

# Understanding the Awards Process

Presented by the UC Davis Sponsored Programs Office (SPO)

The content below is from the **Understanding the Awards Process** training ([Instructor-led training over Zoom](#) or [eCourse](#))

The training (and content below) is intended to help you:

1. Know the steps of the award process
2. Be able to identify important award information
3. Know what the Sponsored Programs Office (SPO) and the PI review during the award process
4. Know how to submit a range of post-award actions

**Use of Cayuse SP** for awards is covered in more detail in SPO's class: [Cayuse SP – Awards and Post Award Actions](#)

***CTRL + Click** any row below to jump to section*

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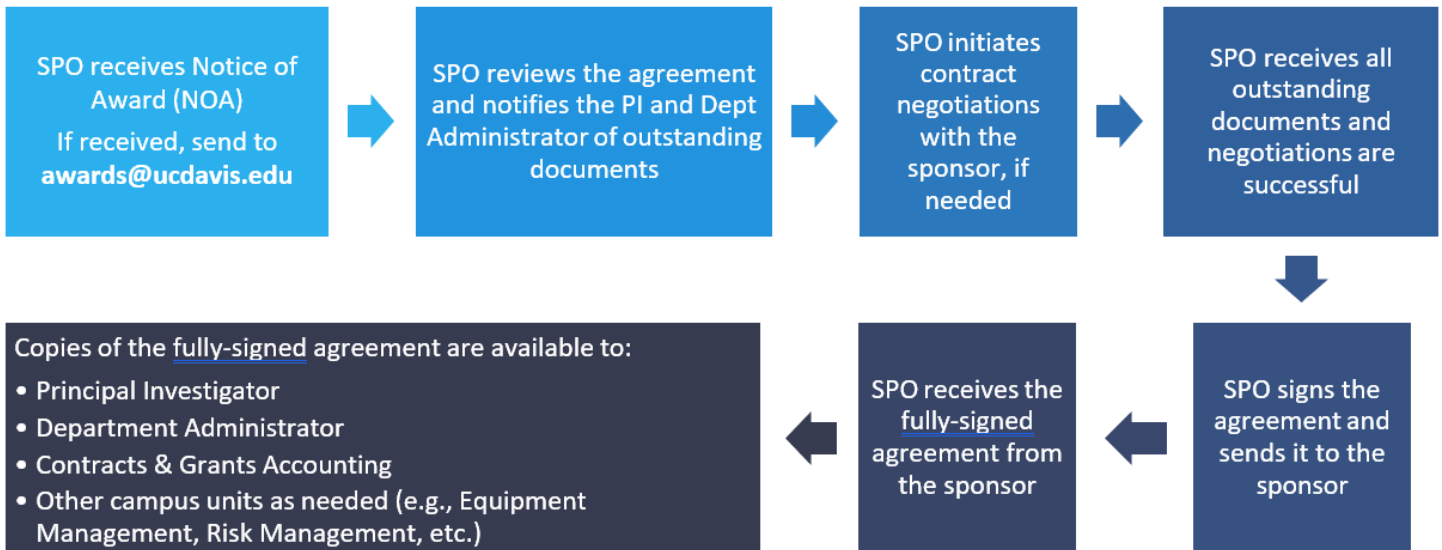
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## Award Process

Negotiating and Executing Award Agreements

### Award Process Overview



### Notice of Award

A **Notice of Award (NOA)** is a notification UC Davis receives from a sponsor that a proposal has been selected to receive an award.

The NOA often arrives in the form of a **draft award agreement**.

If you or the PI receive an NOA from a sponsor forward it by email to [awards@ucdavis.edu](mailto:awards@ucdavis.edu).

- Include the:
  - Cayuse SP Project #
  - Lead PI's name.

**DO NOT** upload the NOA into Cayuse SP.

### Award Mechanisms Processed by SPO

SPO processes:

- **Grants**
- **Contracts**
- **Cooperative agreements**
- **Subawards**
- **Clinical trial contracts NOT funded entirely by industry** (for-profit entities)

SPO does not process:

- **Clinical trial contracts funded entirely by industry**
  - Processed by the [UCDH Clinical Trials Contracts Office](#)
- **Gifts**
  - Processed by [Advancement Services](#) in Development and Alumni Relations (DEVAR)
  - **Gifts generally have no deliverables** other than stewardship progress reports (what was done/is being done with the money)
    - However, to determine whether a gift is in fact a gift often requires analysis
      - Review the award agreement as a whole
        - Do not base decisions upon the presence or absence of a single characteristic or criterion
      - Contact SPO at [awards@ucdavis.edu](mailto:awards@ucdavis.edu) for assistance.

## SPO Review: Award Terms and Conditions

Your SPO awards analyst will review award documents to ensure the terms and conditions are acceptable to the University of California and to UC Davis.

### UC/UCD Policies and Regulations

1. Integrity in research
2. Appropriateness of the activity to the University
3. Protection of human and animal subjects and the environment
4. Use of University facilities
5. Adherence to personnel policies
6. Intellectual property
7. Conflicts of interest
8. Recovery of full costs, direct and indirect (F&A)
9. Liability insurance and indemnification

### Principles Regarding Rights to Future Research Results in University Agreements with External Parties

- A. Open dissemination of research results and information
- B. Commitment to students
- C. Accessibility for [future] research purposes
- D. Public benefit
- E. Informed participation
- F. Legal integrity and consistency
- G. Fair consideration for university research results
- H. Objective decision-making

## Activity 1: Award Terms and Conditions

### Question:

A sponsor clearly allows publications but then includes a provision under **Confidentiality** that states “all information in connection with the scope of work and this agreement is considered confidential.”

**Does this condition conflict with any of the 8 principles to the right?**

Yes, this condition conflicts with the following principles:

