

Cayuse SP – UC Davis

Handbook for Department Industry-Funded Clinical Trial Staff, Principal Investigators and Approvers

Table of Contents

| | |
|--|----|
| Getting Started..... | 3 |
| Submitting to the UC Davis Health Contracts Clinical Trials Contracts Office | 3 |
| Proposals/Internal Processing Forms | 3 |
| Quick Reference | 3 |
| Cayuse SP Auto-generated Numbers..... | 5 |
| Requires Re-approval by IPF Approvers..... | 5 |
| Necessary Information and Documents | 7 |
| Necessary Information..... | 7 |
| Necessary Documents..... | 8 |
| Creating and Submitting Internal Processing Forms..... | 9 |
| Editing an Internal Processing Form that has been Submitted for Routing | 27 |
| Does Not Require Re-approval by IPF Approvers | 27 |
| Certifying/Signing an Internal Processing Form..... | 30 |
| Checking the Status of a Routed | 33 |
| Internal Processing Form Status Definitions..... | 33 |
| For Internal Processing Forms You Initiated | 33 |
| For Internal Processing Form Initiated by Someone Else | 35 |
| Awards | 36 |
| Quick Reference | 36 |
| Submitting Award Modifications and Supplemental IPFs..... | 37 |
| Checking the Status of an Award | 39 |
| Award Status Definitions..... | 39 |
| For Key Personnel and Others Listed on the Investigators/Research Team tab | 39 |
| For Users with Award Data Access..... | 40 |
| Subawards/Subcontracts | 41 |
| Quick Reference | 41 |
| Checking the Status of a Subaward/Subcontract | 41 |
| Subaward/Subcontract Status Definitions..... | 41 |
| For Key Personnel and Others Listed on the Investigators/Research Team Tab..... | 42 |
| For Users with Award Data Access..... | 44 |
| Resources | 45 |

Appendix 46

Getting Started

- Use Mozilla Firefox for best results.
- Login to: <https://ucdavis.cayuse424.com/sp/> with your Kerberos ID and Password.

Submitting to the UC Davis Health Contracts Clinical Trials Contracts Office

New Internal Processing Forms (IPFs) must be submitted to the UC Davis Health Contracts Clinical Trials Contracts Office (“Clinical Trials Contracts Office”) via Cayuse SP when approvals/authorizations are needed from the department chair(s) and/or dean's office(s). For all new agreements to be processed by the Clinical Trials Contracts Office, you will select “New – UC Davis Health” from the “Proposal Type” dropdown.

For all modifications to agreements, see the separate submission instructions included in this handbook.

Confidentiality Agreements are to be e-mailed to the Clinical Trials Contracts Office analyst with an editable agreement and e-mail chain that identifies the external contact for negotiation.

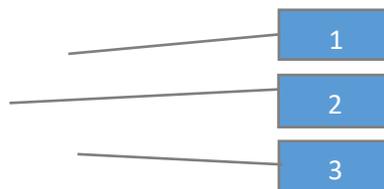
*Please note that industry funded Clinical Trials do not have a “Proposal” process that are reviewed in advance of the clinical trial award. For the purposes of industry funded clinical trials, the term “proposal” as used below and in Cayuse, means the required initial documentation and setup of the Clinical Trial contract request.

Proposals/Internal Processing Forms

A new Internal Processing Form (IPF) is required for all proposals submitted to the Clinical Trials Contracts Office. A proposal for an industry-funded clinical trial in Cayuse SP is the equivalent of what is commonly known as the Clinical Trial Packet. Follow the [general instructions](#) below when creating a new Internal Processing Form unless otherwise noted.

Quick Reference

1. [Start a Proposal.](#)
2. Complete or view the status of a [Proposal you started](#) or on which you have an interest or are key personnel.
3. [View Proposals in your unit](#) that were initiated by someone else ([requires appropriate access/permissions](#)).



| |
|--|
| Proposal Dashboard |
| Start New Proposal |
| My Proposals |
| Proposals In My Unit |
| Advance Account Inbox |
| Award Dashboard |
| My Awards |
| Awards In My Unit |
| Certifications/Approvals |
| 2 PI Certification Inbox |
| Unit Approval Inbox |

Cayuse SP Auto-generated Numbers

Cayuse SP creates identification numbers for each Project, Proposal, Award and Subcontract/Subaward.

1. Project Number
 - a. Created by the Clinical Trials Contracts Office. Your Clinical Trials Contracts analyst will assign each Proposal and Subcontract/Subaward (if applicable) to a Project. Awards are created from Proposals and assigned to a Project.
2. Proposal Number
 - a. Created by Cayuse SP when the Proposal is created.
3. Award Number
 - a. Created by Cayuse SP when the Award is added to the Project. The Award Number is the Project Number plus three digits at the end that indicate the number of Awards in that Project. The first Award is the Project Number-“001”, the second is the “Project Number-002” and so forth.
4. Subcontract/Subaward Number
 - a. Created by Cayuse SP when the Subcontract/Subaward is added to the Project. The Subcontract/Subaward Number is the Project Number plus three digits at the end that indicate the number of Subcontracts/Subawards in that Project. The first Subcontract/Subaward is the Project Number-“S001”, the second is the “Project Number-S002” and so forth.

Requires Re-approval by IPF Approvers

1. Find the Internal Processing Form (IPF) from My Proposals or Proposals in My Unit.
 - a. Select the Proposal Number

>> My Proposals

Unsubmitted Proposals Submitted Proposals

Below is a list of submitted proposals you initiated or on which you are listed.

| Submitted Date | Prop No | Lead PI | Project Name | Sponsor | Deadline | My Role | Status |
|----------------|-------------------------|------------------|----------------------|--|------------|---------|---|
| 11/07/2017 | 18-1140 | Kassie Obelleiro | 120117 Obelleiro NIH | NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) | 12/01/2017 | Owner | Dept Approval In Process Copy |

2. Go to the Notes tab.
 - a. Enter Note in the text box that you request this proposal/IPF be returned to Unsubmitted status.
 - b. Select Add Note.

>> Proposal Routing Status

Proposal No: [18-1140](#)  Submission Deadline: 12/01/2017

Project No: Proposal Specialist:

Lead Investigator: [Kassie Obelleiro](#) Contract Specialist:

Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) Account Manager:

Project Title: Actual title of the project

Approvals | Compliance | Status History | Advance Account | Awards |  

Please return this proposal to Unsubmitted status so the department may revise. | 



No notes have been added.

- c. The added Note will display under Note.

>> Proposal Routing Status

Proposal No: [18-1140](#)  Submission Deadline: 12/01/2017

Project No: Proposal Specialist:

Lead Investigator: [Kassie Obelleiro](#) Contract Specialist:

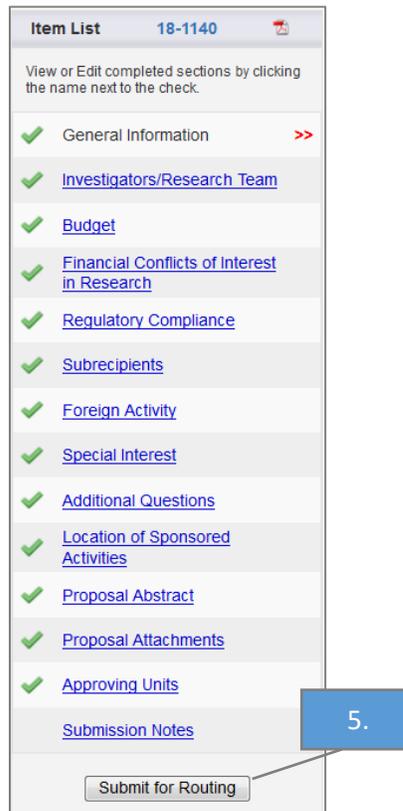
Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) Account Manager:

Project Title: Actual title of the project

Approvals | Compliance | Status History | Advance Account | Awards |  

| Note | Recorded By | Date | Note Area | Category | Access |
|---|-------------|------------|-----------|----------|-----------------------------|
| Please return this proposal to Unsubmitted status so the department ma... | Amie Admin | 11/09/2017 | Proposal | General | Admin Office All Parties |

3. Email ORCayuseHelp@ucdavis.edu and request the proposal/IPF be returned to Unsubmitted status, indicating you will need to acquire re-approval by the IPF Approvers.
4. Once the proposal/IPF has been moved back to Unsubmitted status, make necessary edits.
5. Select Submit for Routing.



Necessary Information and Documents

Necessary Information

1. Sponsor Name (*Note: Use the code for Miscellaneous Sponsors if the Sponsor is not included in the list*)
2. Academic Department or Administrative Unit administering the project
3. Primary Administrative Contact
4. Short Project Name (Protocol Number)
5. Project period (start and end dates listed on the UBT)
6. Activity Code: Select from the following Activity Codes only when submitting an industry-funded clinical trial.

| Activity Code | Definition |
|--|--|
| 06 Other Service | Service activity. |
| 07 Clinical Trial – Investigator Initiated | Self-explanatory. |
| 08 Clinical Trial – Sponsor Initiated | Self-explanatory. |
| 14 Other | Anything that does not fit Activity Codes 01-13. |

Table 2: Activity Codes

7. Type of proposal: New – UC Davis Health for all industry-funded clinical trials.

8. Instrument Type: Select from the following Instrument Types only when submitting an industry-funded clinical trial.

| Instrument Type | Definition |
|------------------------|---|
| Contract | A procurement relationship that is a legally binding contract with detailed financial and legal requirements, a specific work statement, and/or a specific set of deliverables and/or reports due to the sponsor. |
| Non Monetary Agreement | An agreement that does not include money. |

Table 3: Instrument Types – the Instrument Types above are the only type to be used for agreements processed by the Clinical Trials Contracts Office.

9. Sponsor deadline: Select the current date
10. Project Title: Replace the auto-populated short title with the entire protocol name after the protocol number in (i.e., “PROTOCOL NUMBER– COMPLETE PROTOCOL TITLE”)F&A Rate(s) (determined by activity)
11. Are animal or human subjects involved? If so, is there IACUC/IRB protocol?
12. Location (i.e.; Building, laboratory, etc.) where the activities will occur
13. If there are outgoing subawards: Contact information for the Subawardees

Necessary Documents

The following documents are needed to submit an IPF to the Clinical Trials Contracts Office:

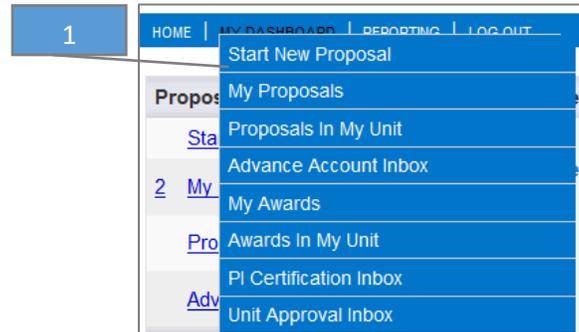
1. Sponsor budget
2. Internal budget (UBT)
3. Protocol
4. Editable Draft Agreement (as a Word document)
5. If there are subawards: Budget, subrecipient monitoring form and subrecipient commitment form
6. Appropriate compliance forms (Form 800 and 700U), filed online (*Note: The [eCOI Online Disclosure System](https://or-forms.ucdavis.edu/) may be found at: <https://or-forms.ucdavis.edu/>*)
7. Complete Principal Investigator Exception form, if applicable
8. Complete Exception to Policy for Clinical Study Contracts (<https://www.ucdmc.ucdavis.edu/healthsystemcontracts/clinicaltrialscontracts/docs/exceptiontoPolicyforIntellectualProperty.pdf>)

NOTE: All clinical trial agreements also require that the Principal Investigator’s COIR Training is up to date, as required by the UC Office of the President.

