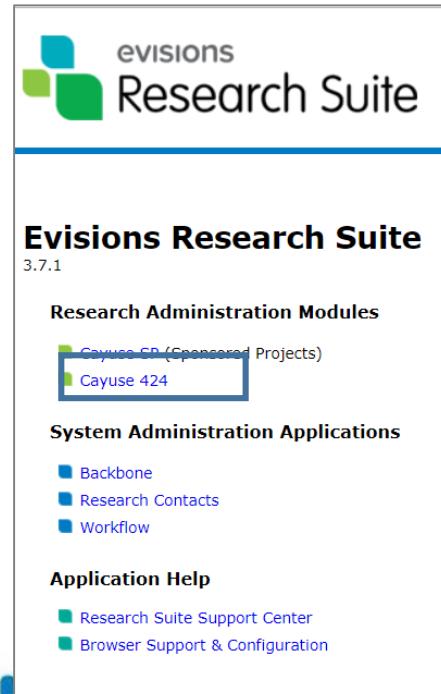
- The first \$25,000 of each subaward is subject to indirect costs
  - **Except:** Subawards to other UC campuses – no indirects are charged on the subaward
- If the subrecipient does not have a current federally negotiated F&A rate, they may do one of the following:
  - Use the minimum F&A rate of 10% MTDC (this will be applied to all future subawards at UC Davis)
  - Negotiate an F&A rate with their Cognizant Federal Agency
  - Not charge F&A
  - Negotiate an F&A rate with UC Davis' Costing Policy & Analysis Division

# Cayuse 424

1. Confirm the institution is in Cayuse 424 and includes accurate F&A options
2. Create the overall application
3. Add the Subaward
4. Check for accuracy
5. Proceed with 424 application as usual

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

1. Login to <http://ucdavis-uat.cayuse424.com>
  1. Username: amieadmin
  2. Password: catcat
2. Select Cayuse 424



# Demo

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

## 3. Select Institutional Profiles



# Demo

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

4. Enter the institution's name in the text field and select "Search"

Institutions

[Show All](#)

Recently Viewed: 1 institution 

[The Regents of the University of California \(Davis\) - UC Davis](#)

# Demo

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

5. Select the institution name under Search Results

**Institutions**

[Show Recently Viewed](#) | [Show All](#)

**Search Results:** 1 institution 

[\*\*The Regents of the University of California \(Irvine\)\*\*](#)

# Demo

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

## 6. Confirm that F&A Rate (Indirect Costs) options are available

- Select Indirect Costs

Institutional Profile: The Regents of the University of California (Irvine) 

[Address](#) ►

[Assurances and Certifications](#)  
[Fringe Rates & Benefits](#)  
**Indirect Costs**    
[Escalation Rates](#)  
[Organizational Units](#)

**Institutional Address**

**Institution name:** The Regents of the University of California (Irvine) (required)

**Institution short name:** The Regents of the University of California (Irvine)

**Street 1:** Office of Research, Sponsored Projects

**Street 2:** 5171 California, Suite 150

**City:** Irvine

**State/Province:** California

**Zip/Postal Code:** 92697

**Mailstop:**

**County:**

**Country:** United States of America

**URL:** <http://www.research.uci.edu/sponsored-pr>

**DUNS:** 046705849

**Parent Org DUNS:**

**CRS/EIN:**  1 - 952226406 -

**Congressional district:** CA-045

**Organization Type:** State-Controlled Institution of Higher Education

**Additional Applicant Types:**

**NIH Commons Profile Number:**

**ASAP PIN (for USDA proposals):**

# Demo

Step 1: Confirm the Institution is in Cayuse 424 and F&A rate options are listed

7. If the institution and F&A Rate options are listed, proceed to Cayuse SP or Cayuse 424 proposal entry
8. If the institution and/or F&A Rate options not listed, request the institution and/or rate options be added
  - a. Email [ORCayuseHelp@ucdavis.edu](mailto:ORCayuseHelp@ucdavis.edu) and indicate request (add Subaward Institution or and F&A Rate options to an existing institution). Include necessary info:
    - Institution Name
    - Address
    - Contact information
    - Program officer name and contact information
    - F&A rate information

# Cayuse 424

- If the overall application is being submitted in Cayuse 424, subawards may be added one of the following three ways:
  1. Manual entry
  2. Importing a subaward proposal that was prepared in Cayuse 424 or Subawards.com by the subrecipient
  3. Links a subaward proposal that you prepared in Cayuse 424 or have already imported