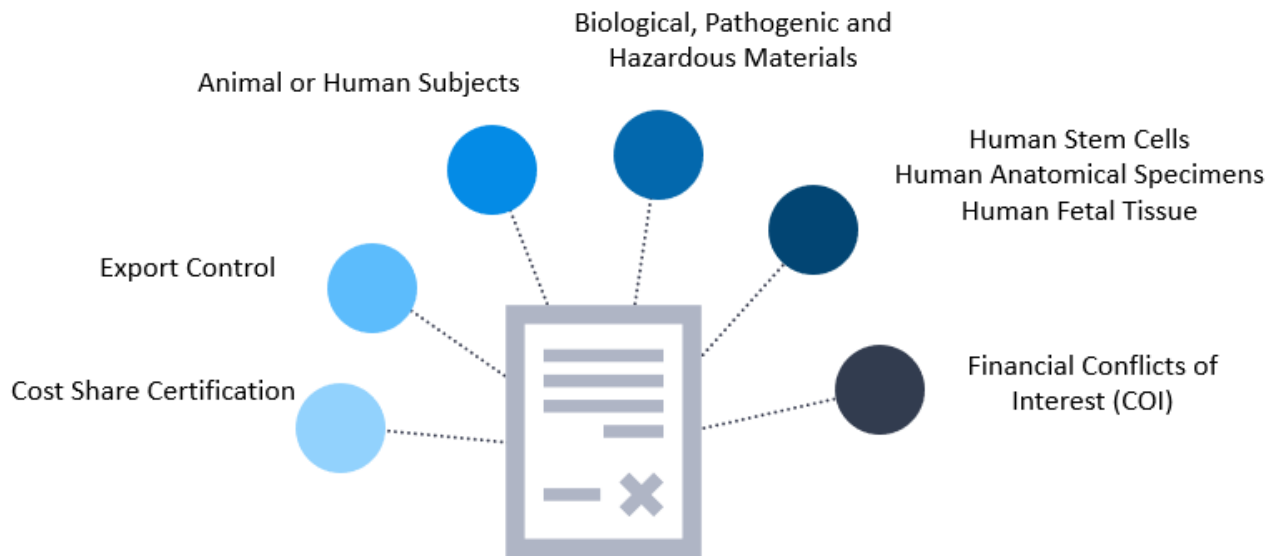
- Open dissemination of research results and information
- Accessibility for [future] research purposes
- Public benefit

It also conflicts with university policy, state policy, and the California Public Records Act (CPRA)

## SPO Review: Compliance Items

SPO will determine what compliance items are required and ensure receipt of those required items.

- Compliance requirements vary by sponsor, program and scope of the project



## SPO Review: Financial Conflicts of Interest (COI)

### PROPOSAL STAGE

#### Form 800

- Awards from the NSF, CIRM and UCOP Special Programs
- Non-PHS awards that involve human subjects

#### PHS COI

- Awards from any PHS agency or other sponsor that has adopted the PHS regulations
- This is an annual requirement. An online training is also required every 4 years

### AWARD STAGE

#### Form 700-U (State of California requirement)

- Awards from non-governmental sources not on the exempt list
- Signed at award acceptance (no more than 30 days before award acceptance)

#### Statement of Economic Interests Supplemental Form

- Required for positive disclosures
- Required before award can be released

- File disclosures at <https://or-forms.ucdavis.edu/>
- Investigator must initiate and submit
  - Can establish one admin contact
  - Do not list the SPO analyst as the admin contact
- Need help? Contact [or\\_coi@ucdavis.edu](mailto:or_coi@ucdavis.edu)

## SPO Review: After-the-Fact (ATF) Awards

An “After-the-Fact” (ATF) award, which is an award received without a proposal having been previously reviewed by SPO, will require these proposal stage items be provided:



### **Cayuse SP Internal Processing Form (IPF)**

Fully completed and routed IPF certified by the PI and co-PIs and authorized by the unit lead(s).



### **Budget spreadsheet and budget justification**

SPO strongly encourages providing both even if not required by sponsor.



### **Final Scope of Work**

Description of project activities.

## PI Concurrence

Your SPO awards analyst will also ask the PI to verify whether they concur with the terms and conditions of the agreement.

**Award Agreement:** Thoroughly read the award agreement to identify problematic language

**Scope of Work:** Ensure the scope of work in the agreement is accurate

**Deliverables:** Ensure the deliverables are acceptable

**Inform SPO:** Let your SPO Award Analyst know of any problematic items

Items to consider:

Are the restrictions acceptable?

- Allowable vs. Unallowable Costs
- Anticipated vs. Obligated Funding
- Allowed/Un-Allowed Revisions
- Prior Approval Requirements

Check the:

- Spending Start and End Dates

Are deadlines/terms acceptable?

- Invoices
- Reports
- Milestones
- Publications

## Activity 2: Identify Important Award Information

<p>EXPLORATORY/DEVELOPMENT GRANT                  Department of Health and Human Services                  National Institutes of Health                  NATIONAL INSTITUTE OF BIOMEDICAL IMAGING AND BIOENGINEERING</p>	<p>Issue Date: 04/30/2021</p>
<p>Grant Number: 1R21EB018750-01A1                  FAIN: R21EB018750</p>	
<p>Principal Investigator(s):  </p>	
<p>Project Title: Photodynamic Therapy Mediated by Cerenkov Light Emitted from Radiopharmaceut</p>	
<p>Ms. Chris Dye-Hixenbaugh                  SPO Analyst                  1850 Research Park Drive                  Suite 300                  Davis, CA 956186134</p>	
<p>Award e-mailed to: awards@ucdavis.edu</p>	
<p>Budget Period: 05/01/2021 – 04/30/2022                  Project Period: 05/01/2021 – 04/30/2023</p>	

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD	CUMULATIVE TOTALS	
1	\$174,066	\$174,066	
2	\$248,126	\$248,126	

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**Fiscal Information:**  
 CFDA Number: 93.286  
 EIN: 1916001537A1  
 Document Number: REB018750A  
 PMS Account Type: P (Subaccount)  
 Fiscal Year: 2021

IC	CAN	2021	2022
EB	8472698	\$174,066	\$248,126

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

- The Notice of Award (NOA) is committing funds for one budget period (of a multi-year project). (T/F)  
**True.** The key is the “**Budget Period,**” which defines how much is being committed by the award.
- The NIH Award # is:
  - R21EB018750-01A1**
  - R21EB018750
  - Not provided
- The committed award amount is \$174,066. (T/F)  
**True**
- The funds for Year 2 are committed. (T/F)  
**False.** Again, the key is the “**Budget Period.**”

## Negotiations

Your assigned SPO awards analyst is the **primary negotiator** with the sponsor, and will negotiate terms and conditions that:

- Violate university policy, regulations or principles
- Researchers find objectionable
- Would put UC activities in conflict with California or federal law
- Would negatively impact or limit other UC research programs
- Lack legal integrity

