12/4/2019

Proposal Preparation and Submission

Toolkit

Kassie Obelleiro
SPONSORED PROGRAMS, OFFICE OF RESEARCH
UNIVERSITY OF CALIFORNIA, DAVIS
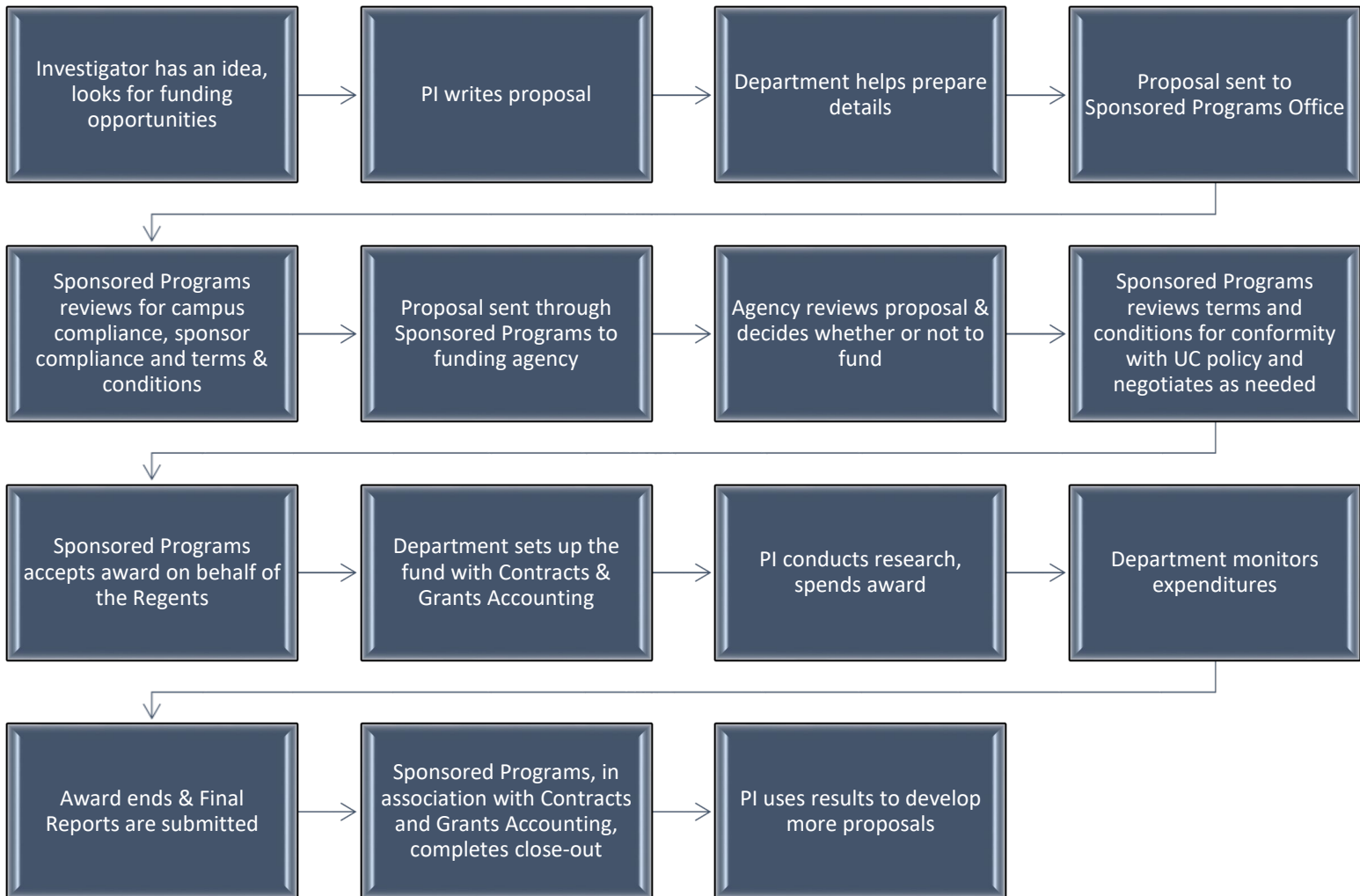
Table of Contents

Funding Process at UC Davis

Funding Process Overview

```
┌─────────────────────┐     ┌─────────────────────┐     ┌─────────────────────┐     ┌─────────────────────┐
│ Investigator has an │ ──► │                     │ ──► │ Department helps    │ ──► │ Proposal sent to    │
│ idea, looks for     │     │ PI writes proposal  │     │ prepare details     │     │ Sponsored Programs  │
│ funding             │     │                     │     │                     │     │ Office              │
│ opportunities       │     │                     │     │                     │     │                     │
└─────────────────────┘     └─────────────────────┘     └─────────────────────┘     └─────────────────────┘
```

| Sponsored Programs reviews for campus compliance, sponsor compliance and terms & conditions | Proposal sent through Sponsored Programs to funding agency | Agency reviews proposal & decides whether or not to fund | Sponsored Programs reviews terms and conditions for conformity with UC policy and negotiates as needed |

| Sponsored Programs accepts award on behalf of the Regents | Department sets up the fund with Contracts & Grants Accounting | PI conducts research, spends award | Department monitors expenditures |

