UNM Cayuse SP User Guide

Cayuse Research Suite is used by the UNM Office of Sponsored Projects to manage proposal submissions to funding agencies and track awards for the Main and Branch campuses. This guide has been developed to help you navigate Cayuse SP to create a new proposal record.

Last Updated December 19, 2017
How To Get A Cayuse Research Account

In order to access Cayuse, you will need to request and obtain a UNM Cayuse Research Account. The Office of Sponsored Projects will create your account and any other account needed to submit to the funding agency (e.g. NSF/Fastlane, NIH/eRA Commons).

Step 1:
Open an internet browser and go to osp.unm.edu

Step 2:
Select “Cayuse Research Suite”

Step 3:
Click on “Request a Cayuse Research Suite User Account”

*You will be prompted to enter your UNM Net ID and Password

Notes:
A Cayuse account is required to access Cayuse SP even if all you need to do is approve a record.

In your request, please provide all details and additional information to help OSP accurately set up your account request (e.g. you already have an NSF Fastlane account and your account needs to be affiliated with UNM).

Grants Management Training is required for all new Principal Investigators (PIs) prior to submitting a proposal. For existing PIs, this training must be re-taken every three years. This is offered online through UNM Learning Central under “GMT 100.”
How To Get A Cayuse Research Account (cont’d)

In order to access Cayuse, you will need to request and obtain a UNM Cayuse Research Account. The Office of Sponsored Projects will create your account and any other account needed to submit to the granting agency (e.g. NSF/Fastlane, NIH/eRA Commons).

Step 4:
Fill out the New Account Request Form and click the “Submit Form” button at the bottom of the page.

Notes:
An e-mail notification from OSP will be sent to you within 2 business days from when you submit your request to let you know your account has been created.
How To Log Into Cayuse SP

The Office of Sponsored Projects will set up your UNM Cayuse Account and send you an e-mail notifying you that your account is active.

**Step 1:**
Open an internet browser and go to [unm.cayuse424.com](http://unm.cayuse424.com)

*You will be prompted to enter your UNM Net ID and Password*

**Step 2:**
Under Research Administration Modules, select "Cayuse SP"

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**Notes:**

The Cayuse SP module is used to create, route and store proposals submitted to a funding agency. Always start here.

The Cayuse 424 module is used only when you are doing a system to system grant submission to grants.gov.

You can access Cayuse SP on campus or remotely.
Navigating Cayuse SP

When you have logged in to Cayuse SP, you will land on the Home Screen. Let’s take a look at what you will see.

My Dashboard
Get fast access to proposals, awards, and routing certifications or approvals

- Start New Proposal
- My Proposals
- Proposals in My Unit
- Pre-Award Spending Inbox
- My Awards
- Award In My Department
- PI Certification Inbox
- Unit Approval Inbox

Reporting
While this tab is available, we recommend you run proposal and award reports from the "Sponsored Research Dashboard" in “My Reports” (https://myreports.unm.edu/ibi_apps/signin).

Log Out
When you are done with Cayuse, click Log Out to exit your session.

Dashboards
Proposal – allows you to view, create, and edit proposals and related items.
Award – allows you to view awards and related items
Certifications/Approvals – where you find proposals you need to certify in order to:
  • Begin the routing process;
  • Submit to OSP for review of the proposal before it is submitted to the funding agency

Notes:
Recommend that a user uses Mozilla Firefox for PC and MAC.
Ensure that Pop-ups on your browser are enabled.
Periodically delete cookies.
Finding your “Unsubmitted Proposal”

Your work and progress (entering data) in Cayuse SP can span multiple days. Your unsubmitted proposals will be listed in the “Unsubmitted Proposals” section in your “My Proposals” page.

Step 1:
Select “My Proposals” from the Proposal Dashboard on the left hand side of the screen.

Step 2:
Select “Unsubmitted Proposals” tab in the middle of the screen.

Step 3:
Click the proposal number (Prop No) to open your proposal.

Notes:

Edit
You can edit this proposal to add or remove information

Copy
You can copy this proposal if you have a similar proposal

Delete
You can delete a proposal if you do not wish to move forward
Finding your “Submitted Proposal”

Proposal records that have been submitted for routing can be accessed in the “Submitted Proposals” section of Cayuse SP. You can see where the proposal is in the internal review process at UNM before it is submitted to the agency.