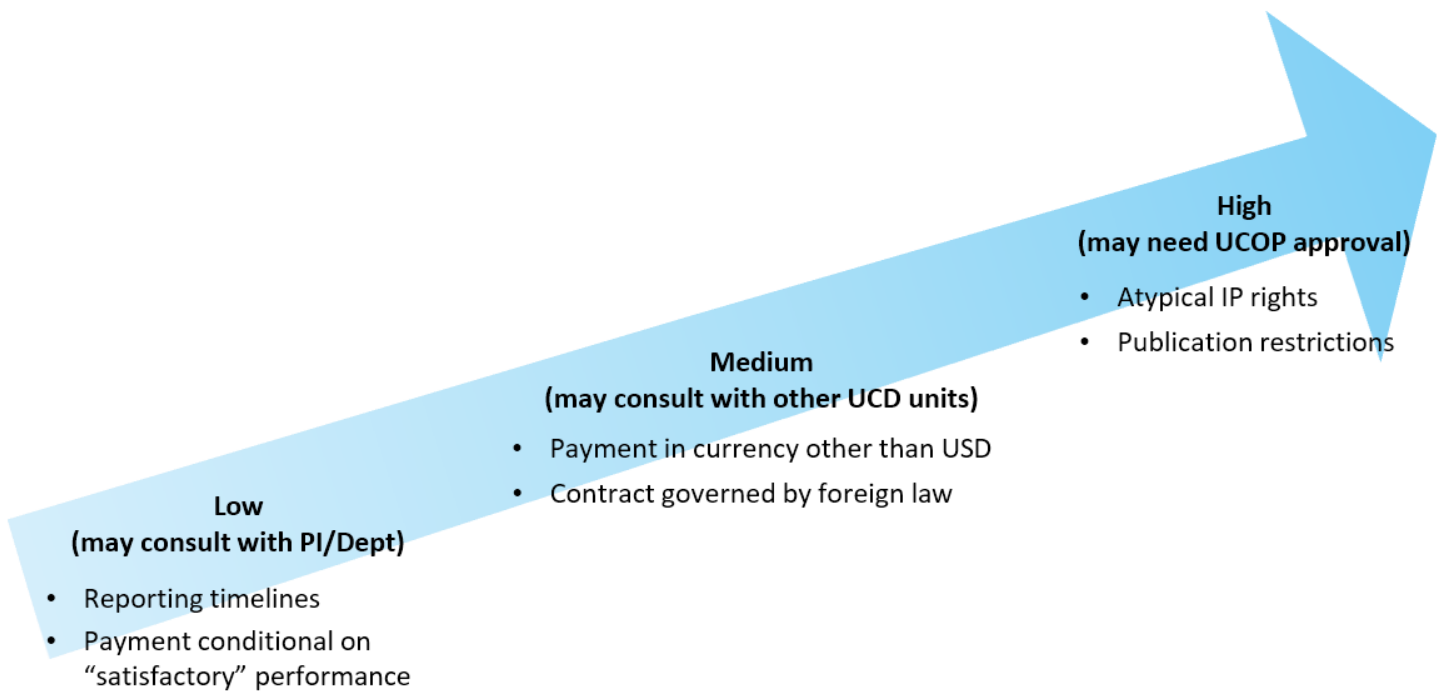
Some terms acceptable to the PI but generally unacceptable to UC Davis may be accepted by PI signature of an **Informed Participation Agreement (IPA)**.

- Your SPO awards analyst will send the form to the PI for signature

SPO will keep the PI and department informed of negotiation progress.

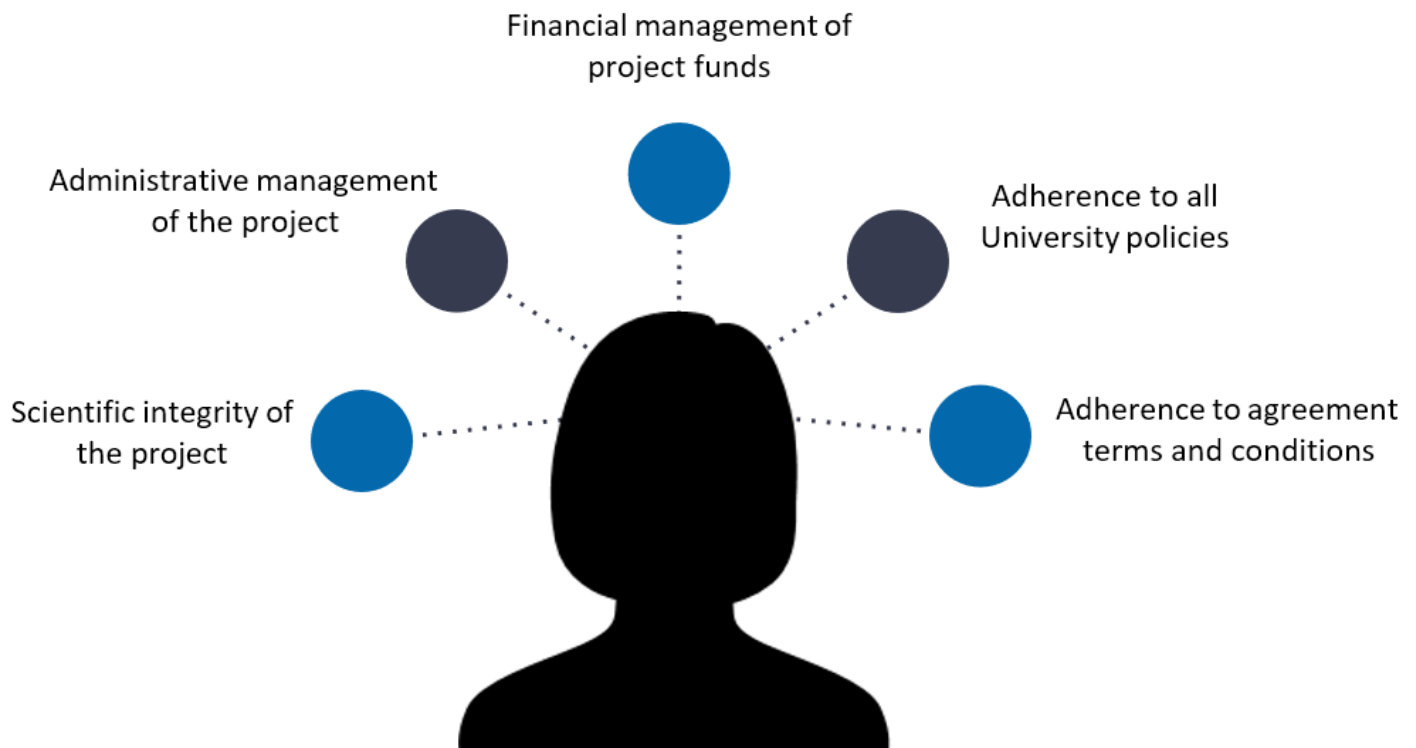
- You can also **check Cayuse SP** for status updates
- Contact your SPO analyst for details not in Cayuse SP

Examples of agreement terms that require negotiation:



## PI Responsibilities

Once an award agreement is signed, the Lead PI is responsible for the following:



## After Award Execution

After SPO fully-executes an award, the PI and department will work with Contracts and Grants Accounting (CGA) to establish the account for fund distribution.

### SPO:

- Changes the Cayuse SP **award status** from **Pending** to **Active**
- Makes the final (signed) award **available in Cayuse SP** to the PI, department contact and CGA

### CGA:

- Notified the following business day of all newly **Active** awards in Cayuse SP
- Works with the PI/department contact on **account set-up** and **fund distribution**

### PI/Dept:

- **Notifies others** of the award execution as needed, such as project personnel, payroll, etc.

## Checkpoint 1 of 2: SPO Review

Which, if any, of the following items does SPO review?