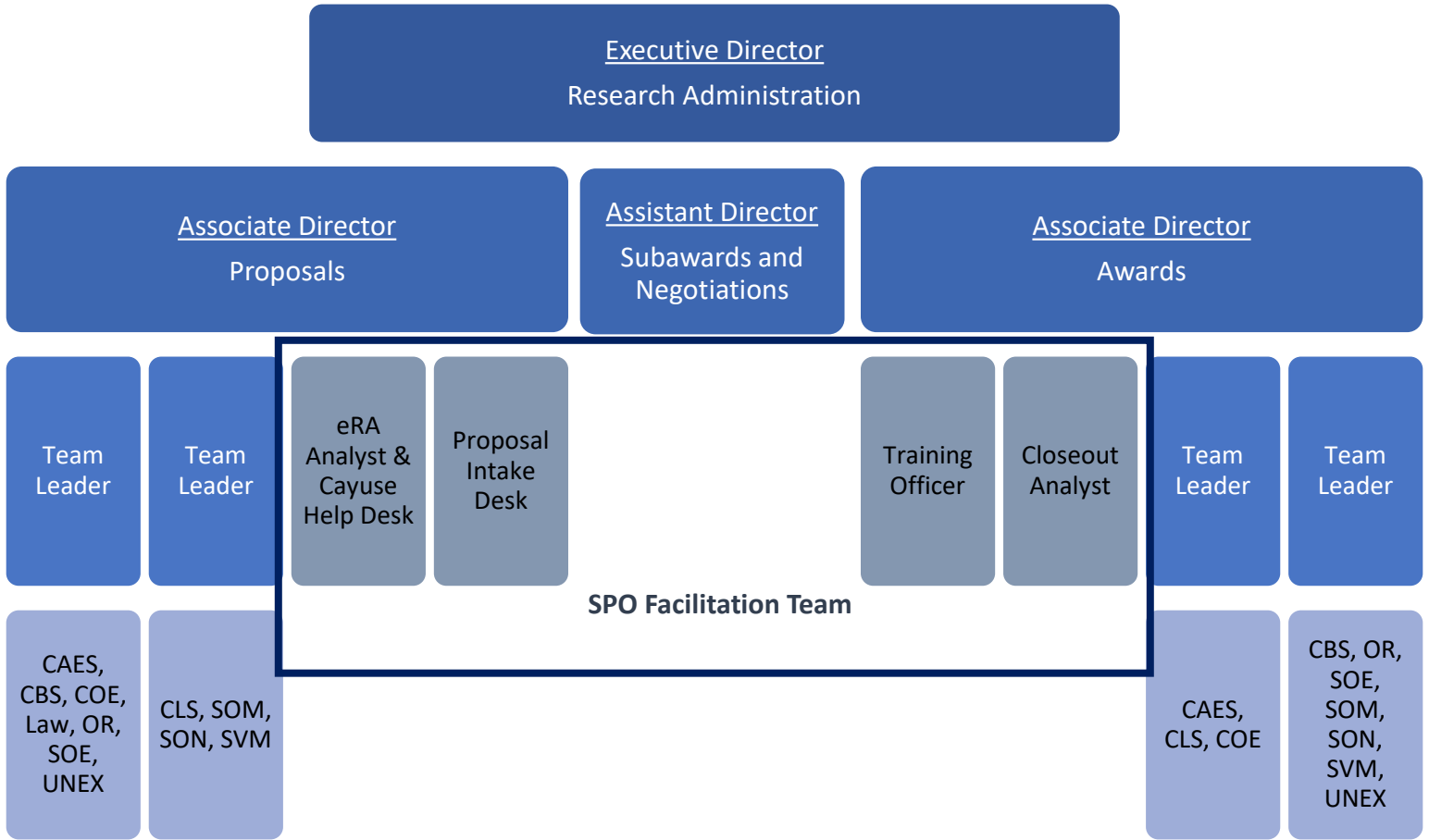| Award ends & Final Reports are submitted | Sponsored Programs, in association with Contracts and Grants Accounting, completes close-out | PI uses results to develop more proposals |

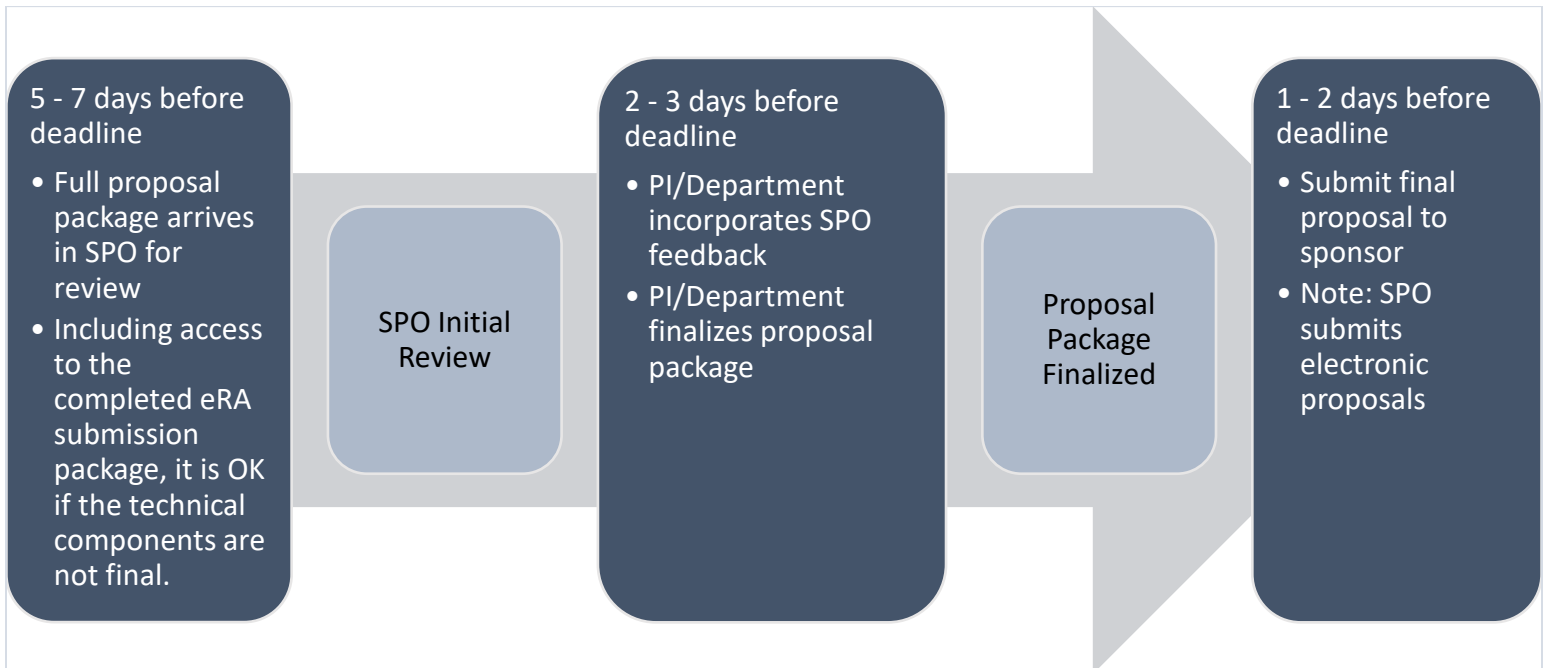## Sponsored Programs Functions

The Sponsored Programs Office (SPO) is responsible for:

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

Sponsored Programs Structure

Executive Director
Research Administration

Associate Director
Proposals

Assistant Director
Subawards and Negotiations

Associate Director
Awards

| Team Leader | Team Leader | eRA Analyst & Cayuse Help Desk | Proposal Intake Desk | Training Officer | Closeout Analyst | Team Leader | Team Leader |

SPO Facilitation Team

| CAES, CBS, COE, Law, OR, SOE, UNEX | CLS, SOM, SON, SVM | | | | | CAES, CLS, COE | CBS, OR, SOE, SOM, SON, SVM, UNEX |

Proposal Process Timeline

5 - 7 days before deadline
- Full proposal package arrives in SPO for review
- Including access to the completed eRA submission package, it is OK if the technical components are not final.

