Introductions

• We are....
  • Terry Duperron, eRA Analyst
  • Christine Larsen, Proposal Analyst
  • Kassie Obelleiro, Training Officer

• Who are you?
  • Name and department
  • Have you used an eRA system before? If so, which one(s)?
Learning Objectives

After today’s class you should:

• Understand the **general rules** of using eRA systems
• Know **what eRA systems** are available
• Understand **when to use an eRA system and which system** to use

Today’s Handouts

• Today’s Presentation
• Lab Exercises
• eRA Systems Matrix
• Cayuse SP Quick Start Guide
• Cayuse 424: Setting Up Your Professional Profile
Class Outline

- Sponsored Programs Overview
- eRA Overview
- Sponsor eRA Systems
- Hands-on Lab
  - Cayuse SP
  - Cayuse 424
- Resources

Sponsored Programs Overview
Sponsored Programs Office (SPO) Functions

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

Source: Policy #PPM 230-01 and PPM 230-02
https://ucdavispolicy.ellucid.com/documents/view/131

Overview of the Funding Process at UC Davis
eRA Overview

eRA: What is it?

- eRA: Electronic Research Administration
- Electronic Submission of
  - Proposals and other application materials
  - Post-Award Materials such as Progress Reports
General Rules of eRA

- Proposals must be:
  - Accessible by SPO
  - Endorsed by SPO

- Points of Contact
  - Program Contact: Principal Investigator
  - Admin Contact: SPO Award Analyst or awards@ucdavis.edu
  - Financial Contact: James Ringo, Contracts and Grants Accounting

- Ensure a contact person for the proposal (PI or department admin) is available during SPO review
- Follow agency and program-specific guidelines
- May need to register online several days before submission

eRA Roles

- Principal Investigator
- Co-Principal Investigator
- Co-Investigator
- Other Authorized User (OAU)
- Independent Researcher
- Reviewer
- Sponsored Project Office (SPO)
- Authorized Organizational Representative (AOR): SPO only
- Financial Administrator
eRA Systems

- Method for submitting Proposals and Advance Account Requests for UC Davis routing and approval
  - Principal Investigator
  - Internal Processing Form (IPF) Approver(s) – Department and Dean's Office(s), if applicable
  - Sponsored Programs(SPO)

- Access
  - Awards
  - (outgoing) Subawards

- Unit Role Managers
  - Grant Access and Roles
cayuse SP

- **Features**
  - Online Routing and Approval
  - Varying levels of Access
    - Edit
    - Read-only
  - Real-time Status Updates
    - Outstanding Approvals/Authorizations

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cayuse 424

- [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com)
  - Select Cayuse 424
  - Professional Profile
  - Federal Proposal Submission
  - **Features**
    - Error checking
    - PDF of entire application (including attachments) before submission
    - Auto-loading of stored Principal Investigator (PI) biosketches and profiles
    - Robust budgeting tool
    - Auto-population of institutional information
    - Sharing and delegation of proposal access
  - SPO or Principal Investigator submits to Sponsor
NSF Research.gov/FastLane

  - Starting **April 30, 2018** – Submit and prepare full, research non-collaborative proposals at Research.gov or FastLane

- NSF Proposal Actions
  - Roles
    - PI/Co-PI
    - Authorized Other User (AOR)
      - Department admins, etc.
    - Need NSF Proposal ID and PIN from PI
  - Users must have an NSF ID and be affiliated with UC Davis
  - Register for account at [https://www.research.gov/accountmgmt/#/registration](https://www.research.gov/accountmgmt/#/registration)
  - Send email to spoerahelp@ucdavis.edu with ID. SPO will grant access.
  - NSF account lookup: [https://www.fastlane.nsf.gov/researchadmin/nsfidLookupRead.do](https://www.fastlane.nsf.gov/researchadmin/nsfidLookupRead.do)
  - SPO submits to sponsor
Updated the registration steps.
Terrence P Duperron, 4/27/2018
NSF Research.gov

- [Research.gov](#)
  - Select Prepare new or existing proposals and login
  - Select Prepare Proposal
- [Goals](#)
  - Modernize and improve the user-interface
  - Reduce administrative burden
  - Improve data quality and metrics
  - Improve availability, security and flexibility

NSF Research.gov/FastLane

- [Features](#)
  - Initiate full, research non-collaborative proposals
  - Add PIs, Co-PIs, Senior Personnel and AOU's
  - Upload required proposal documents
  - Create budgets
  - Check compliance
  - Enable SPO/AOR access
NIH eRA Commons

- [https://era.nih.gov/](https://era.nih.gov/)
- NIH Proposal Actions
  - Proposal Submission
  - Just-in-Time (JIT) Submissions
- NIH Award Actions
  - Progress Reports
  - PRAM
  - IDR
  - NCE
- Roles
  - PD/PI – Must have an eRA Commons account at time of proposal
  - Co-Investigator
  - Graduate Student
  - Post-doc
  - Admin