- 1 Restrictions on publication in scientific journals
- 2 F&A rate
- 3 Intellectual Property ownership
- 4 Approved protocols for human and animal participants

**SPO reviews ALL these items, and more.**

## Checkpoint 2 of 2: Terms/Conditions

Which, if any, of the terms/conditions below might be problematic if included in an award agreement?

1. All articles must be reviewed and approved by the Sponsor before publication.
2. Year two funding is contingent upon the submission of an annual progress report.
3. Unspent funds must be returned at the end of the project period.
4. All articles must be reviewed (but not approved) by the Sponsor before publication.

**Answer:**

- 1. All articles must be reviewed and approved by the Sponsor before publication.**

The issue is with sponsor approval.

To protect open dissemination of research results and information, a sponsor cannot hold approval over articles before publication.

## Advance Accounts

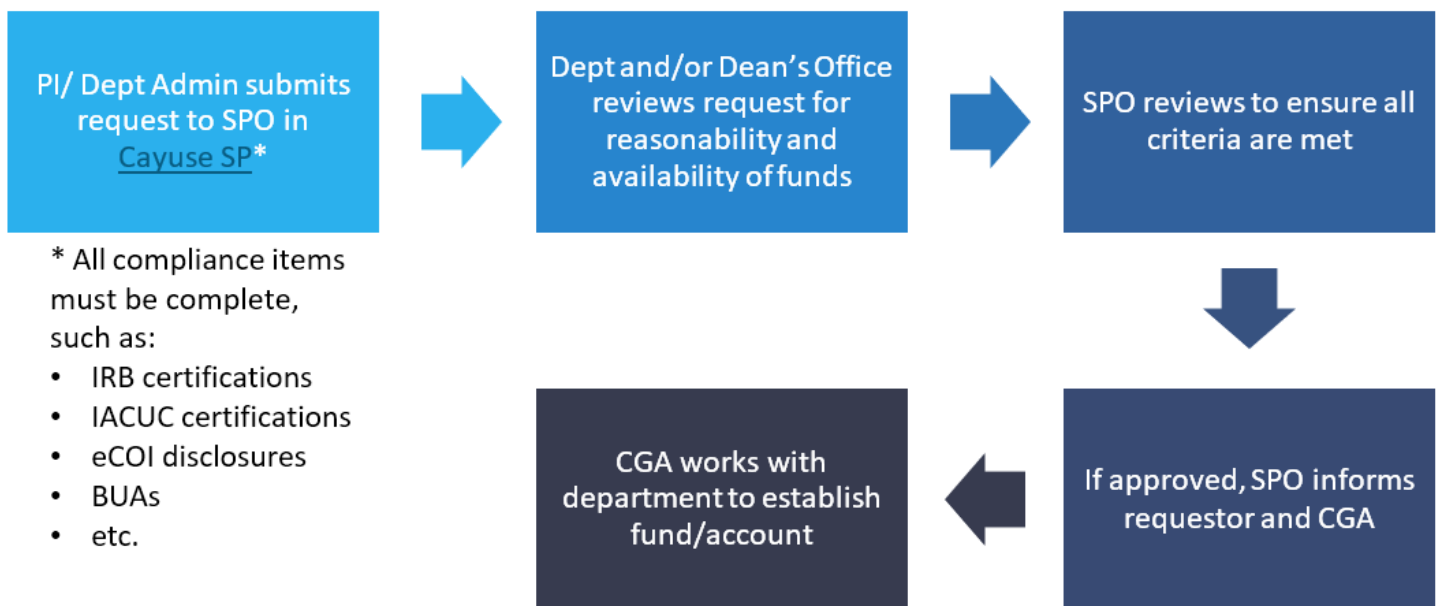
Requesting pre-award spending

### Advance Account/Pre-Award Spending Criteria

Though NOT encouraged, pre-award spending is sometimes allowed by sponsors and appropriate. Requests must meet the following criteria:

- Compelling Reason
- Committed Award
- Allowed by Sponsor
- Appropriate Expenditures
- Appropriate Dates
- Available Funds

### Advance Account Process



### To Request an Advance Account

1. **Complete the Advance Account Request Form** accessed from the IPF in [Cayuse SP](#).
  - It's found by clicking the **Advance Account** tab on the **Proposal Routing Status** screen.
  - Provide:
    - Compelling justification for the request ("Description of Assurances of Funding")
    - Sponsor contact info
    - Requested advance amount requested
    - Alternate source of funds to be charged if the award is not finalized
2. **Upload required documents**
  - Click on the **paperclip tab** to upload **evidence of firm commitment** from the sponsor.

## Outgoing Subawards

### Key Terms



#### (Prime) Sponsor

The entity providing the (prime) funding.



#### Prime Recipient or Prime Applicant

The institution that applies for and receives an award from a Prime Sponsor.

- Also referred to as the “pass-through entity.”



#### Subrecipient

The institution that receives a portion of (prime) funds forwarded by the Prime Recipient.

More on **subawards** in these SPO classes:

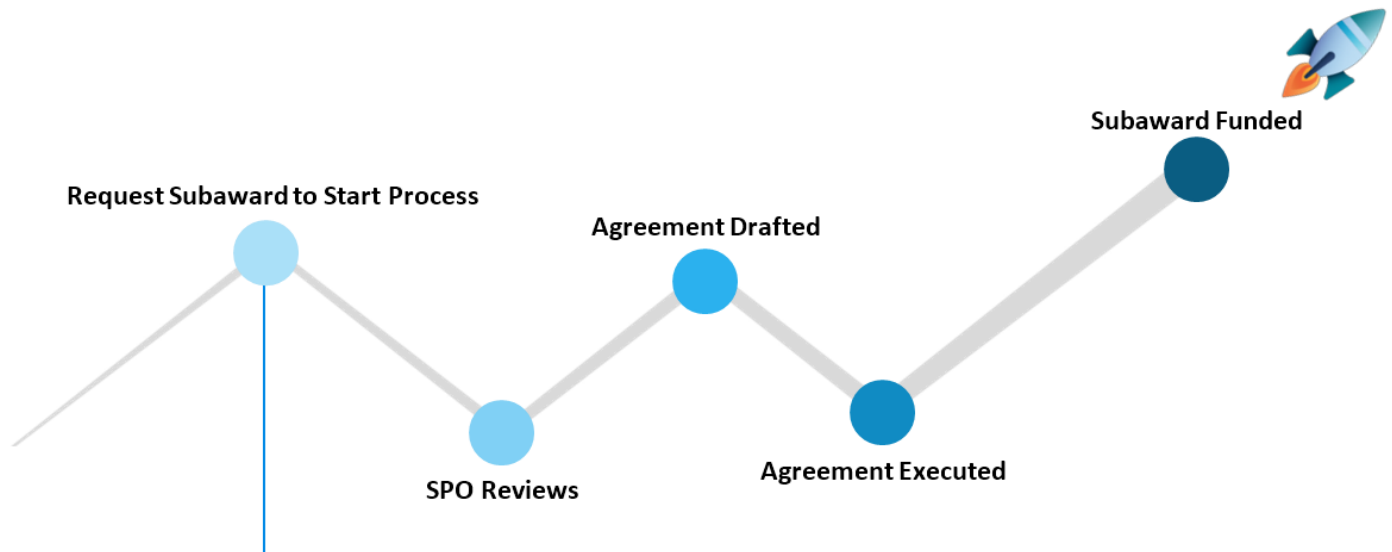
- **Processing Subawards (Cayuse)** ([instructor-led training over Zoom](#) or [eCourse](#))
- **Subawards Lab** ([instructor-led training over Zoom only](#))