Creating and Submitting Internal Processing Forms

(Note: All Proposal/IPF tabs must be complete, including the Budget section.)

1. Go to Start New Proposal under My Dashboard. (Note: Do not copy previous IPFs.)



2. General information: Complete the fields indicated below.

- a. Sponsor: If the sponsor is not listed, select Miscellaneous Sponsor, type the Sponsor Name in Submission Notes (last step before routing) and follow Step 4 below.
- b. Admin Unit: Unit that will administer the grant.
- c. Short Project Name: Protocol Number.
- d. Select the hyperlink to select the appropriate Activity Code (see Table 2 above).
- e. Proposal Type: New – UC Davis Health.
- f. Instrument Type: Select Contract or Non-Monetary Agreement.
- g. Select Submission Deadline: Current Date
- h. Title of Project: Protocol Number – Protocol Name.
- i. **Do not Pair your Proposal/IPF.**
- j. Select Save.

A screenshot of a web form titled 'Sponsor Information' and 'General Proposal Information'. The form contains several fields and sections. Callouts 2.a through 2.j point to specific fields: 2.a points to the 'Sponsor' field (Mallinckrodt Pharmaceuticals); 2.b points to the 'Prime Funding Agency' field; 2.c points to the 'Admin Unit' dropdown (OVCR - Sponsored Programs); 2.d points to the 'Short Project Name' field (Protocol Number); 2.e points to the 'Activity Code' dropdown (08 Clinical Trial - Sponsor Initiated); 2.f points to the 'Instrument Type' dropdown (Contract); 2.g points to the 'Sponsor Deadline' field (05/10/2018); 2.h points to the 'Title of Project' field (Protocol Number - Protocol Name); 2.i points to the 'Save' button; and 2.j points to the 'Un-Pair with 424 Proposal' button. The form also includes a 'Select Submission Method' dropdown, a 'Click Here to Choose Activity Code' link, and a 'Save' button at the bottom right.

3. After saving the General Information page, tabs will appear to the left.
 - a. Complete each section. (Note: **A green checkmark** will display when each section is complete.)

3.a.

| Item List | | 17-0190 | |
|---|---|---------|--|
| View or Edit completed sections by clicking the name next to the check. | | | |
| <input checked="" type="checkbox"/> | General Information | >> | |
| | Investigators/Research Team | | |
| | Budget | | |
| | Financial Conflicts of Interest in Research | | |
| | Regulatory Compliance | | |
| | Subrecipients | | |
| | Foreign Activity | | |
| | Special Interest | | |
| | Additional Questions | | |
| | Location of Sponsored Activities | | |
| | Proposal Abstract | | |
| | Proposal Attachments | | |
| | Approving Units | | |
| | Submission Notes | | |
| <input type="button" value="Submit for Routing"/> | | | |

- b. Investigators/Research Team: Add all Key Personnel and others that need **edit** access to the IPF and/or view access to the associated award. For Industry Sponsored Clinical Trial requests, add all investigators required to complete the Form 800. (Note: The IPF/Proposal will route for approval by all units with personnel on this tab unless the Other Participant – No Routing or Proposal Editor roles are selected.)
- i. Select the name of the Key Personnel to add. (Notes: You must enter the Lead Principal Investigator’s information first.)
 1. If the investigator is not listed and the person **has** a UC Davis appointment, email ORCayuseHelp@ucdavis.edu for assistance.
 2. If the investigator is not listed and **does not yet, but will**, have a UC Davis appointment either:
 - a. Initiate, complete and process a Temporary Affiliates Form (<https://itcatalog.ucdavis.edu/service/online-taf-temporary-affiliate-form>) for the new appointed individual **OR**
 - b. List the Department Chair as the Principal Investigator and update the IPF after the individual has a UC Davis appointment. This may require you to request Clinical Trials Contracts Office update the IPF record.
 - ii. Ensure the Unit listed is correct. If not correct, select the appropriate unit. **Do not** select a unit indicated as “Non Admin/Home” or that has language such as “(Use 123456)”. If this language is displayed, **find and select the unit code identified in the parenthesis.**
 - iii. Select the Role.
 - iv. Add the correct person months and sponsored effort. (Note: If the salary included in the IPF is not determined from effort committed, and no effort is being committed, enter 0% in the Sponsored Effort % and include the appropriate amount on your budget.)
 - v. Cost Shared effort should always be “0” for industry Clinical Trials.
 - vi. Add the appropriate Allocation of Credit. (Note: Must equal 100% total for all key personnel. Principal Investigators and departments can determine how to allocate credit. Typically, 100% of credit is given the lead Principal Investigator, even when effort is 0%.)
 - vii. Select Save Personnel. (Note: Saved Personnel will display under List of Personnel.)
 - viii. Repeat for each Key Personnel and person needing edit access to the IPF and/or view access to the associated award.

The screenshot shows the 'Add Personnel Information' form with the following fields and callouts:

- 3.b.i.** Last Name
- 3.b.ii.** Unit
- 3.b.iii.** Role
- 3.b.iv.** Sponsored Effort %
- 3.b.v.** Person Months
- 3.b.vi.** Allocation of Credit %
- 3.b.vii.** Save Personnel button

Below the form is the 'List of Personnel' table:

| Person | Unit | Role | Sponsored Effort | Cost Shared Effort | Total Effort | Allocation of Credit | Person Months | |
|------------------|------------------------------------|-----------------------------|------------------|--------------------|--------------|----------------------|---------------|---|
| Kassie Obelleiro | OVCR - Sponsored Programs (061821) | Lead Principal Investigator | 50.0000% | 0.0000% | 50.0000% | 0.0000% | 1.0000 | Edit Delete |

At the bottom of the form is a 'Reset' button.

- c. Budget (Note: A complete budget form is required for mandatory reporting requirements.)
 - i. Select the Summary Budget Form.
 - ii. Select the total # of Budget Periods: Enter 1
 - iii. Select the Current Period Start and End dates (Note: These dates should match the UBT).
 - iv. Indicate "No" for cost sharing or cash matching.

>> Budget

For one-year projects and Progress Reports, both columns should match.

* Indicates Required Fields

Overview

Lead PI: Kassie Obelleiro **3.c.i.** Sponsor: NIH National Heart, Lung Blood Institute (NHLBI)

* Budget Form: Summary **3.c.i.**

Select one of the above:
 Summary: View direct costs, indirect rates, bases and totals (default setting)
 Detailed: View specific budget categories, indirect rates, bases and totals
 Autofill: View detailed budget data autofilled from 424 proposals, if paired

* # of Budget Periods: 1 **3.c.ii.**

| Project Dates: | Current Period | Entire Project |
|----------------|----------------------------|----------------|
| * Start | <input type="text"/> Clear | 08/31/17 |
| * End | <input type="text"/> Clear | 09/30/17 |

Comments: (512 chars max)

Cost Sharing **3.c.iv.**

* Does this proposal include funds or contributions in the form of required cost sharing or required cash matching?
 Yes No

- v. F&A Rates (Note: The F&A Rate is required.)
 1. Select the appropriate F&A Rate(s) for the Current Period. (Note: The Entire Project column will auto-populate if there is only one budget period.)
 2. Leave the Use Calculated Values box checked unless you want to manually calculate the Effective Rate.

F&A Rates

| | Current Period | Entire Project |
|--|--|--------------------------------------|
| F&A Rate (1): | <input type="text" value="0.000"/> % 3.c.v.1. | <input type="text" value="0.000"/> % |
| F&A Rate (2): | <input type="text" value="0.000"/> % | <input type="text" value="0.000"/> % |
| F&A Rate (3): | <input type="text" value="0.000"/> % | <input type="text" value="0.000"/> % |
| Use calculated values: <input checked="" type="checkbox"/> 3.c.v.2. | * Effective Rate: 0.000 % | 0.000 % |

* The Effective Rate is for reporting purposes. To report different rates than those calculated, uncheck the box and enter the percentage values.

- vi. Budget Categories (*The fields below are required, as applicable.*)
1. Enter the Sponsor Direct Costs for the Current Period (*Note: This should match the UBT*).
 2. Enter each Base amount for each F&A Rate for the Current Period (*Note: Base for F&A Rate should be the same as Sponsor Direct Costs*).
 3. Leave the Use Calculated Values box checked unless you want to manually calculate the total Indirect Cost (F&A) for the Current Period.
 4. Do not enter anything in the Fee fields.
 5. Leave the Use Calculated Values box checked unless you want to manually calculate the Total Sponsor Proposed Costs.

Budget Categories

| | Current Period | Entire Project |
|--------------------------------------|----------------|----------------|
| SPONSOR DIRECT COSTS: | \$ 0 | \$ 0 |
| BASE for F&A Rate (1): | \$ 0 | \$ 0 |
| BASE for F&A Rate (2): | \$ 0 | \$ 0 |
| BASE for F&A Rate (3): | \$ 0 | \$ 0 |
| INDIRECT COSTS (F&A): | \$0 | \$0 |
| FEE: | \$ 0 | \$ 0 |
| TOTAL SPONSOR PROPOSED COSTS: | \$0 | \$0 |
| Internal Cost Sharing: | \$0 | \$ 0 |
| Third-Party Cost Sharing: | \$0 | \$ 0 |
| TOTAL PROJECT COSTS: | \$0 | \$0 |

* If there is additional cost sharing in subsequent years, the total may be reflected in the Institutional Cost Sharing value for the Entire Project.

- vii. Indicate if any Additional Resources will be used (*Note: If you selected an Affiliated Unit, include the details of what resources you will be using.*)
- viii. Select Save.

Additional Resources

* In addition to resources available in the administering unit (generally excluding recharge services), will you be using personnel, space, equipment or other resources? If yes, add them to the Investigator/Research Team page if possible. If not possible to add them there, mark yes and add them below.

Yes No

Save Reset

- d. Financial Conflicts of Interest in Research (*Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.*)
- i. Complete the applicable COI Disclosures.
 - ii. Select Yes to indicate that you have filed or will file the applicable COI Disclosures.
 - iii. Select Save.

Financial Conflicts of Interest in Research – Disclosure Process

1. Determine What Disclosure(s) You Must File. Your funding source and type of research determines which disclosure (if any) you must submit.

- [Privately-Funded Research](#)
- [PHS-Funded Research](#)
- [Gov't-Funded Research \(Non-PHS\)](#)
- [Department Funded](#)
- [Human Subject Research](#)

2. Complete and File Your Disclosure – [Click here](#)

* Indicates Required Fields

* 3. Please answer Yes or No to the items below:

- I understand that I must complete the financial conflict of interest disclosure requirements for this project, as applicable.
- I certify that all necessary human subject, animal subject, and/or Environmental Health & Safety approvals have been obtained prior to conducting work that requires such approvals.
- I certify that funds will be available to cover the expenditures incurred for this project in the event that the Sponsor does not provide the funds requested.