Anyone with effort must have an eRA Commons account at time of award
- Contact SPOeRAHelp@ucdavis.edu to register
- Must be affiliated with UC Davis

Submission to sponsor
- SPO submits proposals, including Supplements and JITs
- SPO submits post-award actions
  - No Cost Extensions
  - JIT/PRAM/inclusion data reports (IPRs)
- PI submits Research Progress and Performance Reports (RPPRs)
NIH eRA Commons

eRA provides critical IT infrastructure to manage over $30 billion in research and non-research grants awarded annually by NIH and other grantor agencies in support of the collective mission of improving human health. eRA systems, including eRA Commons, ASSIST and IRMRC II modules, support the full grants life cycle and are used by applicants and grantees worldwide as well as federal staff at the NIH, AHRQ, the CDC, FDA, SAMHSA, and VA.

New to eRA Commons?
Application Submission System & Interface for Submission Tracking (ASSIST) sponsored by the National Institutes of Health

- [https://public.era.nih.gov/assist/](https://public.era.nih.gov/assist/)
- Submit to NIH and other Public Health Service Agencies:
  - Applications
  - Post-Award Amendments
- Features:
  - Grant Access to Others
  - Preview Application
  - Error Checking
- Great for center-type grants (U’s and P’s)
- Only SPO can add personnel
  - Need ASSIST ID and eRA Commons ID
Other eRA Systems

• NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES):
  https://nspires.nasaprs.com/external/
  • View Solicitations
  • Submit Proposals
  • Review Proposals
  • Individual Registration Required:
    https://nspires.nasaprs.com/external/aboutRegistration.do
  • SPO submits to sponsor

• Financial Assistance and Applications Submittal Tool (FAAST):
  http://faast.waterboards.ca.gov/
  • Various State agency funding
  • Principal Investigator self-registration
  • Principal Investigator submits to sponsor
  • SPO does not have access – Upload all documents in Cayuse SP

• ezFedGrants (eFG) Grants and Agreements System:
  • Register early – Give yourself at least one week!!
  • SPO submits to sponsor
Other eRA Systems

- Proposal Central: [https://proposalcentral.altum.com/](https://proposalcentral.altum.com/)
  - Each User must register: [https://proposalcentral.altum.com/register.asp](https://proposalcentral.altum.com/register.asp)
  - Grant Access to your proposal
    - SPO does not have automatic access
    - PI submits to sponsor
    - Requires SPO endorsement
- And more!!

Hands-on Lab
Cayuse SP
Cayuse 424
Cayuse SP
Hands-on Lab – Refer to handout

Cayuse SP
Discussion/Tips
Getting Started

• Review the *Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers*

• Ensure your Unit is set-up
  • View Research Contacts from [https://ucdavis.cayuse424.com](https://ucdavis.cayuse424.com)

• Have the complete proposal package ready and submitted to SPO at least 5 days before the sponsor deadline
  • Proposal (IPF) packages include (at a minimum):
    • Cover page
    • Project budget and budget justification
    • Scope of Work (may submit a draft and provide the final before submission to sponsor)

• Complete all applicable fields

Start a New Proposal

• Complete each page/tab
  • A green checkmark will appear when tab is complete

• The only not required tab is Submission Notes
Returning a Proposal for Correction

• The following items will result in the proposal being rejected and re-routed for approval
  • Budget Cost Share, Incorrectly Applied (match/in-kind)
  • Effort Changed from Direct Charge to Cost-Share
  • Key-personnel added to the project after routing to SPO
  • Subawards added to the budget after routing to SPO
  • Incomplete IPF/Proposal
    • Complete all IPF Proposal tabs and fields, even when no red *
• The proposal will return to Unsubmitted status
  • The Department Admin and PI can make the needed revisions
• The IPF Approvers will need to Re-Authorize the Proposal
• Then it will re-route to SPO for review

Check the Status

• Proposals
• Awards
• (outgoing) Subawards
# Cayuse SP Statuses

<table>
<thead>
<tr>
<th>Item</th>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Unsubmitted</td>
<td>Not submitted for routing</td>
</tr>
<tr>
<td></td>
<td>Dept Approval in Process</td>
<td>Pending IPF approvals</td>
</tr>
<tr>
<td></td>
<td>Admin Office in Process</td>
<td>Received by SPO but not assigned</td>
</tr>
<tr>
<td></td>
<td>PS Review</td>
<td>Under review by Proposals Analyst</td>
</tr>
<tr>
<td></td>
<td>CS Review</td>
<td>Under review by Awards Analyst</td>
</tr>
<tr>
<td></td>
<td>Proposal Approved</td>
<td>Proposal approved for submission to sponsor</td>
</tr>
<tr>
<td></td>
<td>Proposal Reopened</td>
<td>Proposal reopened for department to edit</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Item</th>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>Submitted to Sponsor</td>
<td>Proposal has been submitted to the sponsor</td>
</tr>
<tr>
<td>Withdrawn</td>
<td></td>
<td>Proposal withdrawn by PI</td>
</tr>
<tr>
<td>Not Funded</td>
<td></td>
<td>Proposal not funded by the sponsor</td>
</tr>
<tr>
<td>JIT Request Received</td>
<td></td>
<td>SPO or PI received a JIT request from the sponsor</td>
</tr>
<tr>
<td>JIT Request Approved</td>
<td></td>
<td>SPO has approved the JIT information provided by the PI/department</td>
</tr>
<tr>
<td>JIT Request Unsubmitted</td>
<td></td>
<td>The PI decided not to submit JIT information</td>
</tr>
<tr>
<td>Funded</td>
<td></td>
<td>Notice of Award received by the sponsor (This does not mean the award has been executed)</td>
</tr>
</tbody>
</table>
Cayuse SP Statuses