### Outgoing Subawards

There are three flavors of subaward. In this awards-based training, we will focus on the third:

1. **Incoming subaward:** Another institution (prime recipient) forwards a portion of sponsor funds to UC Davis (subrecipient).
  - Incoming subawards are processed by the **SPO awards team** the same as incoming awards.
2. **Outgoing proposal with subaward:** UC Davis (prime applicant) applies for funding from a sponsor that includes a subrecipient institution in the application.
  - These outgoing proposals are processed by the **SPO proposals team**.
3. **Outgoing subaward:** UC Davis (prime recipient) forwards a portion of funds awarded by a sponsor to another subrecipient institution.
  - These outgoing subawards are processed by the **SPO subawards team**.

## Outgoing Subawards



*Outgoing subawards do not happen automatically, even when the subrecipient has been included in the proposal.*

- Email the subaward request to [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu) **AFTER** the prime award is executed.

## Subaward Request Documents



Submit **one Subaward per email** to [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu)  
Include the Cayuse SP Project/Award # **and** Lead PI's name



### First PDF

- [Subaward Request Form](#) (instructions)
  - Include the Cayuse SP Project # & the Lead PI's name



**Second PDF** (To combine PDFs in Adobe: select '**File**' then '**Create**' then '**Combine Files into a Single PDF**')  
• **Commitment Form** (one of the following):

- [Subrecipient Commitment Form](#)
- [Multiple \[UC\] Campus Award \(MCA\) Commitment Form](#)
- [FDP Supplemental Information Form](#) (simplified form for participating organizations)
  - [Federal Demonstration Partnership \(FDP\) participating organizations](#)
- [Mini-Audit Questionnaire](#) (if "no" is selected in Section D of the Subrecipient Commitment Form)
- [Sole Source Justification Form](#) (if prime sponsor is Federal and subrecipient was not designated at proposal stage)
- **Subrecipient's Statement of Work**
- **Subrecipient's Budget and Budget Justification**
- **Subrecipient COI** (see Section C of (UC Davis) Subrecipient Commitment Form)

Use the  
[PI/Department Subaward Checklist](#)

Find all these forms on SPO's  
[Outgoing Subawards](#) page,  
under 'Guidance and Forms'

## Subaward Request Form (1st PDF)

### Best practices:

- If the subaward will be sent in the first year, **do not wait.**
  - Submit the request as soon as award account is created.
- Ensure all fields are completed
  - on the request form
- Set calendar reminder to submit amendment one year from end date

SPONSORED PROGRAMS OFFICE UNIVERSITY OF CALIFORNIA, DAVIS

**SUBAWARD REQUEST FORM**

Complete and submit this form along with the required documents specified under **Directions** below to: [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu)  
 \*\*\*See [Subaward Request Form instructions](#) for additional guidance\*\*\*

UCD Prime Award Information	Subaward Information	
Sponsor Name:	Legal Name:	
Sponsor Award Number:	*Subaward Number:	
Cayuse Project Number:	*Leave blank if this is a request for New Subaward	
KFS Fund:	<input type="radio"/> (select this or "Amend" below) <b>Issue New Subaward</b> If a new subaward, complete all fields in this section	
Overall Project Period:		
UC Davis Information		
UC Davis Principal Investigator/Project Director:	Initial Subaward Period (12 months or less)	Entire Subaward Period
Name:	Start Date:	Start Date:
Department:	End Date:	End Date:
Phone:	Funding:	Funding:
Email:		
Address:		
UC Davis Department Administrative Contact:	<input type="radio"/> <b>Amend Existing Subaward</b> (complete applicable fields below)	

## Subaward Request Form (1st PDF)

On the 2nd page are two helpful sections.

Subaward Specific Requirements	Directions for Submission to SPO
<p>In the space below, please list any specific requirements that need to be included in the terms of the subaward. For example, due dates for interim and final reports, payment schedules, other instruction as applicable. Provide any special instructions as needed. (Optional)</p>	<ol style="list-style-type: none"> <li>1. This form and all required documents should be sent as one PDF document to <a href="mailto:subawards@ucdavis.edu">subawards@ucdavis.edu</a></li> <li>2. A separate form and email is required for each subaward requested.</li> <li>3. Submission of this form by the department represents Principal Investigator's approval of the information provided.</li> </ol> <p><b>Required documents for New Subaward:</b></p> <ul style="list-style-type: none"> <li>• Statement of Work - must include clear involvement in programmatic decision-making.</li> <li>• Budget and Budget Justification - must be agreed to by the subrecipient prior to submission to SPO.</li> <li>• <a href="#">Subrecipient Commitment Form</a>, <a href="#">FDP Pilot Subrecipient Project Information Sheet</a>, or <a href="#">Multiple Campus (MCA) Commitment Form</a> (as applicable) - must be filled out and signed by Subrecipient's authorized official within the last 12 months.</li> <li>• <a href="#">Mini-Audit Questionnaire</a>, if applicable (see Section D of the Subrecipient Commitment Form)</li> <li>• <a href="#">Subrecipient COI Form (PHS or Non-PHS)</a>, if applicable (see Section D of the Subrecipient Commitment Form)</li> <li>• <a href="#">Sole Source Justification Form</a> (if applicable)</li> </ul> <p><b>Required documents for Amendment to an Existing Subaward:</b></p> <ul style="list-style-type: none"> <li>• Statement of Work—only if different from the original subagreement or amendment and approved by subrecipient.</li> <li>• Budget and Budget Justification—only if different from the original and approved by subrecipient.</li> <li>• <a href="#">Mini-Audit Questionnaire</a> - only if it was required as part of the initial request package and more than 12 months has passed since it was originally signed</li> </ul> <p><b>Note: Incomplete forms without ALL of the above required attachments will be returned without further review and will delay issuance of the subaward. ****See <a href="#">Subaward Request Form instructions</a> for additional guidance.****</b></p>

## Subaward Review

Your assigned **SPO Subawards Analyst** will review the subaward request, **draft** the subaward agreement, and **negotiate** with the subrecipient as necessary.

