Overview of the Funding Process at UC Davis

1. Investigator has an idea, looks for funding opportunities
2. PI writes proposal
3. Department helps prepare details
4. Proposal sent to Sponsored Programs Office
5. Sponsored Programs reviews proposal, decides whether or not to fund
6. Proposal sent through Sponsored Programs to funding agency
7. Sponsored Programs reviews terms and conditions for conformity with UC policy and negotiates as needed
8. Agency reviews proposal & decides whether or not to fund
9. Sponsored Programs accepts award on behalf of the Regents
10. Department sets up the fund with Contracts & Grants Accounting
11. PI conducts research, spends award
12. Department monitors expenditures
13. Department's Responsibilities
14. Sponsored Programs in association with Contract and Grants Accounting complete close-out
15. PI uses results to develop more proposals
16. Award ends & Final Reports are submitted
Best Practices

**Pre-Award**

- Start Early (if possible)
- Review Request for Proposals/Application or Broad Agency Announcements or Sponsors’ Guidelines (for example: NSF’s PAPPG or SF424 [R&R] Application Guide)
  - Due Date(s)?
  - Period of Performance? Earliest Start date? Maximum project period?
  - Modular or Detailed budgets? Maximum and minimum budget amounts?
  - Sponsor-specific allowable and unallowable costs? Indirect/overhead costs limitation? Salary cap? Minimum effort?
  - Sub awards? Other Institutions of Higher Ed? UC campus? Non-profit organizations?
  - Proposal components required. For example: SF424, biographical sketches, Facilities and Other Resources, Data Management Plan, Data Sharing Plan, Budget Justification, Multiple PI Leadership Plan, etc.
  - Institutional disclosures? Form 800? 700U? PHS eDisclosures?
  - Does the sponsor require an organizational commitment letter?

**Post-Award**

- SPO/PI receives award notification? If PI receives award notifications, departments to forward them to <awards@ucdavis.edu> referencing CAYUSE Proposal number (if applicable).
- If PI submits a proposal without SPO review and later receives an award, the award notification with the proposal must be submitted through CAYUSE SP as an “After-the-Fact” proposal type
- Review period of performance as it may be different from the dates during proposal submission.
- Does the sponsor allow 90-day pre-award costs?
- Indirect costs waivers?
- Advance account request?
- Review awards’ terms and conditions.
  - Prior approval requirements? For example: Carryforward of unspent balance to next budget period, foreign travel, equipment purchase, etc.
  - Re-budgeting? At what percent is the PI permitted to re-budget without prior approval?
  - Progress report and financial reporting schedules?
  - Award close out? 90-days? 60-days? Sponsor-specify?
- CGA notify department of fund number assignments
- Account set up following department-specific org/account structure?
- Departments to check appropriations and monitor expenses (allowable, allocable, reasonable and consistent cost treatment; comply with strictest policies)
- Departments to check indirect costs calculations
- CGA to submit financial reports; PI to submit technical report and to submit invention/patent report to Office of Research-Close out team (<or_spocloseout@ad3.ucdavis.edu>)