Yes No

Save Reset

- e. Regulatory Compliance (*Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.*)
- Complete Human Subjects field and enter the IRB protocol numbers, if applicable. (*Note: A text field will appear for protocol number entry as appropriate.*)
 - Complete the Animal Subjects field (*Note: Animal clinical trials are not handled by Clinical Trials Contracts. Such IPFs should be submitted to Sponsored Programs in the Office of Research.*)
 - Complete the Hazardous Research Materials Section. If no Hazardous Materials, check None.
 - Select Save.

The screenshot shows a web-based form with three main sections: Human Subjects, Animal Subjects, and Hazardous Research Materials. Callouts are as follows:

- 3.e.i.** points to the "HUMAN SUBJECTS?" section, which includes radio buttons for "Yes" (selected) and "No", and a question about IRB applications.
- 3.e.ii.** points to the "Animal Subjects" section, which includes radio buttons for "Yes" (selected) and "No", and a question about IACUC applications.
- 3.e.iii.** points to the "Hazardous Research Materials" section, which includes a list of hazard types and a "None" option that is checked.
- 3.e.iv.** points to the "Save" and "Reset" buttons at the bottom right of the form.

Human Subjects Section:

- Does this research involve **HUMAN SUBJECTS?**
 - Yes No
- * IRB applications must be submitted via [IRBNet](#). Have you submitted an application to the IRB for this project?
 - Yes No
 - Please provide your IRBNet ID(s) below:
 - List the application numbers below: (Note: Use commas to separate values)
 -

Animal Subjects Section:

- Does this research involve **VERTEBRATE ANIMALS?**
 - Yes No
- * Has your research team submitted an application to the IACUC for this project?
 - Yes No
 - List the application numbers below:
 -
 - List the species involved with this project: If multiple species are involved, please use the comma as a separator.
 -

Hazardous Research Materials Section:

- * Does the proposal involve research with any of the following? (please check all that apply)
 - When appropriate, provide the BUA number(s) as an attachment in the Proposal Attachment section.
 - If you would like more information on Biological Use Authorizations (BUAs), please visit the [UC Davis BUA webpage](#).
 - Please note that the review process performed by the Biological Safety Office for submitted BUAs can take up to 8 weeks.
 - If you have any questions or concerns about BUAs, please email the Biological Safety Office at biosafetv@ucdavis.edu.
 - Chemical Hazards (flammable, pyrophoric & water reactive chemicals, oxidizing/reducing agents, poisons, carcinogens, etc.)
 - Neurotoxins/Select Agents (botulinum neurotoxins, botulinum neurotoxin-producing species of Clostridium, or preparations or pharmaceuticals containing botulinum neurotoxins, etc...)
 - Biohazardous Materials (recombinant or synthetic nucleic acids, infectious agents, human or non-human primate cells, tissues, or body fluids)
 - Nanomaterials
 - Radioactive Materials
 - None

Buttons: Save, Reset

f. Subrecipients

i. If there is/are a subrecipient(s)

1. Enter the subrecipient(s) in the Subcontractor field. If the subrecipient is not listed, select Miscellaneous Sponsor and type the Subcontractor Name in Submission Notes (last step before routing).
2. Select Add Subcontractor. (Note: The required documents must be uploaded in the Proposal Attachments tab.)

>> Subrecipients

If this proposal involves one or more Subaward(s) for which funds are requested, please add the Subaward entity(ies) below, and provide the following items with your proposal. These items should be attached to your proposal (see Proposal Attachments page).

1. Subawardee's Statement of Work
2. Subawardee's Budget (including Budget Justification)
3. Letter of Commitment signed by Subawardee's Authorized Official
4. [Commitment Form](#):
 - Subrecipient Commitment Form; or
 - FDP Subrecipient Pilot – Supplemental Project Information Sheet; or
 - Multiple Campus (MCA) Commitment Form
5. For each anticipated subawardee, answer the following questions and include the responses in your documentation attachments for that subawardee:
 - What was the basis for selection of this subawardee? (competitive solicitation or sole source based on unique qualifications, equipment, know how, or integral part of a collaborative research team)
 - Will any of these subaward/subcontract relationships result in an agreement between the University and
 - (1) a current University employee or
 - (2) a current employee's near relative (i.e., spouse or registered domestic partner, or dependent children) or
 - (3) an entity in which you or your near relative owns or controls or possesses a financial interest?
 - (4) a former University employee?If the response to any question 1-4 is "yes", please complete the [conflict of interest form](#) and submit approved form to Sponsored Programs (applicable policy: UCD PPM 350-90)

NOTE: If no subawards are proposed, please click the No Subcontractors button to complete this section.

Add Subcontractor 3.f.i.1.

Subcontractor: 🔍

3.f.i.2.

List of Subcontractors: (to edit the list, remove the entry and re-select)

There are no subcontractors added to the proposal

3. Select Authorize Subcontractor List.

Add Subcontractor

Subcontractor: 🔍

List of Subcontractors: (to edit the list, remove the entry and re-select)

| Subcontractor |
|---|
| Agricultural Labor Relations Board Remove |

3.f.i.3.

ii. If no subrecipients, select No Subcontractors.

>> Subrecipients

If this proposal involves one or more Subaward(s) for which funds are requested, please add the Subaward entity(ies) below, and provide the following items with your proposal.

These items should be attached to your proposal (see Proposal Attachments page).

1. Subawardee's Statement of Work
2. Subawardee's Budget (including Budget Justification)
3. Letter of Commitment signed by Subawardee's Authorized Official
4. [Commitment Form](#):
 - Subrecipient Commitment Form; or
 - FDP Subrecipient Pilot – Supplemental Project Information Sheet; or
 - Multiple Campus (MCA) Commitment Form
5. For each anticipated subawardee, answer the following questions and include the responses in your documentation attachments for that subawardee:
 - What was the basis for selection of this subawardee?
(competitive solicitation or sole source based on unique qualifications, equipment, know how, or integral part of a collaborative research team)
 - Will any of these subaward/subcontract relationships result in an agreement between the University and
 - (1) a current University employee or
 - (2) a current employee's near relative (i.e., spouse or registered domestic partner, or dependent children) or
 - (3) an entity in which you or your near relative owns or controls or possesses a financial interest?
 - (4) a former University employee?If the response to any question 1-4 is "yes", please complete the [conflict of interest form](#) and submit approved form to Sponsored Programs (applicable policy: UCD PPM 350-90)

NOTE: If no subawards are proposed, please click the No Subcontractors button to complete this section.

Add Subcontractor

Subcontractor: 

List of Subcontractors: (to edit the list, remove the entry and re-select)

There are no subcontractors added to the proposal

3.f.ii.

- g. Foreign Activity (*Note: Some department contract and grant staff leave this page/tab for the Principal Investigator to complete.*)
- i. Answer the Foreign Activity questions and complete any associated text fields and drop-down lists. (*Note: A text field and/or drop-down list will appear as appropriate.*)
 1. If the project will involve export control but the foreign location is unknown at the time of IPF, select To Be Determined for the foreign location. (*Note: Select control and the country simultaneously to select multiple countries.*)
 - ii. Select Save.

* 1. Does the project involve conducting proprietary research with a potential military application?
 Yes No 3.g.i.

2. Does the project involve:

* a. Sending, transporting, transmitting, or carrying any material or equipment outside the United States (examples include: computers, GPS, biologicals, diagnostic kits, reagents, or data)?
 Yes No

* i. Please provide the following information about the material or equipment: (1) Export Method; (2) Description; (3) Recipient; (4) Intended End Use; and (5) Anticipated Export Date.

* ii. To which countries are you shipping?

 3.g.i.1.

* b. Travel outside the US by any research personnel? If the answer is yes, please attach a list of destination countries at the attachments tab on your proposal.
 Yes No

* c. Importing, exporting, or transmitting any goods, services, technology, or funds to or from (or travelling to) any of the countries from the [OFAC list](#) (including, but not limited to Iran, North Korea, Syria, Libya, and Cuba)?
 Yes No

* 3. Some types of research may have export control implications even if all work is conducted within the U.S.
 Do you anticipate that the project work may involve:

* a. Non-commercial encryption or information security software?
 Yes No

* b. Any equipment, technology, materials or software specifically designed, modified, or adapted (even slightly) for a military purpose or that may involve national security?
 Yes No

* c. Any classified materials, equipment, technology or data?
 Yes No 3.g.ii.

i. Special Interest

- i. Answer the questions, entering protocol numbers as applicable. (Note: A text field will appear for protocol number entry as appropriate.)
- ii. Question 5 should be answered yes as this refers to the sponsor agreement.
- iii. Select Save.

>> Special Interest

* Indicates Required Fields

3.i.i.

* 1. Are [Human Stem Cells](#) involved in this proposal?
 Yes No

* 2. Does this project involve scuba diving?
 Yes No

* 3. Does this project involve operation of a boat?
 Yes No

* 4. Does your proposal require acquisition of an HPC cluster or similar servers? If yes, please add a description on the Budget page under Additional Resources.
 Yes No

* 5. Has the sponsor provided a draft agreement to fund this project? If so, please attach it on the Proposal Attachments page.
 Yes No

* 6. Does this project involve Sustainability Research?
 Yes No

* 7. Is this proposal an SBIR (Small Business Innovative Research Program) or an STTR (Small Business Technology Transfer Program)?
NOTE: at least thirty percent (30%) of the work of the STTR must be performed at UC Davis.
 Yes No

3.i.ii.

Save Reset

j. Additional Questions

- i. Answer all required Additional Questions (indicated by a red *).
- ii. If this is a [Limited Submission](#), upload the selection notification email in the Proposal Attachments tab.
- iii. All Clinical Trial Contracts should state “Human Health” in the dropdown under “Health Relatedness”.
- iv. Select Save.

>> Additional Questions

3.j.i.

3.j.ii.

* Indicates Required Fields

* 1. Is this Proposal in response to a Limited Submission call?
 Yes No

* 2. Do you anticipate having to lease new space to complete the activity described in this proposal? If so, please include in the Additional Resources on the Budget page.
 Yes No

* 3. Does this Proposal anticipate use of a Garamendi facility?
 Yes No

* 4. Did this Proposal benefit from RISE and/or IFHA support?
 Yes No

* 5. Did this Proposal benefit from research generated from Academic Senate Faculty Grants (New Research Initiatives and Small Grants in Aid)?
 Yes No

6. Health Relatedness

3.j.iii.

Please indicate the primary area of health relatedness that applies to your proposal.

Human Health

7. Please select additional areas that also describe your activity (check all that apply).
If you choose the primary area again in the drop-down list, that will be treated as "other".

Companion Animal Health
 Food Animal Health
 Environmental Health
 Equine Health
 Food Safety
 Human Health
 Wildlife Health

3.j.iv.