SPO Initial Review

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

Proposal Package Finalized

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

Proposal Types

The proposal or application process may involve one or multiple phases that require submission of proposal materials. A sponsor may require submission of a letter of intent, preliminary proposal and/or full proposal/application.

Letters of Intent

Letters of Intent (LOIs) provide basic applicant and application information and are often used by sponsors to manage the review process. LOIs must be submitted to SPO if:

- Sponsor requires **institutional approval**; or
- Sponsor requires **agreement to terms and condition** at LOI stage; or
- **Budget** is required.

Pre-Proposals

Preliminary proposals or pre-proposals provide applicant and application information, project summary and other documents as requested by the sponsor. Sponsors often use pre-proposals to manage the review process or invite for full application. Similar to an LOI, submit a pre-proposal to SPO if the sponsor requires:

- **Institutional approval**; or
- **Agreement to terms and condition** at pre-proposal stage; or
- **Budget.**

Full Proposals

Full proposals are the full application to the sponsor. It may be the only or the last phase of the proposal submission process. Always submit full proposals to SPO.

Types of Research and Other Sponsored Activity

The type of activity being performed in the project determines the Facilities and Administration (F&A) rate that should be applied to the budget. Identify the type of activity by reading the scope of work or asking the Principal Investigator (PI) if it is unclear. UC Davis' federal negotiated F&A rates are based on the following Activity Types.

Basic Research

Basic research aims to increase knowledge. The primary goal of the investigator is a fuller knowledge or understanding of the subject under study, rather than a clear or direct practical application. The end product is usually a report, although experimental hardware may be involved.

> Example: Exploring alternative means of administering medicine other than by oral consumption. Discovering that medicine can be absorbed through the skin.

Applied Research

Applied research activity normally occurs after a period of basic research. It attempts to determine and expand the potentialities of new scientific discoveries or improvements in technology, materials, processes, methods, devices and technologies, and attempts to advance the state of the art.

> Example: Clinical trials are developed to administer nicotine into the human body via patches.

Developmental Research

Developmental research is concerned with the systematic use of scientific and technical knowledge in the design, development, testing or evaluation of potential new products or services.

> Example: Patches are developed and determinations made regarding types of medicines that can be absorbed via the skin, in what volume, etc.

Training

Training is the instruction of University students and/or employees in research or in the techniques or practices pertinent to a particular academic discipline. Training support is generally awarded in the form of individual fellowships (with stipends) or as institutional grants to conduct an entire training program.

> Example: A fellowship given to a medical student to specialize in clinical research.

Public Service

Public service funding supports organizing, establishing, providing or enhancing the delivery of services to both University and/or non-University audiences.

Examples: Musical or dramatic productions, tutorial services to potential university students or the rehabilitation of drug users.

Other Sponsored Activities

Other sponsored activities are services/activities that the University provides or makes available which do not fit within the categories of research, training, or public service.

Examples: Support to organize conferences or symposia or to create or maintain research infrastructure, such as database to equip a newly built laboratory.

Award Types/Funding Mechanisms

Sponsors utilize various funding mechanisms, also referred to as award types. Correctly determining the award type can benefit budget preparation and other proposal components. Read the program and sponsor guidelines to determine the award type. Common award types include grants, contracts, cooperative agreements, gifts, Subawards and industry-sponsored clinical trials.

Grants

A grant is a type of financial assistance awarded to conduct research or other programs as specified in an approved proposal. Grants contains the following elements:

- The statement of work allows the PI significant freedom to change the emphasis within the general area of work as the project progresses.
- There is no substantial involvement anticipated between the sponsor and recipient during performance of the activity.
- Deliverables are minimal, consisting mainly of reports.
- Benefits of the project are to accrue to the nation and the world.

Grants often use the cost-reimbursement method of payment, thus any unexpended balance at the completion of the project is usually returned to the sponsor.

Contracts

A contract is an agreement to acquire services or perform research or other services that primarily benefit the sponsor. For an award to be considered a contract, it normally must contain all of the following elements:

- Detailed financial and legal requirements included with a specific statement of work.
- A specific set of deliverables and/or reports to the sponsor.
- Separate accounting procedures.
- Legally binding contract clauses.

Cost-Reimbursement

Under cost-reimbursement contracts, the sponsor agrees to give UC Davis actual dollars in an amount exactly equal to what UC Davis spends on allowable costs. If there is a limit to the contract amount, UC Davis must notify the sponsor if it appears all funds will be spent prior to completion of the work. The sponsor may decide to add more money to allow completion of the approved scope of work. Because the work is usually associated with the PI's "reasonable efforts", it poses the **least risk** to the University and, therefore, is the most desirable method of contracting. Unexpended balances are returned to the sponsor.

Fixed Price/Rate

Under a fixed price/rate contract, UC Davis agrees to provide a service or deliver a product at a fixed payment amount regardless of the actual costs. If the project costs more than what was proposed and agreed to, UC Davis absorbs the additional costs. On rare occasions, the University may be able to renegotiate the costs. Fixed price/rate agreements place the University at a greater risk. Any unexpended balance at the conclusion of a fixed price/rate contract remains with the University.

Cooperative Agreements

A cooperative agreement is similar to a grant, except that the sponsor has significant involvement in the project. The sponsor's staff may actively participate in the programmatic design and, once awarded, will continue to actively participate or have substantial involvement in project activities.

Gifts

A gift is defined as a unilateral transfer of money, property or other assets by a donor to the recipient for the recipient's ownership and use. The donor makes no claims on the recipient in connection with the gift. Gifts are processed and managed through the UC Davis Office of University Development and should **not** be submitted to SPO for review.