Step 1:
Select “My Proposals” from the Proposal Dashboard on the left hand side of the screen.

Step 2:
Select “Submitted Proposals” tab in the middle of the screen.

Step 3:
Click the proposal number to open your proposal.
How To Start A New Proposal Record In Cayuse SP

Every proposal submitted through UNM must have a Cayuse SP record for obtaining UNM approvals and routing to OSP.

Step 1: Select “Start New Proposal” from the Proposal Dashboard on the left hand side of the screen.

Step 2: Fill out each section by entering information into the required and applicable fields.

Step 3: When all required fields are completed, click the “Save” button at the end of the page. This will save your information and create a proposal number (Prop No).

Notes:
- Fields noted with a red asterisk (*) are required.
- The double red arrow (>>) indicates the section of the proposal dashboard item list you're currently on.
- Only Create a Paired Proposal if you are going to use Cayuse424 to submit directly to the funding agency via grants.gov.
- When communicating with OSP, it is best to reference the proposal number.
**Sponsor Information**

* Funding Agency
Select the funding agency that will directly fund the research project. Generally speaking, this is the funding agency whose name will be on the check to UNM or to whom UNM will send invoices.

- If the funding agency is not listed, please contact osp@unm.edu to request to add a funding agency (include the contact information: name, website address, and location of the organization).

**Funding Opportunity/Sponsor Application No.**
If applicable, enter the alphanumeric number provided by the funding agency for this proposal.

**Sponsor Program Name**
If applicable, enter the program name provided by the funding agency for this proposal.

**Proposal Guideline URL**
If applicable, enter the web address of the guidelines or instructions associated with the sponsor’s application. Upload copy to “Attachments.”

**Prime Funding Agency**
If applicable, select the Prime Funding Agency. This applies when UNM will be a subawardee (i.e. UNM receives a subaward or subcontract from an intermediate funding source).

- Example: NSF awards a grant to Stanford and Stanford awards a subaward to UNM. NSF is the Prime Funding Agency and Stanford is the Funding Agency.
General Proposal Information

* Submitting Unit
Select the lead unit (e.g., department, center) that has the responsibility to manage the project should it be awarded.

* Department Contact
Select the Department Administrator, Accountant, Research Assistant or other designee who will serve as the contact person for this project regarding pre-award and post-award questions.

* Short Project Name
This may be different than the “Title of Project” and is used for reference within SP. It is equivalent to the “Proposal Name” in 424.

* Project Start Date
Click the “Calendar” icon to select a start date for the project.

* Project End Date
Click the “Calendar” icon to select an end date for the project.

* Activity Code
Click to choose the appropriate activity type for the project. These codes are needed for various federal surveys the University is asked to provide on a yearly basis. If in doubt, always select “Basic Research” the OSP staff will review the record and make any changes to these as needed.

  - Applied Research - The objective of the project is to gain knowledge or understanding necessary for determining the means by which a recognized need may be met.
  - Basic Research - The objective of the project is to gain more complete knowledge or understanding of the fundamental aspects of phenomena and of observable facts, without specific applications toward processes or products in mind.
  - Clinical Trial – Only use for clinical trials.
  - Fellowship Non Research - Most fellowships are tied to a research project, however, there may be cases in which the fellowship is related to a public service project, for example some fellowships from Non Profit organizations.
  - Fellowship Research - Fellowships from NIH and NSF should be coded as Fellowship Research.
  - Instruction - Only select if the proposal/award is to teach a for credit class at UNM or at another university.
  - Public Service/Other - Select this option for all awards that do not fall under any of the above selections.

Note: The following selections are no longer valid and should not be used.

  - ZZZ - Fellowship – DO NOT USE
  - ZZZ – Instruction/Training – DO NOT USE
  - ZZZ - Other – DO NOT USE
  - ZZZ - Research – DO NOT USE
General Proposal Information

Proposal Type
Select the applicable option from the menu:

- **New**: Use if you are requesting new dollars and your proposal is NOT associated with an existing award (i.e. new proposals are submitted in response to a solicitation)
- **Preliminary Proposal/White Paper and Letter of Intent**
- **Non-Sponsored Research** – this option is reserved for OSP use only
- **Contract (New)** - This option should be used strictly for contracts (e.g. contracts from the State of NM, Industry, and Foreign countries)
- **Contract (Partially Executed)** – DO NOT USE
- **Proposal After The Fact** – this option is reserved for OSP use only