Save Reset

k. Location of Sponsored Activities

- i. Indicate all locations where the work under this project will be performed and the Percent of Work at each location. Do not enter location of Subawardee(s). (Note: This list should match the 1572.)
- ii. Select Add. (Note: The location will appear under the appropriate listing. An error will display until the total Location of Sponsored Activities equals 100%.)

>> Location of Sponsored Activities

Please indicate the location(s) where your research will occur and assign a percentage to each location.

- Percentages should reflect the portion of budgeted salaries that will be expended in that location.
- Enter as many as apply in each quadrant below.
- Do not include subawardee locations on this page.

Note: If activities occur in a Davis or Sacramento campus facility, do not also add the state and country as separate locations.

The sum of percentages in all locations must equal 100%. It currently adds up to 0.00%. Please add or remove locations accordingly.

Campus Locations

If any sponsored activities occur on campus, please enter each location and the percentage of work that will be done there.

Click Add after each entry.

Location:

Percent of Work: %

There are no Campus Locations added to the proposal.

Use of ORUs, SRPs, Core Facilities, and ANR

Select below if proposal activities require use of or access to one or more Organized Research Units (ORU), Strategic Research Programs (SRPs), core facilities or ANR facilities (and ANR is not a subawardee). Provide the % of the project that will be physically conducted at each of these locations. If there will be no physical access or use, but the project or PI is affiliated with one or more of these unit(s), please identify these units and select 0%.

Location:

Percent of Work: %

There are no ORUs, SRPs, Core Facilities, or ANR resources added to this proposal.

Domestic Off-Campus Locations

If any sponsored activities occur within the United States but in buildings/locations not owned or leased by UC Davis, please enter each state and the percentage of work that will be done there.

- Subaward locations should not be entered here.
- Click Add after each entry.

Location:

Percent of Work: %

There are no Domestic Off-Campus Locations added to the proposal.

Out-of-Country Locations

If any sponsored activities occur outside the United States, please enter each country from the list below and the percentage of work that will be done there.

- Subaward locations should not be entered here.
- Click Add after each entry.

Location:

Percent of Work: %

There are no Out-of-Country Locations added to the proposal.

I. Proposal Abstract

- i. Indicate “No” under question 1.
- ii. For Abstract details, type N/A.
- iii. Under Field of Science, no selection is needed.
- iv. Select Save.

>> Proposal Abstract

* Indicates Required Fields

With your permission, this abstract will be used to help match faculty researchers with potential collaborators and funding resources and to help identify expertise and areas of research interests.

It may also be used to search key words in order to provide reports to UC Davis administrative offices regarding research on specific subjects.

The abstract should be plainly written and in sufficient detail to summarize the proposed activity. There is no need to write a special abstract for this purpose. The abstract or proposal summary for your proposal will be sufficient.

The abstract should not contain ANY institutional or sponsor proprietary information, such as description of a potentially patentable invention (e.g., a new and useful process, machine, article of manufacturing, composition of manufacture, or related improvements).

If so indicated below, please indicate whether the information is available to the public--the public being defined as UC Davis personnel who have access to this proposal record.

* 1. I give permission to make the information available to the public:

Yes No

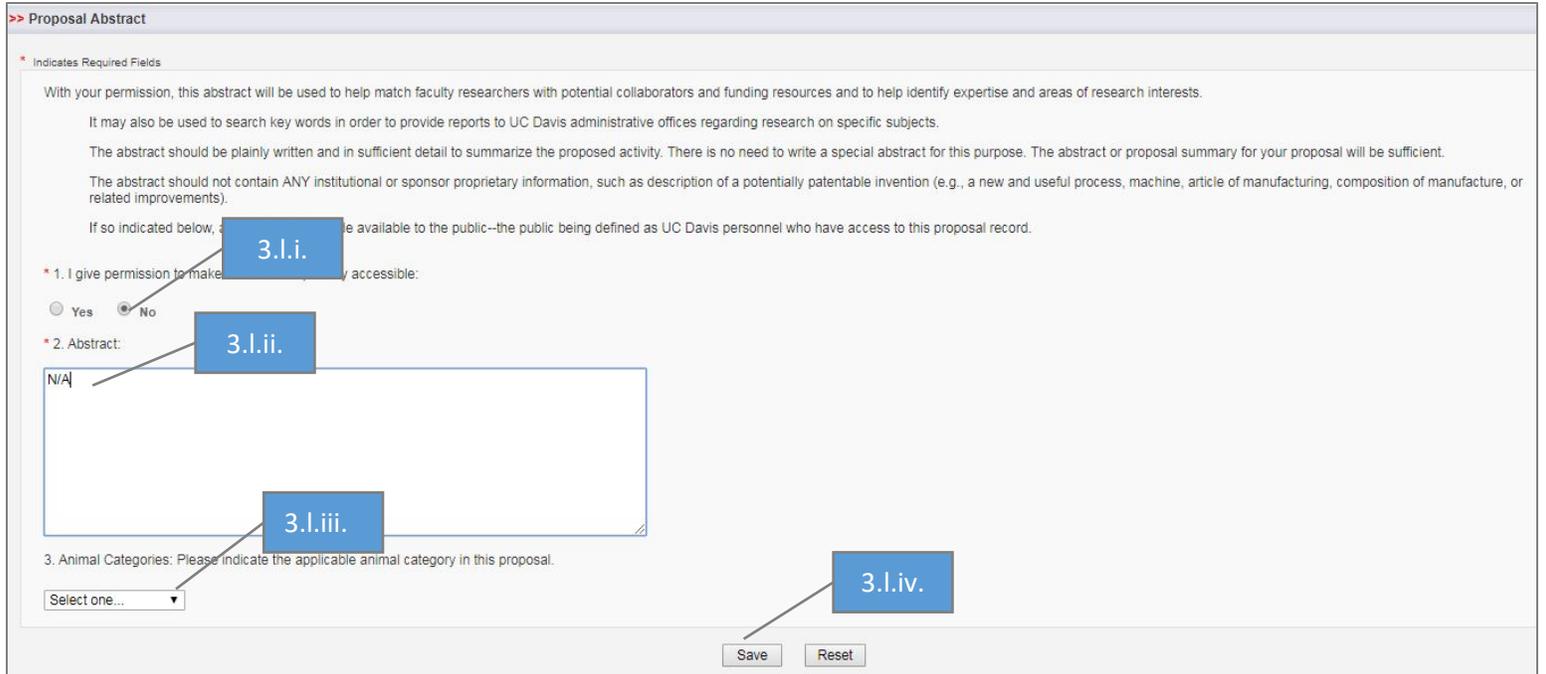
* 2. Abstract:

N/A

* 3. Animal Categories: Please indicate the applicable animal category in this proposal.

Select one...

Save Reset



m. Proposal Attachments

- i. Upload applicable documents. See the [Necessary Documents section](#) if you are unsure of what to upload. (Note: UBT's will need to include "internal budget" in the file name, sponsor budget's will need to include "sponsor budget" in the file name.)
 1. Browse your computer and select the document to upload.
 2. Select the Document Type.
 3. Select Add.
 4. Repeat the Upload Process until all documents are loaded.
 5. When uploading the Exception to Policy for Clinical Study Contracts, select "Other" in the dropdown.

>> Proposal Attachments

When applicable, please attach the following documents:

- Proposal Announcement Guidelines (RFP, RFA, etc.)
- Budget (in Excel)
- Form 800
- Subcontractor documentation (letter of commitment, budget, budget justification, scope of work)
- Representations & Certifications

For industry-sponsored clinical trials, please attach the following documents:

- Sponsor Protocol
- Final Sponsor Budget
- Final Internal Budget

Add Attachment

Click Browse to select a file:

Document Type

quick_reference_card.pdf

Proposal Announcement Guidelines (RFP, RFA, etc.)

3.m.i.1.

3.m.i.2.

3.m.i.3.

No attachments have been added.

n. Approving Units

- i. Check the Approving Units that auto-populate for accuracy. (Note: Contact ORCayuseHelp@ucdavis.edu if a Unit name is blank. If a Non Admin unit is listed, ensure it is a rollup unit from one of the other units listed. Rollup will display under Role(s).)
- ii. Add other Units if appropriate. (Note: Do **not** add the Clinical Trials Contracts Office. The IPF will route to the Clinical Trials Office after all department/school level approvals have been obtained.)
- iii. Re-order the Routing if needed. (Note: If the IP is being routed to the School of Medicine, recorder it to after all School of Medicine units. If the IPF is being routed to the School of Veterinary Medicine, reorder it to after all School of Veterinary Medicine units.)
- iv. Select Authorize Unit Listing.

>> Approving Units

The units listed below will be notified to authorize this proposal record.
Please be certain every unit and/or campus resource involved with or used by this proposal is listed on this screen before submitting the proposal record for routing. Failure to include all affected resources/units may result in the necessity of rerouting for approvals.

OR

One of the following offices will authorize this proposal on behalf of the University.
Do **not** add them as approving units.

- Sponsored Programs Office
- Office of Clinical Trials, School of Medicine
- Office of Graduate Studies

Add Approving Unit

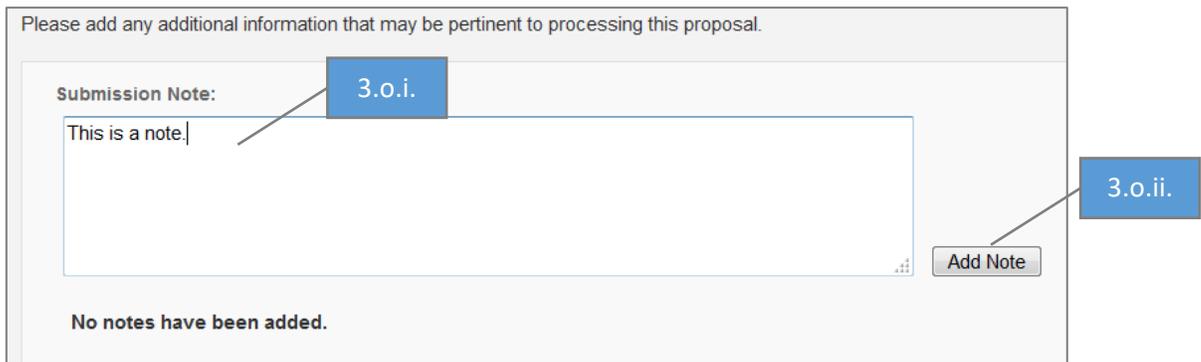
Unit:

List of Approving Units: (to edit the information, remove first, then add back)

| Routing Order | Unit Code | Unit | Roles(s) |
|---------------|-----------|---------------------------------|-----------------------------|
| 1 | 0 | Betty I Moore Nursing School | Admin Unit |
| 2 | 7 | Med Int Med - Hematology/Oncol | Lead Principal Investigator |
| 2 | 29 | Med Int Med (do not use) | Rollup From - 049227 |
| 3 | 43 | School of Medicine (do not use) | Rollup From - 20 |

o. Submission Notes

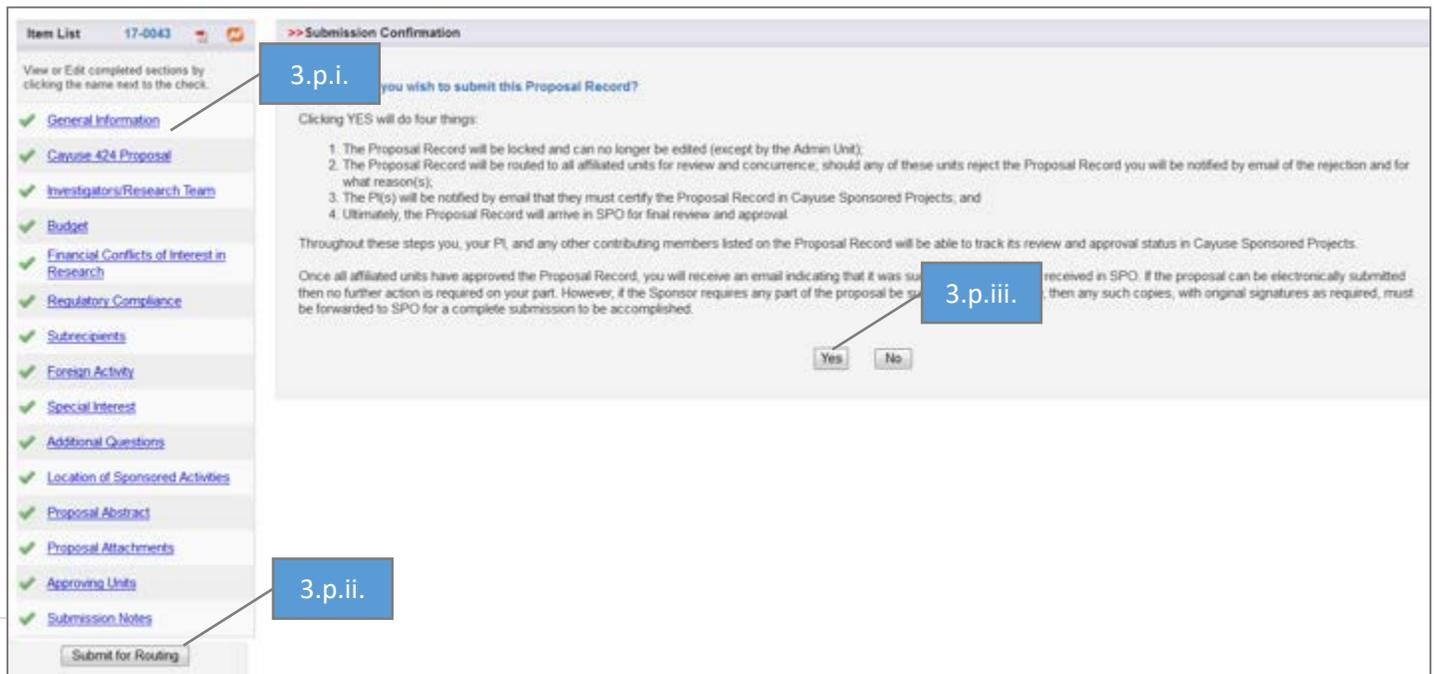
- i. Add any notes regarding this IPF in the Notes field, such as:
 1. If you selected “Miscellaneous Sponsors” for either the Sponsor or Subcontractor(s), enter the name, address and contact information (person’s name and phone number) of Sponsors or Subcontractor(s). (Note: You would have selected Miscellaneous Sponsors.)
 2. Add the contact person from the Sponsor who is responsible for negotiating the agreement and their contact information, including an email address AND phone number.
 3. If a CRO is involved, enter the name of the CRO, their address, the contact person from the CRO who is responsible for negotiating the agreement and their contact information, including an email address AND phone number.
- ii. Select Add Note. (Note: Notes cannot be edited or deleted.)



p. Submit for Routing

- i. Ensure **green checkmarks** are indicated for all tabs.
- ii. Select Submit for Routing. (Note: The Principal Investigator should complete this step as the IPF can no longer be edited after it is submitted for routing.)
- iii. Select Yes when asked “Are you sure you wish to submit this Proposal Record?”.

4. If you selected Miscellaneous Sponsor for a Sponsor or Subaward, email ORCayuseHelp@ucdavis.edu and request the Sponsor or Subawardee be added.



Editing an Internal Processing Form that has been Submitted for Routing

Once an IPF/Proposal has been Submitted for Routing, it may no longer be edited. If you need to make revisions, please follow the appropriate instructions below.

- Revisions that require re-approval from the IPF Approvers are:
 - Budget Cost Share, Incorrectly Applied (match/in-kind) (not applicable to Clinical Trial Contracts)
 - Effort Changed from Direct Charge to Cost-Share
 - Key-personnel added to the project after routing to Clinical Trials Contracts Office
 - Subawards added to the budget after routing to Clinical Trials Contracts Office
 - Incomplete IPF/proposal (refer to [Necessary Information and Documents](#))
 - Other revisions representing a significant change in commitment of departmental and/or campus resources
- Minor revisions that do not require re-approval from IPF Approvers include, but are not limited to:
 - Change in project title
 - Change in project dates
 - Edits to the abstract field
 - Minor budget edits

Does Not Require Re-approval by IPF Approvers

1. Find the IPF from My Proposals or Proposals in My Unit.
 - a. Select the Proposal Number.

The screenshot shows a web interface titled '>> My Proposals'. It has two tabs: 'Unsubmitted Proposals' and 'Submitted Proposals'. Below the tabs, a message reads: 'Below is a list of submitted proposals you initiated or on which you are listed.' A table follows with columns: Submitted Date, Prop No, Lead PI, Project Name, Sponsor, Deadline, My Role, and Status. Each column has a search box with an 'x' icon. A blue callout box with the text '1.a.' points to the 'Lead PI' column. The first row of data shows: Submitted Date: 11/07/2017; Prop No: [18-1140](#); Lead PI: Kassie Obelleiro; Project Name: 120117 Obelleiro NIH; Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards); Deadline: 12/01/2017; My Role: Owner; Status: Dept Approval In Process. There is a 'Copy' link and a printer icon to the right of the status.

| Submitted Date | Prop No | Lead PI | Project Name | Sponsor | Deadline | My Role | Status |
|----------------|-------------------------|------------------|----------------------|--|------------|---------|--------------------------|
| 11/07/2017 | 18-1140 | Kassie Obelleiro | 120117 Obelleiro NIH | NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) | 12/01/2017 | Owner | Dept Approval In Process |

2. Go to the Notes tab.
 - a. Enter Note in the text box that you request this proposal/IPF be returned to Unsubmitted status
 - b. Select Add Note.

>> Proposal Routing Status

Proposal No: [18-1140](#)  Submission Deadline: 12/01/2017

Project No: Proposal Specialist:

Lead Investigator: [Kassie Obelleiro](#) Contract Specialist:

Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) Account Manager:

Project Title: Actual title of the project

Approvals | Compliance | Status History | Advance Account | Awards |  

Please return this proposal to Unsubmitted status so the department may revise.

No notes have been added.

- c. The added Note will display under Note.

>> Proposal Routing Status

Proposal No: [18-1140](#)  Submission Deadline: 12/01/2017

Project No: Proposal Specialist:

Lead Investigator: [Kassie Obelleiro](#) Contract Specialist:

Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards) Account Manager:

Project Title: Actual title of the project

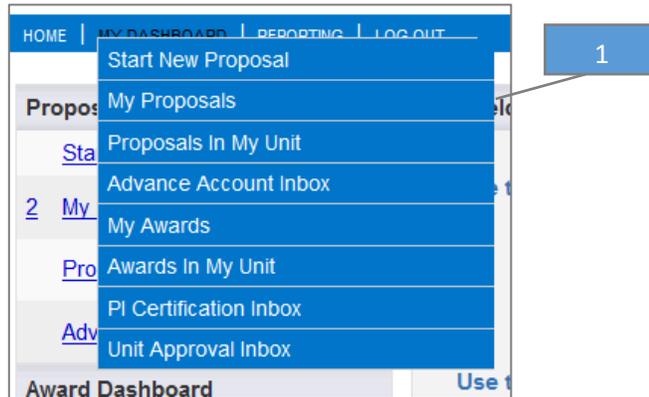
Approvals | Compliance | Status History | Advance Account | Awards |  

| Note | Recorded By | Date | Note Area | Category | Access |
|---|-------------|------------|-----------|----------|-----------------------------|
| Please return this proposal to Unsubmitted status so the department ma... | Amie Admin | 11/09/2017 | Proposal | General | Admin Office All Parties |

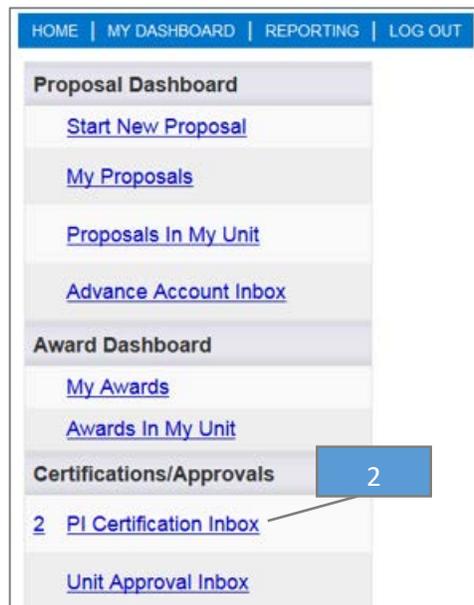
3. Email ORCayuseHelp@ucdavis.edu and request the proposal/IPF be returned to Unsubmitted status and state reason, indicating that this does not require re-approval by the IPF Approvers.
4. Make necessary edits in the proposal/IPF.
5. Email ORCayuseHelp@ucdavis.edu and request the IPF be returned to Admin Office in Process status, or Dept Approval In Process status (if the IPF Approval process was incomplete). *(Note: Do not Submit for Routing again. If Submit for Routing is selected, all IPF Approvals already obtained will need to be re-obtained).*

Certifying/Signing an Internal Processing Form

1. Go to My Proposals under My Dashboard.



2. Select the PI Certification Inbox.



3. Select the appropriate Proposal Number.

A screenshot of a table showing a list of proposals. The table has two tabs at the top: 'To be Certified' (selected) and 'Previously Reviewed'. Below the tabs is a text line: 'Below is a list of proposals that require your attention as Lead or Principal Investigator.' The table has columns for 'Date Submitted', 'Proposal No.', 'Project Name', 'Sponsor', 'Deadline', and 'PDF'. A blue box with the number '3' is positioned above the 'Proposal No.' column, with a line pointing to the value '17-0170' in the first row.

| Date Submitted | Proposal No. | Project Name | Sponsor | Deadline | PDF |
|----------------|--------------|---------------------|--------------------------------------|------------|-----|
| | 17-0170 | 04/24/2017 Test kmo | Almond Board of California (Federal) | 04/24/2017 | |

4. Review the IPF. (Note: You may view the electronic IPF/proposal or a PDF.)
5. Select Certify Proposal when ready to “sign”.