Gifts normally have the following characteristics:

- Significant freedom for the PI to change the emphasis within a general area of work.
- No deliverables are involved.
- Separate accounting procedures are not required.
- The donor has no audit rights.

Subawards

Subaward in this context refers to when UC Davis is a subrecipient on another institution's proposal. For example, the University of Southern California is preparing a proposal in response to a funding opportunity from the NIH and has invited UC Davis to participate in a substantive way. At UC Davis, incoming subawards are treated the same as other incoming awards. Incoming subawards are classified as either a UC Multiple Campus Awards (MCAs) or subawards from non-UC campuses. A MCA is a form of subaward in that one UC campus or division transfers funds to another. The fund assignment for UC intercampus awards are based on the prime sponsor. UC campuses are reimbursed monthly via Intercampus Transfer of Funds (TOF).

UC Davis must prepare and submit a proposal to the organization (Prime Applicant) submitting the prime proposal. This proposal must be routed through SPO with internal forms and include, at a minimum:

- UC Davis' scope of work,
- UC Davis' budget and budget Justification,
- Other sponsor documents as required.

SPO will also need a copy of the prime sponsor guidelines as well as any communication from the proposing organization. The final proposal package will include a letter of institutional support or subrecipient commitment form from UC Davis.

Clinical Trial Contracts with Private Pharmaceutical Companies

A clinical trial combines research with the testing of practical applications in biomedicine. Clinical Trials are usually funded by pharmaceutical companies seeking approval of new pharmaceutical products or treatments by the Food and Drug Administration (FDA) and are usually fixed-rate agreements.

Human subject clinical trial contracts with private pharmaceutical companies are handled by UC Davis Health Systems Clinical Trials Contracts. All other clinical trials are handled by SPO in the Office of Research.

Sponsor Types

Each sponsor type is subject to different policies and regulations that impact the format and content of a proposal. UC Davis commonly receives funding from federal, State of California and local government, non-profit and for-profit sponsors.

Federal

All federal agencies must comply with the requirements of the U.S. Office of Management and Budget (OMB) in developing the grant/contract policies incorporated in the awards issued to institutions such as UC Davis. The OMB Circular that most directly impacts grant proposal budget preparation is OMB Uniform Guidance. While each federal sponsor must adhere to OMB circulars, OMB permits each sponsor to implement the requirements that best suit their needs, which may result in differences from sponsor to sponsor. Also, a single sponsor may have multiple variations of a policy to cover specific grant programs, so it is important to read **all** of the sponsor specific guidelines and policies for proposal budget and/or re-budgeting limitations and prepare your budget accordingly.

When applying to a federal sponsor, note the following:

- Use UC Davis' federally-negotiated F&A rate unless a non-standard rate is explicitly stated in the program announcement or other sponsor guidelines.
- Budget items must be reasonable, allowable and allocable.
- Most Federal proposals are submitted electronically via Cayuse 424.
- Legally binding contract clauses may be included in a Request for Proposals (RFP) and must be reviewed prior to submission. Contact SPO (proposals@ucdavis.edu) early regarding a federal contract proposal or other proposal with terms and conditions listed in the guidelines.

State and Local Government

State of California and local government proposals usually result in contracts. Often the program officer at the State or government agency and PI have discussions independent of SPO, and an informal or draft budget is submitted without SPO review and approval. That budget, often incorporated into the contract, may not be fully costed, so SPO may need to renegotiate the budget to secure full costs, including the full F&A. If unsuccessful, the difference in F&A must be taken from the direct costs. For this reason, SPO recommends the PI's discussion with a sponsor's program officer be limited to programmatic issues, and that draft budgets be submitted for SPO review **before** submission to the sponsor.

When applying to a State or local government agency, note the following:

- State and local government contract terms are restrictive and require prior approval for the smallest changes in the project or budget. Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.
- Unless a special exception is requested from UCOP for the particular agency/program, the full applicable rate for the project being conducted must be requested. Not all State programs are eligible to receive a waiver from UCOP - even if the program guidelines limit indirect costs.

Non-Profit

While many non-profit sponsors reflect the general principles set out in federal guidelines, they are not restricted by the OMB circulars. Many non-profit sponsors implement their own policies, creating a wide range of regulatory and procedural compliance requirements. Charges not allowable on federal proposals may be allowable on foundation proposals. However, the reverse may also be true. Closely, read all of their program and sponsor guidelines.

Non-profit sponsors often limit or even prohibit the F&A (or indirect) cost rate applied. UC Davis **may, but not always,** accept reduced F&A rates based on the non-profit, philanthropic status as documented in the organization's written policy. This exception is processed by a SPO analyst and reviewed by the University of California Office of the President (UCOP).

For-Profit

Most awards from for-profit sponsors are issued in the form of a contract. Sponsored Programs will review and negotiate the terms and conditions in consultation with the PI prior to submission to assure that terms are acceptable and comply with Federal and State laws and research policies, as well as University policies.

When applying to a for-profit entity, note the following:

- Contract terms are restrictive and often require prior approval for changes in the project or budget. Care should be taken in preparing the budget to minimize the need for post-award re-budgeting.
- F&A rates for proposals with for-profit sponsors should use the appropriate UC Davis Federally Negotiated Rate.
- Sponsor may limit the purchase of equipment or maintain title to equipment purchased after project completion.
- Confidentiality agreements that require the recipient of sponsor information to keep that information in confidence may be required.
- Cost-sharing is generally not allowed; therefore, all associated faculty and staff effort should be charged to for-profit projects.

F&A Costs

UC Davis' negotiated F&A rates should be used unless otherwise indicated by the sponsor. In addition to the F&A rate, there are multiple indirect cost bases that are used. An indirect cost base is the amount of direct costs to which indirects must be applied.

Common indirect cost bases used as UC Davis are:

- *Modified Total Direct Costs (MTDC):* Certain costs such as, equipment and subawards to other UC campuses, are not subject to indirects and are excluded from the F&A/indirect cost base. **All negotiated rates at UC Davis are applied on a MTDC base**, and the specific excluded costs are listed in the federally negotiated rate agreement. Non-profit sponsors also often require an MTDC base, but may define MTDC differently than the federal government. For example, a private foundation may limit indirect costs to 10% of all direct costs excluding personnel.
- *Total Direct Costs (TDC):* Total Direct Costs are calculated the same as MTDC. However, there are no direct cost exclusions other than subawards to other UC campuses. Because a TDC base differs from the base defined in our federally negotiated rate agreement, it should only be used if the sponsor specifically requires it.
- *Total Costs (TC):* As with TDC, only use TC as an indirect cost base if the sponsor specifically requires it or is silent on the base type (e.g., "10% indirect costs."). When using a TC base, F&A is applied to the total project costs (direct + indirect.) Note that subawards to other UC campuses are always excluded from the F&A base regardless of the base type.