Some of the items they will review:

### Selection Basis

- Provide the **Sole Source Justification** if the prime award is a Federal contract and the subrecipient was not designated at the proposal stage.
- If the subrecipient was selected *competitively* it's probably **not** a subaward.

### Risk Assessment and Compliance

- **SAM/Visual Compliance:** On debarred list?  
Delinquent Federal debt?
- **Risk Assessment/**Continuing Assessment Tool
- **Audit:** FDP Clearinghouse, Federal Audit Clearinghouse or Mini-Audit Questionnaire
- **F&A Rate** determination
- **Financial Conflict of Interest (COI)** disclosures
- **FFATA** (Federal Funding Accountability and Transparency Act) reporting

## Post-Award Actions

### Modifications, Progress Reports and Close-Outs

#### Award Modifications

Examples of award modifications:

- Carryforward requests
- No-Cost Extensions (NCEs)
- Key personnel changes
- Administering unit changes
- Cost-share changes
- Significant budget revisions

Review sponsor guidelines to **ensure the change is allowed** and to determine the sponsor process required to effect the change.

- Some actions require **pre-approval** by the sponsor

**Submit the request in Cayuse SP if the request requires department/dean approval**, such as a change in:

- Administering unit
- Key personnel
- Cost-share commitments

Otherwise, email the request to [awards@ucdavis.edu](mailto:awards@ucdavis.edu)

The [Modify an Award](#) webpage can help you determine the correct submission method and required info.

#### Carryforward Requests

These are **requests to keep unexpended funds** at the end of a budget period.

Requests must be reviewed and submitted to the sponsor by SPO.

##### Prepare the Request

- **Review sponsor guidelines** and prepare request accordingly.
- Ensure **all progress reports and deliverables** have been **submitted** to the sponsor.

##### Submit to SPO

Email the following to [awards@ucdavis.edu](mailto:awards@ucdavis.edu):

- Cayuse SP Project/Award #
- Lead PI's name
- Amount to carryover (direct/indirect)
- Identify any restricted funds
- Explain unobligated balance
- Explain why work cannot be accomplished through rebudgeting
- Breakdown each parent and supplement, if applicable:
  - Reason funds were not spent
  - Why the funds are necessary
  - Impact if the carryforward is declined
  - Expenditure plan with future activities

## No-Cost Extensions (NCEs)

**Requests to extend work** beyond the approved project period must be reviewed and submitted to the sponsor by SPO.

### Prepare the Request

- **Review sponsor guidelines** and prepare request accordingly.

### Submit to SPO

Email the following to [awards@ucdavis.edu](mailto:awards@ucdavis.edu):

- Cayuse SP Project/Award No.
- Lead PI's name
- Correspondence from the sponsor
- Justification for the extension
- Balance of funds remaining by cost category

## Key Personnel Changes

**Changes to key personnel funded by the grant**, including senior personnel, must be reviewed and submitted to the sponsor by SPO.

### Prepare the Request

- Review sponsor guidelines to **ensure sponsor allows** personnel changes.

### Submit to SPO

Submit an IPF (Internal Processing Form) in [Cayuse SP](#):

- **Short Project Name:** Cayuse SP Project # + Action + PI Name + Sponsor (i.e., A18-1234 Change in Personnel Apple USDA)
- **Proposal Type:** Amendment, Administrative Action or Prior Approval
- **Personnel Tab:** Add the new/changed personnel
- **Budget:** Indicate any changes to cost sharing  
Enter "0" in all other amount fields
- **Submission Notes:** Add a note explaining the reason for the amendment

## Administering Unit Changes

The **Administering Unit** is the unit that receives credit for the award. If the administering unit of the grant will change, the involved units/departments and SPO must review and approve the request.

### Prepare the Request

- **Review sponsor guidelines** and determine if they require notification and/or prior approval.
- It is advisable to **have discussions** with the current and new administering unit chairs/ directors.
- If applicable, SPO will submit to sponsor

### Submit to SPO

Submit an IPF in [Cayuse SP](#):

- **Short Project Name:** Cayuse SP Project # + Action + PI Name + Sponsor (i.e., A18-1234 Change in Admin Unit Apple USDA)
- **Admin Unit:** Add the new unit, but keep the old unit (as an affiliated unit)
- **Proposal Type:** Amendment or Administrative Action
- **Budget:** Indicate any changes to cost sharing;  
Enter "0" in all other amount fields
- **Submission Notes:** Add a note explaining the reason for the

## Other Significant Modifications

Any modification that is a **significant** change in commitment of university resources must be submitted to SPO. Examples include changes in **cost-sharing commitments** and **some budget revisions**.

### Prepare the Request

- Review sponsor guidelines to **ensure sponsor allows** the significant modification.
- If you need assistance determining if the change requires SPO and/or sponsor approval, **email** [awards@ucdavis.edu](mailto:awards@ucdavis.edu).
- Provide:
  - Communications with sponsor
  - Sponsor guidelines

### Submit to SPO

Submit an IPF in [Cayuse SP](#):

- **Short Project Name:** Cayuse SP Project # + Action + PI Name + Sponsor (i.e., A18-1234 Change in Cost Share Apple USDA)
- **Proposal Type:** Amendment, Administrative Action or Prior Approval
- **Budget:** Indicate any changes to cost sharing; Enter "0" in all other amount fields
- **Submission Notes:** Add a note explaining the reason for the amendment

## Activity: PI Change

Professor McGonagall in the Department of Mechanical and Aerospace Engineering, informs you she is about to go on sabbatical and in her absence, Co-PI Professor Plum in the same department **will assume the role of PI** on a research project funded by USDA.

Following links in the award agreement, you determine that **USDA's prior approval is required**.

Which action below best describes next steps?

A. Write the USDA Grant Manager to request prior approval.

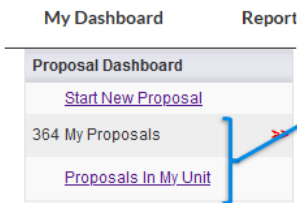
B. Send an email with details about the PI change to [awards@ucdavis](mailto:awards@ucdavis) that requests they submit a prior approval request to the USDA.

C. Route an IPF in Cayuse SP (Proposal Type: Prior Approval) that amends the original IPF.

Answer:

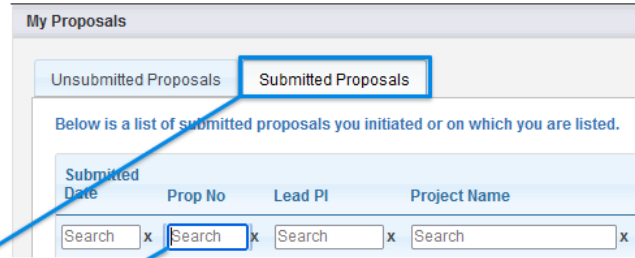
C. Route an IPF in Cayuse SP (Proposal Type: Prior Approval) that amends the original IPF.