>> Proposal Routing Status

Proposal No: [17-0170](#) Submission Deadline: 4/24/2017

Project No: [A17-0014](#) Proposal Specialist:

Lead Investigator: [Kassie Obelleiro](#) Contract Specialist: [Grace Liu](#)

Sponsor: Almond Board of California (Federal) Account Manager:

Project Title: Test kmo

Approvals | Compliance | Status History | Advance Account | Awards

The above proposal has been successfully submitted. All lead/principal investigators and approving units listed below have been notified and this proposal before it is received by the UC Davis Sponsored Programs Office.

Investigator(s) who must certify this Proposal

| Investigator | Role |
|----------------------------------|-----------------------------|
| Kassie Obelleiro | Lead Principal Investigator |

Unit(s) that must authorize this proposal

| Order | Unit | Authorizing Person(s) |
|-------|------------------------------------|-----------------------|
| 1 | Academic Assessment | |
| 2 | Interdisciplinary Research Sup | |
| 3 | UC Davis Sponsored Programs Office | Admin Office |

6. Review the Certifications.
7. Select Submit Certification.

>> Proposal Certification

In my role as an investigator, I understand and certify that:

- The information submitted within this application is true, complete and accurate to the best of my knowledge. Any false, fictitious, or fraudulent statements or omissions may result in the imposition of civil or criminal penalties, or administrative penalties.
- I have the responsibility for the scientific, fiscal and ethical conduct of the project and to provide the required progress reports if an award is made.
- I will comply with all relevant state and federal regulations, University policies and contractual obligations, in administering the resultant award, including the terms and conditions of the award.
- I have reviewed applicable U.S. Export Control requirements and University policy on Export Controls and will comply with the export control requirements.
- If this is an NIH application, I will comply with the NIH Policy on Public Access.
- I will work to ensure that my relationship with the sponsor of this project is either free of conflict of interest or consistent with a previously disclosed conflict of interest.

Please enter any comments or additional information you might have regarding this proposal.

8. The IPF will now show as Certified within the Approvals tab.

Approvals | Compliance | Status History | Advance Account | Awards | [Icons]

The above proposal has been successfully submitted. All lead/principal investigators and approving units listed below have been notified and should electronically authorize (in routing order for units) this proposal. All approvals received by the UC Davis Sponsored Programs Office.

Investigator(s) that must certify this Proposal

| Investigator | Role | Decision |
|----------------------------------|-----------------------------|----------------------------------|
| Kassie Obelleiro | Lead Principal Investigator | Certified on 05/04/2017 11:52 AM |

Unit(s) that must authorize this proposal

| Order | Unit | Authorizing Person(s) | Authorizing Decision |
|-------|------------------------------------|-----------------------|----------------------|
| 1 | Academic Assessment | | Not Yet Reviewed |
| 2 | Interdisciplinary Research Sup | | Not Yet Reviewed |
| 3 | UC Davis Sponsored Programs Office | Admin Office | |

Checking the Status of a Routed IPF

Internal Processing Form Status Definitions

| Status | Definition |
|--------------------------|---|
| Unsubmitted | Not submitted for routing |
| Dept Approval in Process | Pending IPF approvals; submitted for routing |
| Admin Office in Process | Received by Clinical Trials Contracts Office but not assigned |
| Under Award Negotiation | Under analyst review and/or contract negotiation |
| Pending Award | Negotiation of CTA finalized |
| Reopened | IPF reopened for department to edit |
| Withdrawn | IPF withdrawn by the Principal Investigator |
| Not Funded | IPF not funded by the sponsor |
| Funded | Awarded |

For Internal Processing Forms You Initiated

The following instructions also apply if you are listed in the Investigators/Research Team tab in any role.

1. From the Proposal Dashboard, open the My Proposals tab.
2. Select the Submitted Proposals tab if the IPF has already been submitted to the Clinical Trials Contracts Office.
3. Search for the IPF by date created, Proposal Number, Principal Investigator's name, Project Name, Sponsor Deadline or your role.
4. The IPF status will display in the last field (to the right).
5. To view the detailed status, open the relevant IPF by selecting the Proposal Number.

The screenshot shows the 'My Proposals' interface. On the left is a sidebar with navigation links. The main area shows a table of submitted proposals. Five blue callout boxes with numbers 1-5 are overlaid on the interface to indicate steps for checking IPF status.

| Submitted Date | Prop No | Lead PI | Project Name | Sponsor | Deadline | My Role | Status |
|----------------|-------------------------|------------------|---------------------------|---|------------|-----------------------------|--------|
| 05/10/2017 | 17-0009 | Kassie Obelleiro | 050917 Test KMO | NIH National Database for Autism Research | 05/31/2017 | Lead Principal Investigator | Funded |
| 05/10/2017 | 17-0014 | Kassie Obelleiro | 050917 Test KMO | NIH National Database for Autism Research | 05/31/2017 | Lead Principal Investigator | Funded |
| | 17-0015 | | 050917 Test KMO | NIH National Database for Autism Research | 05/31/2017 | Lead Principal Investigator | Funded |
| 05/22/2017 | 17-0043 | | 052217 Obelleiro NIH TEST | NIH National Database for Autism Research | 05/31/2017 | Lead Principal Investigator | Funded |

6. View the bottom of the Approvals tab.

The above proposal has been successfully submitted. All lead/principal investigators and approving units listed below have been notified and should electronically authorize (in routing order for units) this proposal before it is approved by the UC Davis Sponsored Programs Office.

Investigator(s) who must certify this Proposal

| Investigator | Role | Decision |
|----------------------------------|-----------------------------|------------------|
| Kassie Obelleiro | Lead Principal Investigator | Not Yet Reviewed |

Unit(s) that must authorize this proposal

| Order | Unit | Authorizing Person(s) | Authorizing Decision |
|-------|------------------------------------|-------------------------------|----------------------|
| 1 | Academic Assessment | | Not Yet Reviewed |
| 2 | OVCR - Sponsored Programs | Dean Approver | Not Yet Reviewed |
| 3 | UC Davis Sponsored Programs Office | Admin Office | |

Status History

| Status | Person | Date |
|-------------------------------------|--|--------------------|
| Changed to: Under Award Negotiation | Changed by: Bridget Strong | 4/28/2017 12:34 PM |
| Changed to: Submitted to Sponsor | Changed by: Bridget Strong | 4/28/2017 12:32 PM |
| Changed to: Submitted for Routing | Changed by: Kassie Obelleiro | 4/28/2017 12:31 PM |

7. View the Notes tab to see if there are any outstanding items.

General People Budget Distributions Proposals

Add a Note

Add Note

Notes List

Note Area Filter: Award

| Note | Recorded By | Date | Note Area | Category | Access |
|---|-------------|------------|-----------|----------|---------------------------|
| Received A, B, C, and D. Received concurrence on E. | Grace Liu | 04/26/2017 | Award | General | Admin Office, All Parties |
| I request A, B, C, and D. I need concurrence on E. | Grace Liu | 04/26/2017 | Award | General | Admin Office, All Parties |

For Internal Processing Form Initiated by Someone Else

If you are a Principal Investigator, key personnel or another contributing member in any role listed on the Investigators/Research Tab, you will have access to IPFs started on your behalf. However, if you are not key personnel, this will require the appropriate level of access. See the Role Manager in your department if you need access but do not have it.

1. From the Proposal Dashboard, open the Proposals in My Unit tab
2. Search for the IPF by date submitted, Proposal Number, Lead Principal Investigator, Project Name, Sponsor, Admin Unit or Status. (Note: This list may be filtered by multiple fields simultaneously.)
3. Follow [Steps 4 to 7 above](#).

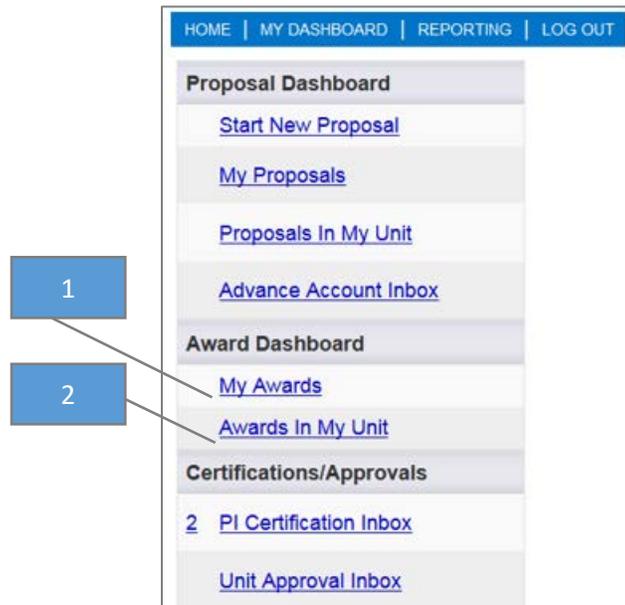
The screenshot shows the 'Proposals In My Unit' interface. On the left is a navigation menu with links like 'Start New Proposal', 'My Proposals', 'Advance Account Inbox', 'Award Dashboard', 'My Awards', 'Awards In My Unit', 'Certifications/Approvals', 'PI Certification Inbox', and 'Unit Approval Inbox'. The main area displays a table of proposals with search filters for Submitted Date, Prop No, Lead PI, Project Name, Sponsor, Unit, and Status. Two blue boxes with numbers 1 and 2 are overlaid on the image. Box 1 points to the 'My Proposals' link in the left menu. Box 2 points to the search filters in the table header.

| Submitted Date | Prop No | Lead PI | Project Name | Sponsor | Unit | Status | |
|----------------|-------------------------|-----------------|--|-------------------------------------|------------------------------|-------------------|----------------------|
| Search x | Search x | Search x | Search x | Search x | Search x | Search x | |
| | 17-0190 | | 050117 Young NCI kmo-test | NIH National Cancer Institute (NCI) | Betty I Moore Nursing School | Unsubmitted | Copy |
| | 17-0188 | | ATF - A18-0020-001- Trageting RORgamma | Prostate Cancer Foundation | Betty I Moore Nursing School | Unsubmitted | Copy |
| | 17-0186 | | ATF - Gabapentin for pain control after osmotic dialator insertion | Society of Family Planning | Betty I Moore Nursing School | Funded | Copy |
| 03/17/2017 | 17-0143 | Theresa Harvath | Family Caregiving Institute | Gordon and Betty Moore Foundation | Betty I Moore Nursing School | Proposal Approved | Copy |

Awards

Quick Reference

1. View the status of an Award for a [IPF you initiated](#) or on which you are key personnel.
2. View the status of an Award for a [IPF initiated by a Principal Investigator or another department administrator](#) in your unit.



Submitting Award Modifications and Supplemental IPFs

For any Award modification (e.g., amendment, change in internal budget not requiring amendment, change in end date), send the e-mail request to the amendments analyst in the Clinical Trials Contracts Office with the following:

1. For Amendments – after final budget is negotiated with sponsor, e-mail the fully-editable amendment agreement and revised and approved UBT along with any e-mail chain identifying the sponsor contact for contract analyst to negotiate the amendment language (ensure the 700-U is updated in the eCOI system if there is an increase or any change to sponsor information)
2. For time extension/closeout – e-mail the new end date to the amendments analyst so that the analyst can advise if amendment is required
3. For an internal budget change only that does not require an amendment – e-mail the approved UBT to the amendments analyst (ensure the 700-U is updated in the eCOI system if there is an increase)

If an Award modification includes either of the following then a new Internal Processing Form (IPF) must be submitted for new approvals of the department chair and Dean.