**Options that are associated with an existing award (contract or grant):**

- **Supplemental Request**: Use if requesting additional new dollars, extending period of performance, or requesting a change in the scope of work on an existing award.
- **Competitive Renewal**: Use if submitting a proposal to compete for a second segment of an existing award (i.e. NIH awards)
- **Continuation (Award)**: DO NOT select this option for a proposal record. This option is used for Award records only.
- **No Cost Extension (Award)** - DO NOT select this option for a proposal record. This option is used for Award records only.
- **Revised (Award)** - DO NOT select this option for a proposal record. This option is used for Award records only.
- **Contract (Award)** - DO NOT select this option for a proposal record. This option is used for Award records only.

If you can’t figure out the proposal type for this project, go ahead and select ‘New’. OSP will review and determine the correct proposal type.
General Proposal Information (cont’d)

Instrument Type
Select the appropriate type of agreement/funding mechanism that will likely be used by the funding agency. This is often specified in the RFP.
- Contract
  - If selected, specify if Federal, State, Foundation, Industry, Foreign, Laboratory, Non-Profit, Other Universities, Other Governmental, Other)
- Grant
- Cooperative Agreement
- Unfunded Agreement (e.g. Non-Disclosure Agreement (NDA), Memorandum of Understanding (MOU), Material Transfer Agreement (MTA))
- Property Agreement

How will this proposal be submitted?
Select the submission method for the proposal:
- Cayuse 424
- Grants.gov forms
- FastLane
- funding agency website
- Email
- Paper
- Other

If this is a paper submission, please enter the following information:

How many copies are required?
- Enter the number of copies requested by the funding agency.

Sponsor’s Mailing Address and Contact Phone Number:
- Enter only the mailing address and contact information. This field should be no more than 255 characters. Enter any detailed submission instructions in the Additional Notes section of your Item List (left side of the screen after this page has been saved).

- If any hard copy documentation is required to be submitted to the funding agency, it may be necessary to pick up those documents from OSP. The PI will receive an email directing them to pick up any hard-copy documents once the proposal record has been approved by all units and OSP.
General Proposal Information (cont’d)

Collaborating Dept(s)/Centers
If applicable, “Click Here to Choose Affiliated Unit(s)” to choose the individual department(s)/center(s) that are collaborating on this project.

* Sponsor Deadline
Click the calendar icon to enter the date and enter the time by which the proposal must be postmarked or received by the funding agency.

* Title of Project
Include the full/formal title of the proposal that is being submitted to the funding agency.
Pairing a Proposal

Create a Paired Proposal

Check this radio button to enable the Cayuse 424 Proposal section in the proposal dashboard Item List.

Proposal records developed in Cayuse SP may be paired with proposals in Cayuse 424. We recommend beginning to build the proposal in Cayuse SP first so that pairing is straightforward, however, proposals created in 424 can be paired with SP if they are created separately and before the SP record.

When the proposals are linked, routing is handled through Cayuse SP. The Cayuse 424 proposal is the one that is submitted to Grants.gov.
Your Saved Cayuse SP Proposal

Item List Number (Prop No)
This is the proposal record number and should be referenced when communicating with OSP.

PDF Viewer
Displays a summary of the Cayuse SP record.

Paired Cayuse 424 Proposal
If the proposal is paired, you'll see the pairing icon in the Item List header, and a link to the Cayuse 424 Proposal in the Item List

Item List
Includes all of the sections that must be completed prior to routing for internal approvals.

Green Check mark
You'll see a green check mark next to a section of the Item List, indicating that you have provided all the required information.

No Check mark
The sections without a green checkmark have not been completed. The Additional Notes section is optional; a green check mark will appear if information is entered.

Note:
After you have provided information in the previous screen, this automatically populates a “General Information” section for your proposal record. Your item list number (Prop No) gets assigned after you click Save and your Item List appears.

Click the “Save” button to save your progress in the section where you have provided information. A pop-up window asking you to save your progress will appear if you have not manually saved your progress.
* Last Name
Search for the investigator’s last name. The following fields may be auto-populated from the general information section: First Name, Phone, Email, Unit, Role.
The first person you add should be the person responsible for the technical, regulatory and financial aspects of the project, and that person will have the role of Lead Principal Investigator. Only one person on the proposal should have this role.