## How to Copy an existing IPF (to create an amendment)



1. Go to **My Proposals** or **Proposals in My Unit**.

2. If **My Proposals**, select **Submitted Proposals**.



3. Search for the proposal (IPF) you wish to copy (i.e., 25-1234)

4. Select **Copy**. Note that some details won't copy, so you may need to reference the original proposal.

Submitted Date	Prop No	Lead PI	Project Name	Sponsor	Deadline	My Role	Status	Flags
Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x	Search x
05/24/2021	<a href="#">21-0124</a>	Perry King	Advance Account test case 052421	National Science Foundation (NSF)	05/25/2021	Owner	Funded	<a href="#">Copy</a>

## Activity: Admin Unit Change

Professor Xavier, whose faculty appointment is split between two academic units, informs you that a California Department of Food and Agriculture project being administered by the Department of Plant Sciences should in fact be administered by the Department of Molecular and Cellular Biology.

You determine that for such a change **prior approval is not required by the sponsor**.

Which action below best describes next steps?

- A. Write the California Department of Food and Agriculture Grant Manager to inform them of the change.
- B. Send an email with details about the admin unit change to [awards@ucdavis](mailto:awards@ucdavis).
- C. Route an IPF in Cayuse SP (Proposal Type: Amendment or Administrative Action) that amends the original IPF. Change the admin unit to the new unit and remove the original admin unit.
- D. Route an IPF in Cayuse SP (Proposal Type: Amendment or Administrative Action) that amends the original IPF. Change the admin unit to the new unit but keep the original admin unit in the routing as well.

**Answer:**

- D. Route an IPF in Cayuse SP (Proposal Type: Amendment or Administrative Action) that amends the original IPF. Change the admin unit to the new unit but keep the original admin unit in the routing as well.**

## Activity: Admin Unit Change (“Start New Proposal”)

**Q1: Admin Unit:** Which unit goes in this field, the original one or the new one?

- **The new unit**, who will be administering the project going forward.

**Q2:** Where might you add the old unit?

- **Affiliated Unit(s):** Add old unit.

**Q3: Short Project Name:** What info is best added in this field?

- The Cayuse SP proposal or project #, reason for IPF, PI’s last name, sponsor acronym.

**Proposal Type:** Either **Amendment** or **Administrative Action**.

**Submission Method:** Since not being submitted, **Email** is a good option.

**Sponsor Deadline:** Add date a week or two out.

The screenshot shows the 'General Proposal Information' form. Fields include: Admin Unit (Molecular & Cellular Bio), Primary Administrative Contact (Amie Admin), Proposal Owner (Amie Admin), Project No., Short Project Name (A24-0014 admin unit change Xavier CADFA), Project Start Date (03/01/2026), Project End Date (02/28/2031), Activity Code (01 Basic Research), Proposal Type (Administrative Action), Instrument Type (Grant), Submission Method (Email), Affiliated Unit(s) (030003 - Plant Sciences), and Sponsor Deadline (09/22/2025). There are also 'Clear' buttons and a time zone dropdown (Pacific).

## Activity: No Cost Extension

Professor Calculus wishes to request a No Cost Extension on a Focused Research Award funded by Sony.

You determine that for such a change **prior approval is required by the sponsor**.

Which action below best describes next steps?

A. Write the Sony Grant Manager to inform them of the change.

B. Send an email with details about the No Cost Extension to [awards@ucdavis](mailto:awards@ucdavis) that requests they submit a prior approval request to Sony.

C. Route an IPF in Cayuse SP (Proposal Type: Prior Approval) to have SPO submit a prior approval request to Sony.

**Answer:**

**B. Send an email with details about the No Cost Extension to [awards@ucdavis](mailto:awards@ucdavis) that requests they submit a prior approval request to Sony.**

## Progress Reports

PIs are responsible for determining, preparing & submitting required reports

Read sponsor guidelines to determine:

- Reports required
- Report deadlines
- Required format and submission methods

**Not submitting a report on time may cause a sponsor to withhold funding to the PI or even all future funding to the university.**

Ensure needed personnel have profiles in the appropriate report submission system (i.e., eRA Commons, Research.gov)

- Registration in new systems can take time. **Plan ahead.**
- Contact [SPOeRAHelp@ucdavis.edu](mailto:SPOeRAHelp@ucdavis.edu) for system access issues.

Some reports must be approved and/or submitted by SPO.

- If the sponsor's system requires you to select an analyst in SPO to approve/submit the progress report, you can select Denise Ehlen and use the email address [awards@ucdavis.edu](mailto:awards@ucdavis.edu).

Write [awards@ucdavis.edu](mailto:awards@ucdavis.edu) with any questions.

## NIH RPPR Submissions



- **Submit Research Performance Progress Reports (RPPRs) through eRA Commons:**
  - See Commons **Status** tab
    - Required report components will be indicated
- **The Project Director (PD)/PI or their delegate initiates and submits RPPRs**
  - For multi-PD/PI grants, this is the Contact PD/PI
- [NIH RPPR Instruction Guide](#)

### Routing to SO and/or AO

Usually, a PI can handle NIH RPPR processes without SPO.

If, however, they need to route it to a **Signing Official (SO)**, follow these steps:

- ✗ Do not leave the default analyst
- ✓ **Annual** and **Interim** reports:
  - Select your **SPO Award Analyst** as the Signing Official
- ✓ **Final** (closeout) report:

### TYPES OF REPORTS

- **Annual**
  - Scientific progress
  - Significant changes
  - Personnel
  - Plans for next budget period
- **Interim**
  - Renewal applications (Type 2)
  - If not funded, serves as the
  - Final report
  - If funded, serves as the Annual for the final year of the previous competitive segment
- **Final**
  - Part of closeout
  - Project outcomes
  - Plans for the next year

- Select closeout analyst **Alexa Rubio** ([closeouts@ucdavis.edu](mailto:closeouts@ucdavis.edu)) as the Signing Official

If you need to route the NIH RPPR to an **Administrative Official (AO)**, follow these steps:

- ✗ Do not leave the default analyst
- ✓ Select **Denise Ehlen** as the Administrative Official

[How do I find who my Signing Officials are at my institution?](#) (requires Kerberos login)

## NSF RPPR Submissions



Submit at [Research.gov](https://www.research.gov)

- Required report components are indicated

**Only PIs and co-PIs** can create, edit and submit project reports.

- **If late** with any of their progress reports, **NSF will not approve any post award transactions.**

SPO staff and administrative users with read-only access **can view** project reports.

View a sample [NSF Project Report Template](#) for a new award

[NSF RPPR Getting Started Guide](#)

[NSF RPPR Final Format Guide](#)

### TYPES OF REPORTS

- **Annual**
  - Standard and continuing grants, and cooperative agreements
  - Reviewed and approved by an NSF Program Officer
- **Interim**
  - Not required
  - Used to update progress at any time before award expires
- **Final**
  - Standard and continuing grants, cooperative agreements and fellowships
  - Reviewed and approved by an NSF Program Officer
- **Project Outcomes**
  - New and existing awards
  - Used to provide outcomes of NSF-funded research to public
  - Not reviewed or approved by NSF



Project Director/PI submits all required reports

Submit using [REReport](#)

- Be sure to read the reporting requirements based on your specific award.