<table>
<thead>
<tr>
<th>Item</th>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awards</td>
<td>Active</td>
<td>The award has been fully executed and routed to Contracts and Grants Accounting</td>
</tr>
<tr>
<td></td>
<td>Pending</td>
<td>The award is not fully executed</td>
</tr>
<tr>
<td>Subawards</td>
<td>(Awaiting) Admin Dept</td>
<td>Action is required by the PI/department</td>
</tr>
<tr>
<td></td>
<td>(Awaiting) Award Mgr/Analyst</td>
<td>Action is required by the Award Analyst</td>
</tr>
<tr>
<td></td>
<td>(Awaiting) Subcontractor</td>
<td>Action is required by the Subcontractor/Subawardee</td>
</tr>
<tr>
<td></td>
<td>Fully Executed</td>
<td>The Subaward/Subcontract is fully executed and has been sent to CGA</td>
</tr>
</tbody>
</table>

Proposal Status

- Select My Proposals (if you started the proposal or are the PI) or Proposals in My Unit
- If in My Proposals:
  - Select the Submitted Proposals tab
  - The Proposal status is displayed on the far right
- To view details:
  - Select the Proposal Number
  - Select the Notes tab (paper icon) for status notes
  - Select the Attachments tab (paperclip icon) to view the attached documents
- The Proposal Analyst is listed as Proposal Specialist in the top section
Award Status

- Select My Awards (if you started the proposal or are the PI) or Awards in My Unit
- The Award status is displayed on the far right
- To view details:
  - Select the Award Number
  - Select the Notes tab (paper icon) for status notes
  - Select the Attachments tab (paperclip icon) to view the attached documents
- To find the Award analyst:
  - Select the Proposal tab
  - Select the Proposal Number
  - The Award Analyst is listed as Contract Specialist in the top section

Subaward Status

- Select My Awards (if you started the proposal or are the PI) or Awards in My Unit
- Select Active Projects
- Select the associated Project Number
- Select the Subcontracts tab
- To view details:
  - Select the Subaward Number
  - Select the Notes tab for status notes
  - Select the Attachment tab (paperclip icon) to view the attached documents
Request an Advance Account

- Must include:
  - Reason for request
  - Department Account Number for the alternate source of funding (SPO is not responsible if funding does not come through)
  - Evidence of a firm commitment by sponsoring agency
- Open the Proposal/IPF
- Upload Documents in the Proposal Attachments
- Select Advance Accounts
  - Select Add Advance Account Request
  - Complete Form
- Will Route for Approval
  - Admin Unit Pre-Award Spending Approver
  - Dean Pre-Award Spending Approver if SVM
  - SPO

Cayuse 424
Refer to handout
Resources

Online Resources

• Sponsored Programs Training webpage: https://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/
  • Upcoming Training Sessions
  • SDPS Class Materials
  • Research Administration Forum Materials
  • eRA Resources
• SPARK Website: https://spark.ucdavis.edu/
  • Cayuse SP and 424 User Guides and Help Videos
    • Cayuse SP Interactive How-to Guide
    • Cayuse SP and 424 FAQs
Contact Us

- eRA: SPOeRAHelp@ucdavis.edu
- Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
- Training: SPOTraining@ucdavis.edu
- Your Analyst: http://research.ucdavis.edu/contact-us/sponsored-programs/
- Cayuse Listserv: https://lists.ucdavis.edu/sympa/subscribe/spark_info

Monthly Research Administration Forum

- The fourth Wednesday of each month from 8:30-10am (January – October)
- Located at Sponsored Programs office
- 1850 Research Park Drive, Davis.
- Reminders are sent out via the OVCR-cg listserv (visit our website to sign up for this listserv)

**TIP:** CGA, IRB, RCI and other units provide important updates at the Forum too!
Other Classes Offered by SPO

- Sponsored Programs Essentials
- Proposal Preparation and Submission
- Writing a Proposal Budget: Concepts
- Writing a Proposal Budget: Lab
- Understanding the Award Process

Visit the SDPS website for a list of dates and times and to sign up. [http://sdps.ucdavis.edu/](http://sdps.ucdavis.edu/)

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