1. Change in Principal Investigator
2. Change in Administrative Unit of the award (e.g., from Pediatrics to Internal Medicine)

Follow the steps above for [Creating and Submitting IPFs](#) with the following differences.

1. General Information (*Note: Variation from [Creating and Submitting IPFs](#)*)
 - a. Short Title: Begin with [Action] instead of the submission deadline (e.g., “Change in PI” [Principal Investigator Last Name] [Sponsor])
 - b. Proposal Type: New – UC Davis Health
 - c. Select Save.
2. Budget
 - a. Unless there is also a budget amendment, the budget should be \$0.
3. Required documents
 - a. Signed Clinical Trials Exception to Policy from new PI
 - b. Editable amendment
 - c. Signed UBT approved by Julie
 - d. COI disclosures
 - e. Please note, updated IRB approval will be required prior to award

* Sponsor: 🔍

Funding Opportunity/Sponsor application No:

Sponsor Program Name:

Proposal Guideline URL:

Prime Funding Agency: 🔍

General Proposal Information

* Admin Unit: 🔍

* Primary Administrative Contact: 🔍

Project No:

* Short Project Name: (internal reference name)

* Project Start Date:

* Project End Date:

* Activity Code: [Click Here to Choose Activity Code](#)

* Proposal Type: 🔍

Instrument Type:

How will this proposal be submitted?
 Select Submission Method:

Affiliated Unit(s) (if applicable): [Click Here to Choose Affiliated Unit\(s\)](#)

* Sponsor Deadline: Time:
 Postmark: Receipt:

* Title of Project:

Create a Paired Proposal Pair with a 424 Proposal Un-Pair with 424 Pro

1.a.

1.b.

1.c.

Checking the Status of an Award

Award Status Definitions

| Status | Definition |
|---------|---|
| Pending | The award is not fully executed |
| Active | The award has been fully executed and routed to Contracts and Grants Accounting |

For Key Personnel and Others Listed on the Investigators/Research Team tab

1. From the Award Dashboard, open the My Awards tab.
2. Search for the Award by Project Number, Project Title, Lead Principal Investigator, Sponsor, etc. (*Note: Filter this list by multiple fields simultaneously.*)
3. The Award status is shown to the far right side of the screen.

Proposal Dashboard

- [Start New Proposal](#)
- [My Proposals](#)
- [Proposals in My Unit](#)
- [Advance Account Inbox](#)

Award Dashboard

- [My Awards](#) >>
- [Awards in My Unit](#)

Certifications/Approvals

- [PI Certification Inbox](#)
- [Unit Approval Inbox](#)

UC Davis Sponsored Programs Office
 1850 Research Park Drive
 Suite 300
 Davis, CA 95618
 Phone:
 Email: proposals@ucdavis.edu

>> My Awards

Awards | Active Projects | Inactive Projects

Below is a list of obligated awards on which you are listed as a member of the Research Team.

| Award No. | Project Title | Lead PI | Sponsor | Award Amount | Award Notice Received | Award Begin Date | Award End Date | Admin Unit | Account Numbers | Status |
|------------------------------|--|------------------|---|----------------|-----------------------|------------------|----------------|---|-----------------|---------|
| A17-0035-001 | ATF Almond Board KMO | Kassie Obelleiro | Almond Board of California (Federal) | \$150,000.00 | 05/01/2017 | 05/03/2017 | 05/31/2017 | Academic Assessment (068024) | | Pending |
| A17-0014-002 | Test_kmo | Kassie Obelleiro | Almond Board of California (Federal) | \$200,000.00 | 04/26/2017 | 05/01/2017 | 04/30/2018 | Academic Assessment (068024) | | Active |
| A17-0014-001 | Test_kmo | Kassie Obelleiro | Almond Board of California (Federal) | \$210,500.00 | 04/01/2017 | 05/01/2017 | 04/30/2018 | Academic Assessment (068024) | | Active |
| A17-0012-001 | Alzheimer effects on liver function. A team of medical doctors and naturopaths have implemented dietary changes, as well as the use of a specific liver formula for over 20 years to assist their patients in the reduction of fatty liver and liver dysfuncti | Carolyn Lee | American Association for the Study of Liver Disease | \$1,000,000.00 | 10/02/2017 | 11/01/2017 | 11/30/2025 | Med Int Med - Liver Transplant (049206) | | Active |

4. Open the relevant Award by selecting the Award Number.

- View the Notes tab to see if there are any outstanding items.
- View the Documents tab to see the Award documents.

Add a Note

Notes List

Note Area Filter: Award

| Note | Recorded By | Date | Note Area | Category | Access |
|--|-------------|------------|-----------|----------|---------------------------|
| Received A, B, C and D. Received concurrence on E. | Grace Liu | 04/26/2017 | Award | General | Admin Office, All Parties |
| I request A, B, C and D. I need concurrence on E. | Grace Liu | 04/26/2017 | Award | General | Admin Office, All Parties |

For Users with Award Data Access

If you are a Principal Investigator or key personnel, you will have access to IPFs started on your behalf and the associated Awards. However, if you are not a Principal Investigator this will require the appropriate level of access. See the Role Manager in your department if you need this access but do not have it.

- From the Award Dashboard, open the Awards in My Unit tab.
- Follow [Steps 2 to 6 above](#).

Proposal Dashboard

- Start New Proposal
- My Proposals
- Proposals In My Unit
- Advance Account Inbox
- Award Dashboard**
 - My Awards
 - Awards In My Unit >>
- Certifications/Approvals
 - PI Certification Inbox
 - Unit Approval Inbox

>> Awards In My Unit

Awards Active Projects Inactive Projects

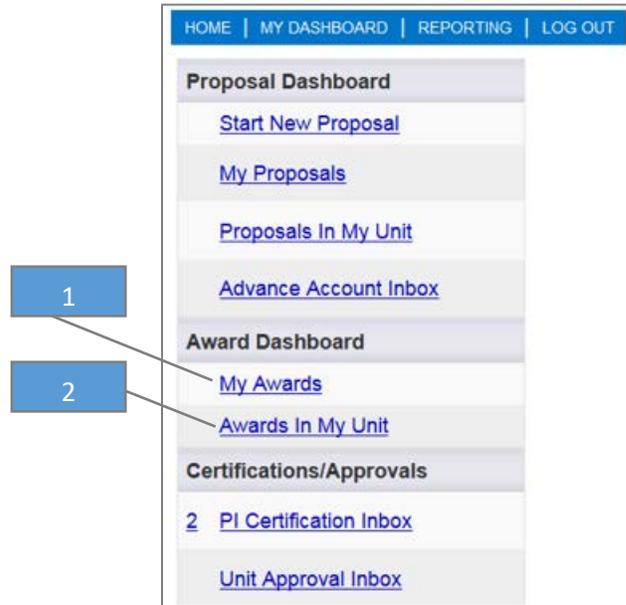
This is a list of obligated awards in units to which you have been granted Award Data Access.

| Award No. | Project Title | Lead PI | Sponsor | Award Amount | Award Notice Received | Award Begin Date | Award End Date | Admin Unit | Account Numbers | Status |
|-------------------|---------------|----------|----------|--------------|-----------------------|------------------|----------------|------------|-----------------|----------|
| Search x | Search x | Search x | Search x | Search x | Search x | Search x | Search x | Search x | Search x | Search x |
| No records found. | | | | | | | | | | |

Subawards/Subcontracts

Quick Reference

1. View the status of a Subaward/Subcontract for [users listed on the Investigators/Research Team tab](#) or on which you are key personnel.
2. View the status of a Subaward/Subcontract for [users with Award Data Access](#) in your unit.



Checking the Status of a Subaward/Subcontract

Subaward/Subcontract Status Definitions

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

For Key Personnel and Others Listed on the Investigators/Research Team Tab

1. From the Award Dashboard, open the My Awards tab.
2. Go to the Active Projects tab.
3. Search by Project Number, Project Title, Lead Principal Investigator, Sponsor, etc. (Note: Filter this list by multiple fields simultaneously.)

The screenshot shows the 'My Awards' dashboard. On the left is a navigation menu with 'Award Dashboard' selected. The main area has tabs for 'Awards', 'Active Projects', and 'Inactive Projects'. Below the tabs is a search bar with multiple search fields. A table lists projects with columns: Project No., Project Title, Lead PI, Sponsor, Project Amount, Project Begin Date, Project End Date, Admin Unit, Account Numbers, and Status. Two projects are visible: A18-0020 (Proposed) and A18-0013 (Active). Callout 1 points to the 'Award Dashboard' menu item. Callout 2 points to the 'Active Projects' tab. Callout 3 points to the search bar. Callout 4 points to the project number 'A18-0013' in the table.

4. Select the Project Number associated with the Subaward/Subcontract.
5. Go the Subcontracts tab.

The screenshot shows the 'Project Administration' page for project A18-0020. The top section displays project details: Project No. A18-0020 (Prime Acct:), Lead PI: Kassie Obelleiro, Project Dates: 7/01/2017 - 6/30/2018, Account Manager, Project Title: 060117 Test KMO, Total Anticipated: \$0.00, and Total Obligated: \$0.00. Below this is a navigation bar with tabs: General, Awards, Budget Overview, Accounts, Personnel, Events, Proposals, and Subcontracts. The 'Subcontracts' tab is selected. The main area contains a form with various fields for project details, including Project Title, Admin Unit, PI, Project Begin/End Dates, Sponsor, Cfda No., F&A Activity Type, Project Status, Confidential checkbox, Primary Administrative Contact, Prime Sponsor, Instrument Type, Agency Program Designation, and External System ID. Callout 5 points to the 'Subcontracts' tab.

6. Select the Subcontract Number to view Subaward/Subcontract details.
 - a. The Status is shown in the Subcontracts list.