# Demo and Hands-on Lab

# Hands-on Lab: Submitting a Proposal with Subawards

- Pull out Script 1
  - Login as indicated
  - Follow instructions in the Script

Cayuse SP and 424 – UC Davis

Scripts: Submitting a Proposal with Subawards

*Script 1: Complete the Cayuse SP Proposal*

1. Login to: <http://ucdavis-uat.cayuse424.com>

a. Username: amieadmin

b. Password: training

# Hands-on Lab: Submitting a Proposal with Subawards

- Go to Script 2
- We will complete together
- Stay on the same screen (or hold your questions until we catch up)



# Next Steps

# SPO Review: Outgoing Subawards

In addition to the review of the overall proposal, SPO will review to ensure:

- Required Subaward elements were submitted
  - Appropriate Commitment Form
  - Scope of Work
  - Budget and Budget Justification, including direct and indirect costs
- Appropriate F&A rate and base applied and costs accurately calculated
- Other items as needed, such as cost sharing commitment letters and other documents required by the sponsor

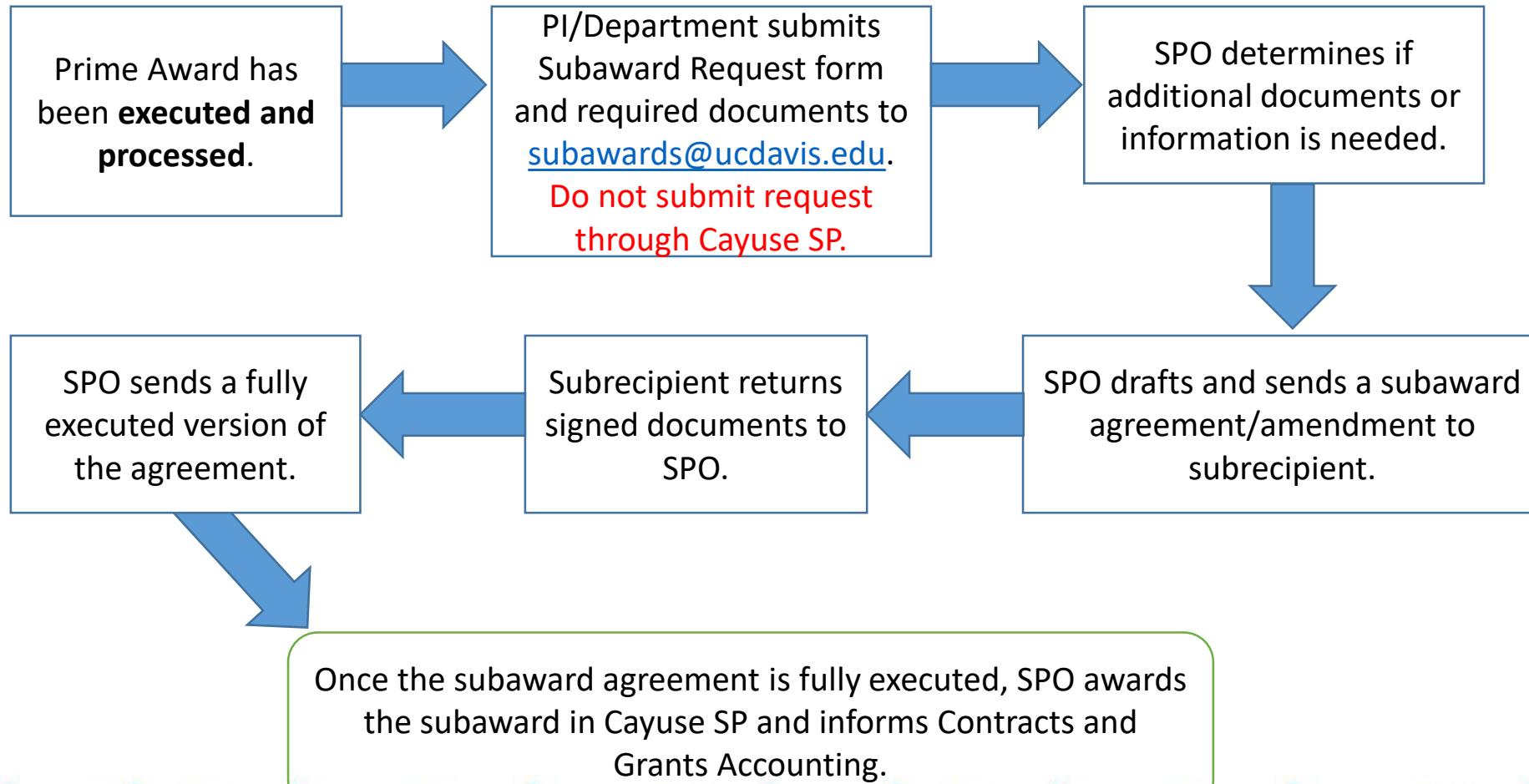
# Awarded – Now What?