[REReport Operational Reports User Guide](#)

### TYPES OF REPORTS

- **Project initiation**
  - Triggers award funding
  - Submit as soon as NOA is received
- **Progress**
  - Submit within 90 days AFTER the anniversary of the start date
  - Continuation awards must submit within 90 days BEFORE anniversary of the start date
- **Financial**
  - Two reports are required (REReport and SF-425 via email)
- **Final**
  - Submit within 90 days after the end of the project or at any time to terminate
- **Project Change**
  - Submit any time changes are needed

## Activity: Reports

Poll questions:

- True or false: NIH RPPRs are submitted in Cayuse 424.  
**False. They're submitted in eRA Commons.**
- What does RPPR stand for?  
**Research Performance Progress Report**
- Which agency requests a Project Initiation report?  
**USDA**
- Through which system do you submit NSF reports?  
**Research.gov**

## Award Closeout

**The closeout process** ensures (to sponsors) that the required work of the award, including all administrative actions, is complete.

### Requirements Vary by Sponsor

Closeouts usually include multiple reports.

### SPO Can Help

Though several UC Davis offices assist with closeout, contact the SPO Closeout Analyst at [closeouts@ucdavis.edu](mailto:closeouts@ucdavis.edu) for assistance.

## Common Closeout Requirements

### Final Technical Report

- Completed by **the PI**
- May require **SPO approval and/or submission**
- If the PI submits to sponsor, **submit evidence of submission to SPO**

### Final Financial Report

- Completed by **Contracts & Grants Accounting (CGA)**
- CGA will notify the PI 90 days before award end date
- Use the [CGA Award Closeout Checklist](#)

### Final Equipment Report

- Completed by **Equipment Management**
- Contact the Business Manager in your unit for guidance or assistance
- **Requires SPO submission** to the sponsor

### Final Patent/Invention Certification

- Completed by **PI or SPO** (with assistance from Technology Transfer, when needed)
- **Required by all Federal sponsors**
- **Required even if no inventions from the award**
- **Requires SPO submission** to the sponsor

## Wrap-Up and Resources

### Contact Us

#### Course Evaluation

please let us know how we did

[https://ucdavis.co1.qualtrics.com/jfe/form/SV\\_bDhPMTRtU74M2VM](https://ucdavis.co1.qualtrics.com/jfe/form/SV_bDhPMTRtU74M2VM)

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### Awards in Cayuse SP

Use of Cayuse for awards is covered in more detail in SPO's class: **Cayuse SP – Awards and Post Award Actions** ([Instructor-Led Training](#) or [eCourse](#))

The [Learn: Award Processing](#) page contains helpful resources on the Awards process.

- Written materials and short “how to...” videos.

### Common Acronyms

- **AMRC:** Anatomic Materials Review Committee
- **BAA:** Broad Agency Announcement
- **BUA:** Biological Use Approval
- **CGA:** Contracts and Grants Accounting
- **COI:** Conflict of Interest
- **eRA:** Electronic Research Administration
- **F&A:** Facilities & Administrative rates, aka indirect cost rates
- **FOA:** Funding Opportunity Announcement
- **IACUC:** Institutional Animal Care and Use Committee
- **ICR:** Indirect Cost Rate
- **IDC:** Indirect Costs
- **IPF:** Internal Processing Form (Cayuse SP “proposal”)
- **IP:** Intellectual Property
- **IRB:** Institutional Review Board (Human Subjects)
- **PHS:** Public Health Service
- **PI:** Principal Investigator
- **RCR:** Responsible Conduct of Research
- **RECO:** Research Ethics and Compliance Office
- **RFA:** Request for Applications
- **RFP:** Request for Proposals
- **RPPR:** Research Performance Progress Reports
- **SBIR:** Small Business Innovation Research
- **SPO:** Sponsored Programs Office
- **STTR:** Small Business Technology Transfer

### SPO Contacts & Links

- Proposals: [proposals@ucdavis.edu](mailto:proposals@ucdavis.edu)
- Awards: [awards@ucdavis.edu](mailto:awards@ucdavis.edu)
- Subawards: [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu)
- Closeouts: [closeouts@ucdavis.edu](mailto:closeouts@ucdavis.edu)

- eRA Help: [SPOeRAhelp@ucdavis.edu](mailto:SPOeRAhelp@ucdavis.edu)
- Cayuse Help Desk: [ORCayuseHelp@ucdavis.edu](mailto:ORCayuseHelp@ucdavis.edu)
- Training: [SPOTraining@ucdavis.edu](mailto:SPOTraining@ucdavis.edu)
- Negotiations: [OR-SPO-Negotiation-Team@ad3.ucdavis.edu](mailto:OR-SPO-Negotiation-Team@ad3.ucdavis.edu)
- [SPO Contact Us webpage](#)
- [Sponsored Programs Office \(SPO\)](#)
- [SPO Proposal and Award Learning Resources](#)

## SPO Office Hours & Training Opportunities

**SPO Office Hours:** Bring your questions and join our knowledgeable staff for guidance and training on preparing and submitting proposals for extramural funding.

- Drop in via [Zoom](#) the 1st Thursday of each month between 10 and 10:30am

All SPO training opportunities at <https://research.ucdavis.edu/research-support/proposals/spo-proposal/spo-training/training-ops/>

## Research Administration Forum

Forum for department research administrators to:

### Hear updates

Sponsored Programs Office (SPO)  
Contracts and Grants Accounting (CGA)  
Research Ethics and Compliance Office (RECO)

### Ask questions

IRB Administration  
IACUC  
Technology Transfer

### Provide feedback

Join via [Zoom](#)

4th Wednesday of each month ( Jan – Oct)

8:30 am

Access videos of previous forums and related materials on the [Forum](#) webpage

## Office of Research Listservs

### Contracts & Grants (OVCR-cg) listserv

- The primary mechanism for informing the campus community of the latest research administration news.
- Click this [link](#) to subscribe (UC Davis emails)

### SPO Cayuse info listserv

- Cayuse SP and 424 info and announcements, as well as training opportunities from the Sponsored Programs office.
- Click this [link](#) to subscribe (UC Davis emails)

[Other Office of Research Listservs](#)

## UC Learning Center classes

SPO offers classes individually or as a series:

- [Research Administration Certificate Series \(RACS\)](#)
- [eRA Train the Trainer Certificate Series](#)
- [Individual classes](#) (under “Grants and Sponsored Programs”)

## Thank you!

Follow SPO on [X](#) and [YouTube](#)!