Getting Started

Sponsor and Program Guidelines

Most sponsors provide a written call for proposals that will serve as a roadmap for the proposal submission. Calls for proposals are used by both public and private sponsors, and may be called a variety of different things, including:

- Program Announcements (PA)
- Broad Agency Announcements (BAA)
- Request for Applications (RFA)
- Request for Proposals (RFP)

Identify and carefully read all of the relevant sponsor and program guidelines. Additionally, sign-up for email alerts from the sponsor if they are available, and check for updates in the call for proposals regularly as sponsors sometimes change program guidelines after they have been issued.

The guidelines will assist you in determining important information, such as:

- Proposal submission deadlines and method
- Institutional and PI eligibility, including whether there are any limits to the number of proposals a PI or institution may submit
- Funding limitations including maximum dollars that can be requested, F&A restrictions, and any other funding details
- Application forms and formatting
- Required proposal components

SPO recommends reviewing guidelines two or three times, using the *Call for Proposals Checklist*. This checklist helps identify important information in a call for proposals and is also helpful when reviewing a sponsor's general guidelines. Use highlighting, sticky notes and flags to tag instructions or guidance of importance.

Take the proposal guidelines seriously! **Sponsors may return proposals without review if all the guidelines are not followed.** Also, provide Sponsored Programs with all guidelines when submitting the proposal in Cayuse SP.

Common Sponsor Guidelines

Although, all sponsor guidelines must be read each time a proposal is being prepared, below are some common sponsor guidelines to look for during your review:

1. PI Eligibility
    - Sponsors may limit PI eligibility based on their career stage, such as offering an opportunity specifically to early or established investigators.
2. Limited Submissions
    - Sponsors may limit the number of applications an institution may submit. In these cases, internal pre-proposals must be submitted to the Limited Submissions Program in the Office of Research before submitting a proposal to SPO. Once an investigator is selected through the Limited Submissions Program, they will proceed with routing the application as usual, submitting through Cayuse SP to Sponsored Programs for review.
3. Submission Method
    - Sponsors will indicate the method for submitting applications, including if electronic submission is allowed or required and which electronic Research Administration system(s) (eRA) should be used.
    - Cayuse 424 is required for all Grants.gov/Workspace submissions ***except:***
        i. NSF FastLane/Research.gov should be used for NSF
        ii. ASSIST may be used for NIH
        iii. NASA NSPIRES should be used for NASA
    - Other sites may be used as mandated by the RFA/sponsor guidelines (e.g., EERE for some DOE submissions)

Tips and Tricks

- Always check the requirements/guidelines.
    - Even if you have submitted a proposal to the specific program and or sponsor before.
    - Sponsors frequently update their guidelines.
- Read all guidelines carefully.
    - Review two to three times.
    - Including the links to other guidelines/instructions.
- Email proposals@ucdavis.edu to clarify complexities.
- Create a timeline.
- Create a checklist.
- Subscribe to Sponsor listservs.

Preparing and Submitting the Proposal to Sponsored Programs

Determine Institution and Principal Investigator Eligibility

Check the sponsor and programs guidelines to determine if the institution (UC Davis) and the PI are eligible to apply to the funding program.

Institutional Eligibility

In some cases, sponsors place restrictions on what types of institutions are eligible to apply for funding or how many proposals an eligible institution may submit. UC Davis is eligible to apply for funding if the guidelines state that Academic Institutions and/or 501(c)(3) institutions may apply. If the sponsor limits the number of proposals/applications an institution may submit, the Principal Investigator must first apply to the UC Davis Limited Submissions Program. After being selected by the Limited Submissions Program as the campus applicant, the Principal Investigator must submit his/her proposal to SPO for review before submitting to the sponsor.

Principal Investigator Eligibility

UC policy (PPM 230-01 and PPM 230-02) states that only qualified members of the Academic Senate and appointees in other eligible title groups listed in the UC Academic Senate policy may submit proposals without the need for an exception. View the UC Davis Academic Personnel Attributes Chart for assistance in determining if a person has PI status by policy or needs an exception. In addition, a sponsor may have principal investigator eligibility requirements that need to be met, such as requiring the principal investigator to be a Young Investigator. Sponsor-specific principal investigator eligibility requirements can typically be found in the funding announcement. If the principal investigator is eligible to apply based on the sponsor requirements **but does not** have PI status at UC Davis, complete and upload Form 105 as Proposal Attachment before submitting the Cayuse SP Proposal/Internal Processing Form (IPF).

Coordinate the Proposal

Although PIs are ultimately responsible for the accuracy and quality of the content of their proposal, departmental contract ad grant administrators assist in organizing and creating the required information and documents.

1. **Gather the necessary Information**, such as the RFP and all other guidelines from the sponsor.
2. **Get organized** for the proposal preparation process by:
   a. Coordinating tasks with the PI. Use the *New Proposal Questions* checklist to help get started.
   b. Determining the relevant sponsor and university requirements, such as the required proposal components and institutional approvals.
   c. Establishing deadlines for the necessary components.
      i. Consider creating a checklist or timeline to track who is responsible for and the status of the necessary proposal components.
3. **Prepare and collect** all proposal components.
   a. Remember that consistency is critical. Do not re-use components, such as budgets and biosketches, from previous proposals.
   b. If the proposal includes (outgoing) subawards, collect the necessary subaward components before submitting the proposal to SPO.
4. **Review the draft proposal** before submitting it for SPO review.
   a. Ensure all required documents and other information are included. Use the Proposal Preparation Checklist.
   b. Review for formatting, page limits, etc. as SPO does not provide that level of review.
   c. Compare the budget forms to the budget justification to ensure they match
5. Once SPO receives your proposal, the **coordination process with** our office begins
   a. The assigned SPO proposal analyst will review the proposal and provide feedback.
   b. The PI and department administrator review and incorporate SPO feedback.
   c. Once SPO has approved the proposal for submission and the PI provides concurrence that the proposal is final, SPO generally submits the proposal to the sponsor.