* Person Months
The individual’s involvement in Person Months.

* Sponsored Effort %
The individual’s total effort in the initial or current budget period.

Cost Shared Effort %
The portion of the individual’s total effort that will be cost shared. If the proposal does not make use of cost shared effort, you may leave this field blank.

Allocation of Credit %
UNM does not use this field, you may leave it blank.

Save Personnel
Click the ‘save personnel’ button to add the person to this proposal.
Investigators/ Research Team (cont’d)

* Role
Select the role from the drop-down menu for additional investigators:

- **Lead Principal Investigator:** There should only be one person named as the Lead. This is usually the Principal Investigator on the project.
- **Principal Investigator:** This individual has significant responsibility for the conduct of a human subjects study. Responsibilities may include study subject recruitment, arranging subject visits, informed consent, regulatory documents, case report forms, and meeting with study monitors.
- **Postdoctoral Research Associate:** This individual has received a doctoral degree and serves on the research project.
- **Graduate Research Assistant:** A post baccalaureate student who serves on the project.
- **Clinical Research Coordinator:** An individual is identified in this role on a limited basis such as on program project grants or on a clinical trial.
- **Technical Staff:** This individual performs standardized or routine measurements, analyses or procedures in support of the research project.
- **Undergraduate Student:** This role defines an undergraduate student.
- **Administrative Contact:** This individual has proposal edit rights, but is not named on the budget (e.g., department contract and grant manager).
- **Administrative Assistant:** This role is used on a limited basis on eligible funding opportunities, for example, program project or state contracts.
- **Proposal Editor:** Grants simultaneous permissions to a proposal equal to the Proposal Creator in the SP record and 424 record. Example: use this role to grant a Faculty Research Support Officer (FRSO) access to your proposal.
- **Other Key Participant:** This designation accommodates project participants whose role title differs from those above. After selecting Other Key Participant, a field labeled "Role Title" appears beneath the Role. Enter the participant's custom title into the Role Title field. The participant's department will be included in the routing list on the Approving Units screen.
- **Other Participant (no routing):** This designation serves the same purpose as Other Key Participant, except that the participant's department is excluded from the routing list on the Approving Units screen (use this in lieu of "Proposal Editor" role).

**Commonly used roles in a Cayuse SP record for UNM**
List of Personnel
This area shows the personnel who have already been added. Click "Edit" to make changes to a person's entry, or "Delete" to remove them from the Investigators/Research Team section of the Item List.

Personnel with the Lead Principal Investigator and all Principal Investigator roles will receive an electronic notification to certify their role on this project once the record is completed and prior to submission to the funding agency.

There should be only one Lead PI on the proposal. Once the Lead PI role has been used once, this role will no longer be available in the drop down menu. Other Investigators may have the Principal Investigator role (this is the co-PI role).

Reset
Click to remove all investigators from the Investigators/Research Team section of the Item List.

Note: Units of all Personnel listed will be included in the “Approving Units” page. Ensure that the information on this page is accurate.
Budget - Overview

* **Budget Form**
If you do not have a 424 paired proposal, there will be two options (Summary and Detailed) to select. Select ‘Summary’ from the drop-down menu. You will need to complete the information in this section in addition to uploading both the Excel Detailed Budget Spreadsheet and Budget Justification documents to the Proposal Attachments section in Cayuse SP.

If you have a paired Cayuse 424 proposal, you will see the ‘Autofill’ option in addition to the ‘Summary and Detailed’ option. Select the ‘Autofill’ option and then click the ‘Re-Autofill’ button. This will bring in your detailed budget from Cayuse 424 into this budget section of the SP record so you do not have to manually enter your budget.

* **# of Budget Periods**
Select the correct number of budget periods before beginning work in this section. Changing the number of periods after you have entered data will reset all budget numbers for the entire project period.

* **Start Date**
Select the correct start date from the calendar for the current period.

* **End Date**
Select the correct end date from the calendar for the current period.