Project Administration

Project No: **A18-0020 (Prime Acct:)** Lead PI: **Kassie Obelleiro** Project Dates: 7/01/2017 - 6/30/2018
 Account Manager: Total Anticipated: \$0.00
 Project Title: 060117 Test KMO Total Obligated : \$0.00

General Awards Budget Overview Accounts Personnel Events Proposals Subcontracts

Subcontracts for this project [Add New Subcontract](#)

| Subcontract No. | Account No. | Admin Unit | Status | FFATA Report Required | Organization | Sent Date | Execution Date | Total Dist. |
|-------------------------------|-------------|---------------------|----------------|-----------------------|------------------------------------|------------|----------------|--------------|
| A18-0020-S001 | | Academic Assessment | Fully Executed | Yes | Agricultural Labor Relations Board | 07/11/2017 | 07/19/2017 | \$200,000.00 |

View 1 - 1 of 1 Page 1 of 1

7. View the Notes section for status updates from the Subawards team, including the name of the assigned analyst.

>> Subcontract Administration

Subcontract No: **A18-1255-S002** ([View Project](#)) FDP Templates:

Subcontract Type: Original Amount: \$0.00
 Status: (Awaiting) Subcontractor Last Updated: 2/15/2018 12:00 AM - Kimberly Smith
 Project Title: Preventing Firearm Violence: An Evaluation of Urban Blight Removal in High Risk Communities. Primary Admin Contact: [Pamela Keach](#)

General Events

7

| Note | Recorded By | Date | Note Area | Category | Access |
|--|----------------|------------|-------------|----------|---|
| 03/01/2018 - Initial Sub at Case pending signature - follow up query | Kimberly Smith | 03/01/2018 | Subcontract | General | Admin Office All Parties |
| 02/15/2018 - Initial Sub sent to Case - pending signature | Kimberly Smith | 02/15/2018 | Subcontract | General | Admin Office All Parties |
| 02/01/2018 - Subaward in queue/process/drafting | Kimberly Smith | 02/01/2018 | Subcontract | General | Admin Office All Parties |
| 02/01/18 - Assigned K. Smith | Paula Noble | 02/01/2018 | Subcontract | General | Admin Office All Parties |

8. Go to the Documents tab to retrieve the fully executed Subaward document(s).

>> Subcontract Administration

Subcontract No: **A18-0020-S001** ([View Project](#)) FDP Templates:

Subcontract Type: Original Amount: \$200,000.00
 Status: Fully Executed Last Updated: 7/08/2017 11:24 AM - Kassie Obelleiro
 Project Title: 060117 Test KMO Primary Admin Contact:

General Events

8

Add Attachment

Click Browse to select a file: No file selected.
 Document Type:

| Attachment | File Type | Upload Type | Attachment Type | Access |
|---|--------------------------------|--------------|-------------------|-----------------------------|
| Fully Executed Subaward.pdf Uploaded by:Kassie Obelleiro On:07/08/2017 At:11:25 AM | 01 Fully Executed- Sub Initial | Admin Office | Award Subcontract | All Parties |

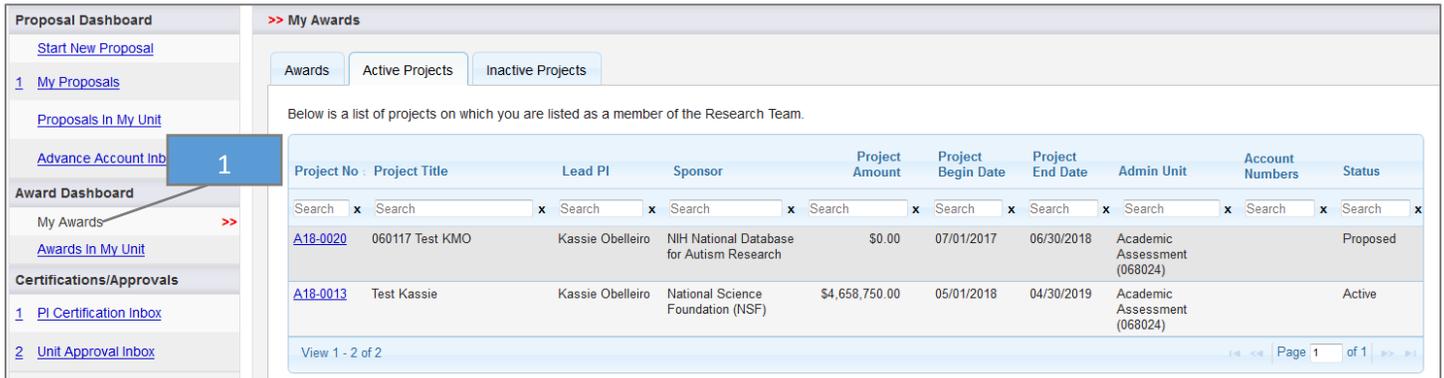
7

8

For Users with Award Data Access

If you are a Principal Investigator or key personnel, you will have access to IPFs started on your behalf and the associated Awards. However, if you are not a Principal Investigator this will require the appropriate level of access. See the Role Manager in your department if you need this access but do not have it.

1. From the Award Dashboard, open the Awards in My Unit tab.



The screenshot shows a web interface with a sidebar on the left and a main content area. The sidebar contains several menu items: 'Start New Proposal', '1 My Proposals', 'Proposals In My Unit', 'Advance Account Inb', 'Award Dashboard', 'My Awards >>', 'Awards In My Unit', 'Certifications/Approvals', '1 PI Certification Inbox', and '2 Unit Approval Inbox'. A blue box with the number '1' is positioned over the 'My Awards >>' link. The main content area is titled '>> My Awards' and has three tabs: 'Awards', 'Active Projects', and 'Inactive Projects'. Below the tabs, it says 'Below is a list of projects on which you are listed as a member of the Research Team.' A table follows with columns: Project No., Project Title, Lead PI, Sponsor, Project Amount, Project Begin Date, Project End Date, Admin Unit, Account Numbers, and Status. The table contains two rows of data. At the bottom of the table, it says 'View 1 - 2 of 2' and 'Page 1 of 1'.

| Project No. | Project Title | Lead PI | Sponsor | Project Amount | Project Begin Date | Project End Date | Admin Unit | Account Numbers | Status |
|--------------------------|-----------------|------------------|---|----------------|--------------------|------------------|------------------------------|-----------------|----------|
| A18-0020 | 060117 Test KMO | Kassie Obelleiro | NIH National Database for Autism Research | \$0.00 | 07/01/2017 | 06/30/2018 | Academic Assessment (068024) | | Proposed |
| A18-0013 | Test Kassie | Kassie Obelleiro | National Science Foundation (NSF) | \$4,658,750.00 | 05/01/2018 | 04/30/2019 | Academic Assessment (068024) | | Active |

2. Follow steps [2 to 7 above](#).

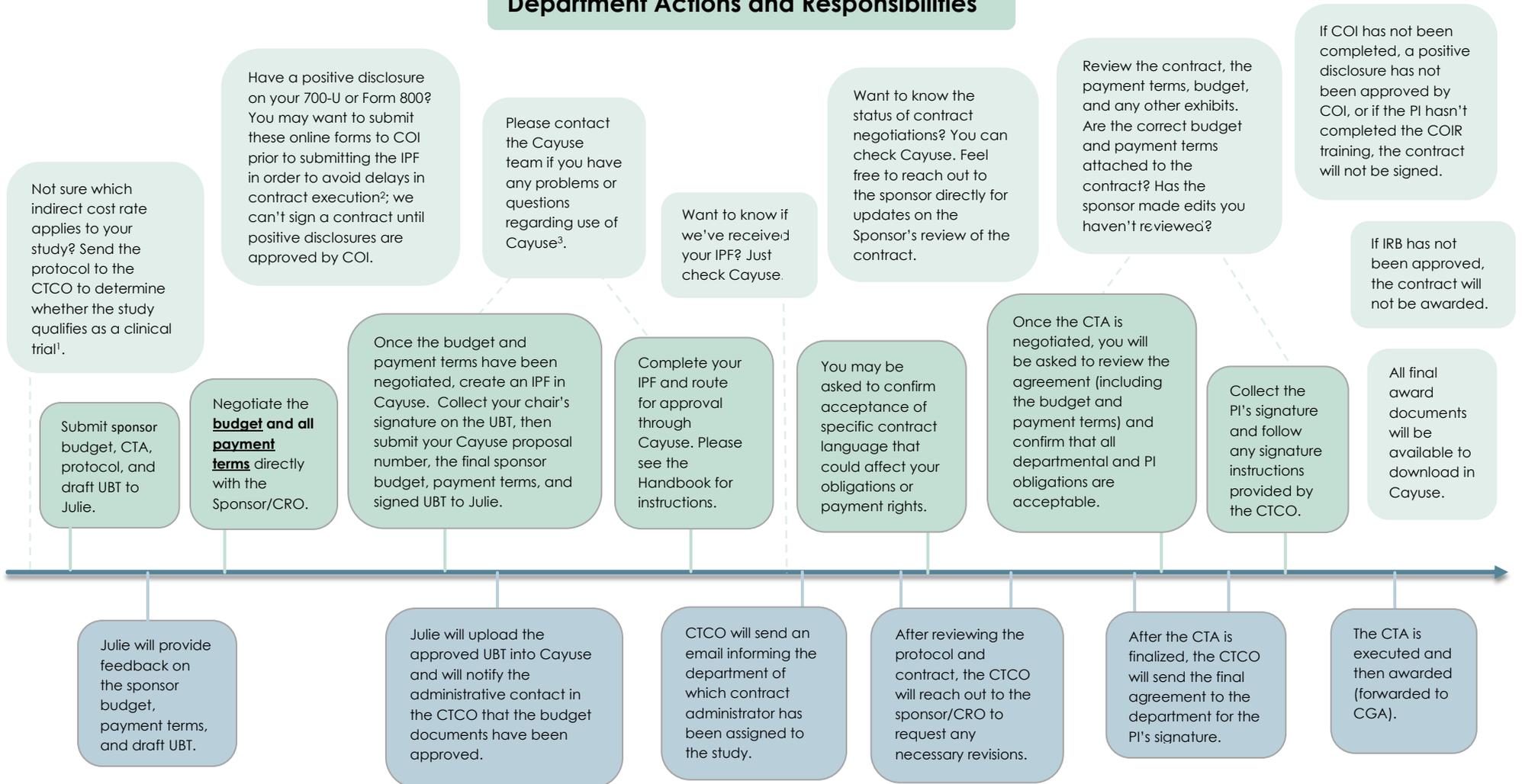
Resources

1. Handbook for Industry-Funded Clinical Trial Department Staff, Principal Investigators and Approvers: https://spark.ucdavis.edu/training/cayuse-end-users_ct-specific/
2. UC Davis Cayuse Landing Page: <http://spark.ucdavis.edu/cayuse/>
3. UC Davis Cayuse SP Training Schedule, Materials and User Guides: <http://spark.ucdavis.edu/training>
4. UC Davis Cayuse SP FAQs: <http://spark.ucdavis.edu/spark-faq/#csp>
5. UC Davis Cayuse Help Desk: ORCayuseHelp@ucdavis.edu
6. UC Davis Cayuse Listserv: https://lists.ucdavis.edu/sympa/subscribe/spark_info
7. Cayuse Support and Community: <https://support.evisions.com/>

Appendix

Clinical Trials Contracts Office Workflow Diagram

Department Actions and Responsibilities



CT Contracts Office (CTCO) Actions and Responsibilities

1. Definition of a Clinical Trial: <http://research.ucdavis.edu/proposals-grants-contracts/helpful-links/costs/>
2. Online COI submission: <https://or-forms.ucdavis.edu/>
3. Cayuse help: ORCayuseHelp@ucdavis.edu
4. Failure to submit a complete and correct IPF in accordance with the *Handbook for Department Industry-Funded Clinical Trial Staff, Principal Investigators and Approvers* will result in delayed review. Don't forget to upload all required attachments:
Clinical Trial: UBT, Sponsor Budget and Payment Terms (if separate from the CTA) CTA, Protocol, and the Exception to Policy for Clinical Study Contracts
Service: Internal Budget, Sponsor Budget and Payment Terms, Service Agreement, and Protocol