Standard Proposal Components

The program and sponsor guidelines will indicate the required proposal components and formatting. **Pay special attention to all sponsor guidelines**, as failure to do so can result in rejection of the proposal. Common proposal components that may be required by a sponsor include a cover page, abstract, project description, budget and budget justification, biosketches, references, facilities and resources, current and pending support, appendices, representations and certifications, subaward materials if outgoing subawards are included and Financial Conflicts of Interest (COI) items.

Cover Page

The cover page may also be called a face page, proposal title page, signature page or possibly another name, depending on the sponsor. Most granting agencies have standard forms or formats that should be used. If a standard form is not required, a title or face page should contain enough information to clearly identify the proposed project. Sponsored Programs has an optional cover page to use if one is not provided by the sponsor.

Abstract

The abstract is also referred to as a project summary. The abstract is an overview or summary of the project. Many granting agencies give specific instructions for the format and content of the abstract. Generally, it should be able to stand alone as a description of the project. The abstract should describe what will be done, how it will be done, the anticipated results and this significance of the project.

Project Description

The project description, research strategy or narrative is often referred to as the "body" of the proposal. Most agencies have specific guidelines or instructions for preparing and submitting this section of the proposal. These guidelines often detail the requested content and required formatting such as number of pages, margin size, and font type.

Budget and Justification

The budget should reflect the PI's best estimate of the actual cost of conducting the scope of work. This includes the materials and supplies as well as indirect costs. Most agencies have specific budget forms or formats. The project description and the budget should be consistent with each other - that is, funds for activities described in the narrative should be requested in the budget.

Biosketches (CV)

Some proposal guidelines require a specialized format for biographical sketches of key personnel and other important collaborators who will be working on the project. Some agencies impose a page limitation for each biographical sketch.

References

It is recommended that the PI list full references for any citations made in the body of the proposal. Some agency guidelines require specific formats.

Facilities and Resources

This section describes equipment, labs or other resources that are already available to the PI for the project. It should explain why the physical facilities, resources and equipment described make this an advantageous location for the project.

Current and Pending Support

Many sponsors require, and closely review, a current listing of pending proposals and funded awards for all key personnel at time of proposal or time of award. It is important that the PI's time does not exceed available research effort or a maximum of 100% effort. Federal sponsors are also concerned with the sources of funding, so PIs should ensure all sources are detailed.

Appendices

It is important to determine if a sponsor allows appendices to be submitted with the proposal. Some agencies (the National Science Foundation and National Institutes of Health, for example) restrict the submission of appendices, or have specific guidelines for inclusion with a proposal. Some agencies restrict the types and/or numbers of items that may be included.

Representations and Certifications

Some federal sponsors require that applicants provide assurances or sign certifications of compliance with a variety of Federal Policies whether or not they are applicable to the project. Examples include regulations regarding civil rights, lobbying, drug-free workplace, debarment and suspension and procurement integrity. Certifications are also required for COI and, under the Pro Children act of 1994, verification that smoking is prohibited in buildings where services are provided to children younger than 18. All assurances must be certified by an authorized individual, such as a Sponsored Programs analyst or associate director.

Standard Subaward Materials

If UC Davis is submitting a proposal that includes a subaward to another institution, the proposal package submitted for SPO review must include the following for each subaward:

1. Appropriate **Subrecipient Commitment Form**
   a. Multi-Campus Commitment Form if the subrecipient is another UC campus.
   b. Federal Demonstration Partnership (FDP) Subrecipient Pilot – Supplemental Project Information Form if the subrecipient is included among the list of institutions participating in the FDP Expanded Clearinghouse.
   c. Subrecipient Commitment Form if the subrecipient is a non-UC and non-FDP Member subaward institution.
2. Subrecipient's statement of work (SOW), including a clear and detailed description of the work to be performed, the proposed timelines and deliverables.
3. Subrecipient's Budget and Budget Justification, including the subrecipient's direct and indirect costs, calculated in accordance with sponsor guidelines using the subrecipient's approved F&A and fringe benefit rates, and verifying any committed cost sharing.
4. If the subrecipient does not have a current federally negotiated F&A rate in place they have the following options:
   a. Use a de minimis F&A rate of 10% MTDC,
   b. Negotiate a F&A rate with their Cognizant Federal Agency (must be approved at time of proposal to use at time of proposal) or
   c. Elect not to charge F&A.
5. If the proposal is for a Federal contract (not a grant or cooperative agreement):
   a. Sole Source Justification - Completion of this form is mandatory when proposing subcontract(s) under a federal contract for sponsored activity and the subcontract is being issued without seeking multiple bids OR if subaward was not included in the original proposal submitted to sponsor under a grant or cooperative agreement. See Uniform Guidance Section 200.324 or the Federal Acquisition Regulation 6.302-1 for additional guidance.
   b. Any additional elements that may be required by UCD's sponsor for inclusion in the proposal.

View the *Handbook for Submitting a Proposal with Subawards* for detailed instructions on preparing and submitting the proposal to SPO in Cayuse SP and to the sponsor in Cayuse 424.

Financial Conflict of Interest (COI) Requirements

Some sponsors, such as federal agencies, require disclosures of financial conflicts of interest. The Research Compliance and Integrity (RCI) within the Office of Research is responsible for managing the COI process at UC Davis.

All financial COI disclosures are filed online in the e-COI system.

1. Form 800 is required at the proposal stage for proposal to government, non-PHS and some other sponsors if human subjects are involved.
2. PHS COI and Online Training are required for awards from Public Health Science (PHS) agencies and some other sponsors. This is verified at the award stage.
3. Form 700-U is required for awards from non-government/private sponsors, such as private foundations, industry and for-profit universities. This form should be submitted at the just-in-time and award stages or before requesting and Advance Account (pre-award spending).

Other Internal Proposals Documents

Other internal documents/forms may be required. Example of other documents are:

1. Letter of Support for cost-share commitments. View guidance for submitting proposals that involve cost sharing for the specific documentation requirements.
2. From 105 to request exception to PI status.
3. Informed Participation/Special Individual Agreement if there are terms and conditions that would generally not be acceptable to UC Davis (or the Regents). Work with your PI to facilitate signatures when requested by Sponsored Programs. Request this form from your SPO analyst if needed.
4. Protocol Certification form may be requested by the assigned SPO analyst if the proposal involves human or vertebrate animals.