**Comments**
Cost Share requirements and/or reductions in F&A will need to be noted with reference to the agency guidelines (e.g. section title/number, paragraph that references F&A is disallowed or limited).
**Budget - Cost Sharing**

* Does this proposal include funds or contributions in the form of required cost sharing?
Select the appropriate response for this proposal. If you select “No,” continue to the F&A Rates. If you select “Yes,” provide the following information:

**Check the appropriate cost sharing/cash matching type(s):**
- **Agency Mandated Amount:** $ - Enter the numeric value in USD
  - Check the box to indicate the type of cost-share (F&A, In-Kind, Cash Matching, Salary Cap)
  If none of the types apply, add a comment
- **Voluntary Amount:** $ - Enter the numeric value in USD. Note that this is unallowable per UNM policy.

**Add Cost Sharing Unit**
- **Unit** – Select the unit that will provide the cost share
- **Amount** – Enter the numeric value that this unit will be responsible
- **Account** – Enter the account number associated with the cost-sharing
- **Add Unit** – Click Add Unit to add this unit. You can repeat this process for as many units as are involved in cost sharing.

Units entered as Cost Sharing Units will appear on the Approving Units screen as units that must approve the proposal. The IPF Approver(s) for this unit, as well as the proposal’s Lead Principal Investigator, must certify and approve the cost sharing as part of proposal routing and approval process.

If the total of cost sharing as allocated to the cost sharing units is not the same as the total cost sharing indicated, you will receive an error message when attempting to save the budget. Be sure that you have accounted for all of the cost sharing under the Cost Sharing Units before saving.

After filling in the Cost Sharing section, the Institutional Cost Sharing category under Total funding agency Proposed Costs for the Current Period will be filled in automatically if you are using calculated values. We advise entering the total cost sharing amount for the Entire Project in this area at this time as well since this information is required if cost sharing is entered for the Current Period.
Budget - F&A Rates

Although you can enter up to three F&A rates (Indirect Cost rates) for the current period and for the entire project, most proposals will only have one rate. Multiple rates apply when a project crosses two fiscal years and each year has a different rate. Clicking into an F&A Rate field will display a table for selecting an appropriate F&A rate.

If you are using a rate that is not shown in the table, manually enter the rate in the F&A rate field located on the left side right below the table. After you enter the correct rate, click the 'Change rate' button. This changes the rate for the current proposal.

By default, the effective rate, a calculated composite of the indirect costs and the bases they are applied to, will be calculated and displayed in reporting. To use a different effective rate, uncheck the 'Use calculated values' checkbox, and enter the desired effective rate. If you have unchecked ‘Use calculated values,’ make sure you have entered the desired effective rate. If the effective rate is not correct, calculations may not match.

Note that if you change your mind later and decide to use the calculated values, the custom value you've entered for the Effective Rate will be removed. You will not be able to retrieve it by unchecking the box, because the Effective Rate row will retain the calculated rate value until it is edited and saved.

The calculated rates will not be displayed until the F&A bases have been entered under funding agency Direct Costs in the Budget Categories section, because the effective rate cannot be determined until the bases are known.
The summary budget provides columns for entering budget numbers for the Current Period and the Entire Project, and separates budget categories for Direct and Indirect costs. Funding agency Direct Costs are manually entered and can be broken down into base allocations for up to three different F&A Rates selected in the F&A Rates section.

The Indirect costs can be calculated based on the F&A rates if the Use calculated values checkbox to the left of the line item is checked. The same is true for the Total funding agency Proposed Costs, which is the sum of the Direct and Indirect costs, not including any Institutional Cost Sharing. If the Use calculated values box is not checked, these can be entered manually.

Total Institutional Costs are always calculated from the total of the costs above, adding Institutional Cost Sharing to the Total funding agency Proposed Costs.

Only numbers can be entered in the budget categories area. Do not attempt to enter commas or decimal points.
Budget - Additional Resources

If you need additional resources that are not monetary, indicate that here. If you answer Yes, you will see additional information that you need to fill out:

- Check the resources that you will need (personnel, space, equipment), and provide justification for each in the text box provided. Also indicate if approvals from the relevant department(s) have been obtained.
The questions in this section are required to determine whether members of the Research Team, their family members, or the institution are involved in activities that may impose an actual or perceived conflict of interest as it would relate to the conduct of the research or a member’s relationship with the funding agency.

If you think a conflict exists, please refer to Faculty Policy E110 on conflicts of interest and commitment.