<http://research.ucdavis.edu/proposals-grants-contracts/spo/subawards/#Requesting%20an%20Outgoing%20Subaward>

After the award is fully executed:

1. Email the following (as one PDF per Subawardee institution) to [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu)
  - a. [Subaward Request Form](#)
  - b. Documents attached to Proposal, edited if needed based on the award terms (including appropriate commitment form)
    - i. One PDF per Subawardee Institution

# Subaward Initiation Process



# SPO Review: Subaward Initiation

The Subaward team will review each request for:

- Inclusion of all required internal documents
- Basis for selection (of the subrecipient)
  - Competitive: Requires Request for Proposals/Quotes information
  - Sole Source: Requires Sole Source Justification Form
- Risk Assessment and Compliance
  - Risk Assessment / Continuing Assessment Tool
  - Federal Audit Clearinghouse - A-133 (<https://harvester.census.gov/facweb/>)
  - FDP Clearinghouse (<https://fdpclearinghouse.org/>)
  - Mini-Audit Questionnaire (excluding MCA's & zero dollar transactions)
  - Visual Compliance Screen (<https://www.visualcompliance.com/index.html>)
  - SAM Registration
  - Financial Conflicts of Interest disclosures
  - F&A Rate Determination
  - FFATA

# Subaward Statuses

Status	Definition
(Awaiting) Admin Dept	Action is required by the PI/department
(Awaiting) Award Mgr/Analyst	Action is required by the Award Analyst
(Awaiting) Subcontractor	Action is required by the Subcontractor/Subawardee
Fully Executed	The Subaward/Subcontract is fully executed and has been sent to CGA

# Check Subaward Status

1. From the SP Dashboard, select “My Awards”
  - a. Or “Awards in My Unit” if you did not start the associated IPF or are not on the Investigators/Research Team tab
2. Select “Active Projects”
3. Select the relevant Project Number
4. Go the “Subcontracts” tab
5. Select the Subcontract Number
6. Go to the Notes tab

# Questions?



# Resources



# Handbooks and Toolkits

- [Handbook for Submitting a Proposal with Subawards](#)
- [Handbook for Submitting a Proposal as a Subawardee Institution](#)
- [Handbook for Accessing Subawards \(outgoing\)](#)
- [Quick Start Guide for Accessing Awards \(incoming subawards\)](#)
- [Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers](#)

# Websites and Forms

- Cayuse Research Suite: <https://ucdavis.cayuse424.com>
- UC Davis Cayuse User Guides and Videos: <http://spark.ucdavis.edu/training/>
- Cayuse Research Suite Support Center: <http://support.cayuse.com/>
- Subaward or Contractor/Vendor Guidance: <https://research.ucdavis.edu/wp-content/uploads/Subaward-v-Vendor-Guidance-Document.pdf>
- Sponsored Programs Training: <https://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/>
- Request No-Cost Extensions: <https://research.ucdavis.edu/proposals-grants-contracts/spo/award-management/#nocost>

# Email Addresses and Listservs

- Sponsored Programs Cayuse Help Desk: [ORCayuseHelp@ucdavis.edu](mailto:ORCayuseHelp@ucdavis.edu)
- Sponsored Programs eRA Help Desk: [SPOeRAHelp@ucdavis.edu](mailto:SPOeRAHelp@ucdavis.edu)
  - For non-Cayuse issues
- SPARK Listserv: [https://lists.ucdavis.edu/sympa/info/spark\\_info](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>

# SDPS Classes

- Sponsored Programs Essentials
- Proposal Preparation and Submission
- Preparing a Proposal Budget: Concepts
- Preparing a Proposal Budget: Lab
- Understanding the Award Process
- electronic Research Administration (eRA)
- Cayuse SP and 424: Role Management, 424 Professional Profiles and Routing
- Cayuse SP: Working with SPO on Awards and Pre-Award Spending Requests



Visit the SDPS website for a list of dates and times and to sign up. <http://sdps.ucdavis.edu/>



# Research Administration Forum

Updates from Sponsored Programs,  
Contracts and Grants Accounting, Research  
Compliance and Integrity and other units

**Fourth Wednesday, January – October**  
8:30 – 10:00 am

Office of Research Conference Room 200  
1850 Research Park Drive (South Davis)  
Zoom: <https://zoom.us/j/958409717>

*Join the C&G listserv for reminders!*



# Q & A

- What questions do you have?



- Don't forget your evaluation forms!

# Thank You!

For research-related announcements, you can now follow  
SPO on Twitter and YouTube!



@UCDavis  
SPO



Sponsored Programs  
UC Davis