Develop the Budget

Creating the project budget is generally the most time consuming and complicated part of the proposal preparation process for a department administrator. Work with the PI to find out what needs to be included in the budget: personnel, equipment, travel, supplies, fees, subcontracts, etc. Once you are given some rough parameters, generate a first draft of the budget and forward it to the PI for review. Review the *Preparing a Proposal Budget Toolkit* for detailed guidance.

Keep the following compliance points in mind when you're completing the budget:

- Charging Practices
  - o Regardless of whether the funding is from a federal, other government, or private sponsor, you must adhere to the applicable Charging Practices.
  - o Are the costs on the budget allowable and allocable? OMB Uniform Guidance provides guidance on both the allowability and allocability of expense items on grants.
  - o For more details about charging practices, consider taking the Costing Principles class training offered by Extramural Funds Accounting.
- Indirect Costs
  - o Apply the applicable federally negotiated indirect cost rate, UC negotiated state rate, or work with Sponsored Programs to determine if requesting a waiver from the University of California Office of the President (UCOP) is appropriate.
  - o It is the policy of the University to recover the full costs of doing research (UC Davis PPM 230-03). To request an exception to the negotiated rates, a request must be sent by the Office of Research, Sponsored Programs to UCOP for review. UCOP has specific guidelines for requesting waivers, and not all projects qualify for consideration. For example, projects funded by for-profit sponsors do not qualify under most circumstances.

Budget Justification

Once the budget is final, generate the budget justification based on the budget figures. Generate a first draft and forward it to the PI for review and approval. This may take several reiterations. Consider completing our two-part proposal budget series: the online class *Preparing a Proposal Budget: Concepts* and the in-person class *Preparing a Proposal Budget: Lab* and/or budget training sessions. Visit the Training page for more information about these courses and training sessions.

Submitting to Sponsored Programs

Prepare the Proposal Package for Submission

Review our Proposal Preparation page for more help with preparing and submitting proposal packages to SPO for review in Cayuse SP. Note that if you are submitting to a federal sponsor, the proposal/application should be submitted to the sponsor in Cayuse 424, FastLane (NSF), NSPIRES (NASA), or ASSIST (NIH).

The proposal package should include:

1. Proposal cover page
2. Proposal guidelines
3. Proposal scope of work
4. Budget spreadsheet
5. Budget justification, if required by the sponsor
6. Other applicable internal documents
   a. Cost Share Commitment letters/emails: Review the guidance for submitting proposals/IPFs that involve cost sharing document to determine the required documentation for each type of cost-sharing.
   b. Exception to PI Eligibility
7. Electronic application package, if applicable
   a. Follow agency guidelines for electronic submission and allow ample time for the registration process if needed. New registrations can take several days.
   b. Remember that even if the proposal submission system will allow a PI or department staff member to submit the proposal to the sponsor, UC policy still requires that the proposal be processed through SPO prior to submission to a sponsor.
   c. Ensure there is at least one contact person available prior to the submission to address any last minute submission issues.
8. Additional sponsor-specific items, if applicable
9. Subaward information, if applicable
   a. The subcontracting institution will need to provide a scope of work, budget, budget justification, commitment form and any other required documents. Refer to our Subawards webpage for additional guidance.
10. Compliance documents, if applicable
    a. Some sponsors require that project personnel complete a financial disclosure form. The disclosures may be filed online.
       i. **Form 800** must be completed by all senior personnel on proposals to the National Science Foundation, projects where the sponsor has adopted federal financial disclosure regulations and non-PHS projects with human subjects. It is required to be completed at the proposal stage per federal guidelines. Failure to complete at time of proposal could result in withdrawal of the proposal or delay award processing.
       ii. **Form PHS** is required to be completed by all investigators on Public Health Service (PHS) projects, including those funded by NIH and CDC. Other non-federal sponsors such as the American Cancer Society have adopted its use as well, as indicated in program guidelines. A complete list sponsors requiring Form PHS is available on the Office of Research website.
       iii. Find details about the disclosure requirements by visiting the Conflicts of Interest in Research page. This page provides guidance about which forms must be completed for your project, as well as links to policies, regulations and forms. For further details about financial disclosure forms, you should contact the Research Compliance and Integrity unit.

Use the Proposal Preparation Checklist to ensure the required items for SPO review are included.

Submit the Proposal to SPO

For proposals to receive a full review by Sponsored Programs, they must be **received 5-7 business days** prior to requested return/submission date. The Lead Principal Investigator and co-Principal Investigators must certify and the required Internal Processing Form (IPF) Approvers must authorize the proposal before it will be assigned to a Sponsored Programs analyst for review.

1. Complete the Internal Processing Form (IPF)/Proposal in Cayuse SP.
   - Complete all **applicable** fields in Cayuse SP; even if they are not indicated as a required field.
2. Upload the Proposal Attachments in Cayuse SP and give your SPO analyst access to the proposal in the sponsor's submission system, if applicable. Use the Proposal Preparation Checklist to ensure the required items for SPO review are included.
3. At a minimum, SPO needs access to the following for the proposal to be assigned for review:
   - Proposal Scope of Work
   - Budget Spreadsheet
   - Budget Justification, if required by the sponsor
4. Once the proposal package is ready for approval by the department chair and/or dean's office and review by SPO, submit the proposal for routing.
   - If the proposal involves the School of Medicine or the College of Veterinary Medicine, the Dean will need to approve your proposal before it can be reviewed by Sponsored Programs. Please keep this in mind when considering submission deadlines.

Sponsored Programs Proposal Review

The assigned SPO analyst will review the proposal package to ensure adherence to campus and sponsor requirements. Additionally, the analyst will also review any terms and conditions that must be agreed to at the proposal stage to ensure they are acceptable to the University and to the PI.

Campus Requirements

To determine adherence to campus requirements, SPO reviews the following. Required items are indicated with an asterisk (*). The other items on this list are recommended at the time of proposal submission.

1. IPF Certifications and Authorizations*
    a. The Lead PI and co-PIs must certify the proposal.
    b. The unit head of the administering unit/department and all involved senior personnel listed on the Investigators/Research Team tab must authorize the proposal.
    c. The deans of the Schools of Medicine or Veterinary Medicine must also authorize the proposal If it involves senior personnel from their school.
2. Budget Information*
    a. The F&A rate and base should be correct and accurately applied.
    b. The calculations should be accurate, including benefits and Graduate student fees and nonresident tuition.
    c. The costs should be allowable and allocable.
    d. The budget and budget justification should match.
    e. The subaward/subcontract costs should be accurate.
    f. Cost-sharing documentation, if applicable.
3. Scope of Work*
    a. The activity type determines the F&A rate to apply to the budget.
    b. The final scope of work* must be received before the proposal is submitted to the sponsor.
4. Subaward/Subcontractor Items*, if applicable
    a. The subrecipient(s) is/are identified on the Subcontractor tab of the IPF.
    b. All necessary items must be provided.

Sponsor Compliance

SPO reviews the following to determine sponsor compliance. Required items are indicated with an asterisk.

1. Eligibility*
    a. The PI and institution must be eligible to apply for funding under the program. If the PI is not eligible to undertake sponsor research, Form 105-A is required.
    b. If the program is a Limited Submission, the SPO analyst will ensure the PI was selected through the Limited Submission Process.
2. Sponsor and Program Administrative Guidelines*
    a. Required Proposal Components per sponsor guidelines.
    b. Draft Scope of Work* must be submitted before submitting the IPF for routing and approval.
    c. Note that SPO does not review formatting, the table of contents, page margins, font or pitch, line spacing, characters per inch, page limitation, spelling or grammar.
3. Regulatory Compliance, if applicable, as entered on the IPF
    a. IRB Approval
    b. IACUC approval
    c. BUA approval, if rDNA or pathogenic agents
    d. Stem Cell Use approval

4. Financial COI Items (Note that Form 700-U is not required at the proposal phase)
   a. Form 800, if applicable*
   b. PHS COI and Online Training*

Terms and Conditions

In order for SPO to determine if the sponsor requires terms and conditions be agreed to at the time of proposal, SPO will review the sponsor and program administrative guidelines* as follows:

1. Terms and conditions must be acceptable to the UC Regents and to the PI.
2. If there are any potentially problematic terms, SPO may request Informed Participation. *

Next Steps

Once the proposal/Cayuse SP Internal Processing Form (IPF) is submitted for routing, check the routing and approval status in Cayuse SP.

- View the Approvals tab of the IPF to see who has/has not certified and authorize the IPF.
- Find the assigned SPO analyst. The SPO analyst is listed in the Specialists field. The first person listed is the assigned SPO proposal analyst. The second person listed, if applicable, is the assigned SPO award analyst.
- View the Notes tab for notes from SPO regarding outstanding certifications or routing issues

Sponsored Programs will review the proposal package and notify the PI and department administrator when the proposal is approved for submission. SPO will then work with the department and PI to submit to the sponsor or provide the PI a package for PI submission as applicable.

Please ensure that there is at least one contact person available (e.g., department administrator or PI) prior to the sponsor deadline. There are often small errors, such as page limits exceeded or missing information, which will cause a proposal to be automatically rejected by a sponsor's proposal submission system. In these cases, proposal analysts in SPO will work quickly to alert the contact person, so the issue can be resolved.

Resources

Policy Links

- UC Davis PPM 230-01: https://ucdavispolicy.ellucid.com/documents/view/129
- UC Davis PPM 230-02: https://ucdavispolicy.ellucid.com/documents/view/131
- UCOP RAO-95-01: http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/RAO-95-01

Websites and Online Systems

- Cayuse SP and 424: https://ucdavis.cayuse424.com
- eCOI System: https://or-forms.ucdavis.edu/
- Grants Facilitation Unit, School of Medicine: https://www.ucdmc.ucdavis.edu/medresearch/grant_facilitation.html
- Grant Writing Resources: https://research.ucdavis.edu/resources/grantwriting/
- Interdisciplinary Research Support unit, Office of Research: https://research.ucdavis.edu/offices/irs/
- Office of Research Listservs: http://research.ucdavis.edu/resources/listserv-subscriptions/
- Office of Research Website: http://research.ucdavis.edu
- Research Administrators Forum: https://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/
- Sponsored Programs Research Administration Kiosk (SPARK) Website: http://spark.ucdavis.edu/training/
- Sponsored Programs Website: https://research.ucdavis.edu/proposals-grants-contracts/spo/
- SPO BAASICS (training sessions): https://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/
- SDPS Classes Offered by Sponsored Programs: https://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/
- U.S. Office of Management and Budget (OMB): http://www.whitehouse.gov/omb/
- UC Davis Limited Submissions Program: https://research.ucdavis.edu/proposals-grants-contracts/funding-opportunities/limited-submission/

Documents, Toolkits and Handbooks

- Call for Proposals Checklist: http://research.ucdavis.edu/wp-content/uploads/03-Call-for-Proposals-Checklist.pdf
- Cayuse SP Handbook for Department Contract & Grant Staff, Principal Investigators and Approvers: http://spark.ucdavis.edu/wp-content/uploads/End-users-v13.pdf
- Cayuse SP Handbook for Role Managers: http://spark.ucdavis.edu/wp-content/uploads/Handbook-Role-Managers-022618.pdf
- eRA Matrix: https://research.ucdavis.edu/wp-content/uploads/eRA-Systems-Matrix.pdf
- Guide to Research Compliance: http://research.ucdavis.edu/wp-content/uploads/UCDavis_Guide_to_Research_Compliance_-20132.pdf
- Handbook for Submitting a Proposal with Subawards: http://spark.ucdavis.edu/training/handbook-for-submitting-a-proposal-with-subawards_may2018/
- New Proposal Checklist: http://research.ucdavis.edu/wp-content/uploads/02-New-Proposal-Checklist.pdf
- Preparing a Proposal Budget Toolkit: https://research.ucdavis.edu/wp-content/uploads/Preparing-a-Proposal-Budget-Toolkit.pdf

Sponsored Programs Forms

- Cayuse SP Role Delegation Authorization Form: https://research.ucdavis.edu/wp-content/uploads/Cayuse-SP-Role-Delegation-Authorization-Form_Final.pdf
- Form 105 - Request for Exception to Undertake Sponsored Research/Other Sponsored Activity: https://research.ucdavis.edu/wp-content/uploads/Form-105_2018.pdf
- Protocol Certification form: https://research.ucdavis.edu/wp-content/uploads/Protocol_Certification_Form_101818.pdf