For UNM Main and Branch Campus, Financial Conflicts of Interest (FCOI) disclosures have to be submitted annually or at a time of material change (e.g., in financial interests or modification of professional arrangements outside of UNM). Disclosures and material changes are submitted via the electronic submission portal which can be found on the UNM Main Campus COI webpage. For every PHS/NIH submission, a separate COI Disclosure must be submitted.

Management Plan clarification: Individuals who have a conflict that is currently being managed must click “Yes.” Example: You have signed a COI management plan and have an active monitor.
* Does this research involve HUMAN SUBJECTS?
Select the appropriate response. If you select "No" proceed to the Animal Subjects section. If you select "Yes" enter the following information:

* If yes, has your research team submitted an application for IRB approval?
Select the appropriate response.

  If "No" is selected, provide the following information:
  * If you have not submitted an application for IRB approval, please check reasons below:
    Select the appropriate response:
    • Not required at proposal submission (JIT)
    • Submission is pending

  If "Yes" is selected, provide the following information:
  * If yes, please provide the human subject information below:
    • List the application numbers into the textbox
* Does this research involve ANIMAL SUBJECTS?
Select the appropriate response. If you select "No" go to the Research Materials section. If you select "Yes" enter the following information:

* If yes, has your research team submitted an application for IACUC approval?
Select the appropriate response.

If "No" is selected, provide the following information:
* If you have not submitted an application for IRB approval, please check reasons below
Select the appropriate response:
• Not required at proposal submission (JIT)
• Submission is pending

If "Yes" is selected, provide the following information:
* List the application numbers below:
• Enter the number(s) into the text box
* List the species involved with this project:
• Enter the species involved and use commas as a separator
Regulatory Compliance – Research Materials

Does the proposal involve research with any of the following? Check all that apply:

- Radioactive Materials
- Biological Materials (hazardous and non-hazardous)
- Chemical Reagents (e.g. poisons, explosives, reagents, flammables, carcinogens)
- Does this study involve the use of hazardous (other than Radiological or Biological) materials provided by the funding agency or any other party?
Subcontractors

No Subcontractors
If there are no subcontractors for this proposal, click the “No Subcontractors” button. This will allow you to proceed to the next section of the proposal.

Add Subcontractor
If subcontractors are included as part of the proposal, click the text box next to the Subcontractor field to locate each subcontractor by name, then click “Add Subcontractor.” If the subcontractor name is not listed, please email osp@unm.edu to request to add a record for the subcontractor (include the contact information: subcontractor’s name, website address, and location of the organization).

After subcontractors have been added, they may be removed individually. If you have previously selected No Subcontractors and you now need to add one, or have selected many subcontractors and need to remove all of them, click Reset.

After adding subcontractors, you should upload the following documents to the Attachments section of the proposal record in Cayuse SP:

• Statement of Work
• Budget
• Budget Justification
• Outgoing Subcontract Commitment Letter (signed by their OSP counterpart)
• The negotiated Indirect Cost Rate Agreement (F&A Rate Agreement)

Additional information that may be required:

• Representations and Certifications
Export Control

1. Does the funding announcement/solicitation indicate that any of the following restrictions or limitations will be applied to eventual awards?
   - prior approval for dissemination/publication;
   - export control restrictions (International Traffic in Arms Regulations, Export Administration Regulations or nuclear regulations);
   - restrictions on access or participation of foreign nationals;
   - or need for a U.S. government security clearance.

Select the appropriate response for the project activities.
2. Do you anticipate that the project work may involve:

* a. International Travel, Foreign Performance Sites, International Collaboration or International Shipments?

Select the appropriate response for the project activities.

If "Yes" is selected, provide the following information:

i. What items do you plan to ship or transport out of the US?

Provide your response in the text field and be specific (examples include: GPS, other equipment, biologicals, diagnostic kits, reagents).

ii. What country(ies) are you shipping to or traveling to?

Select the country from the scrollable list. If you will be traveling to multiple countries, select the countries by:

- MAC user: hold down command as you click the appropriate countries with your mouse/pointer
- PC user: hold down ctrl as you click the appropriate countries with your mouse/pointer

* b. Participation of Foreign Nationals?

Select the appropriate response for the project activities. Note: Green Card holders are considered U.S. Persons.

* c. Transmitting funds (through payments, for example) or goods or technology to a U.S. U.S. Sanctioned country? Please see link for a list of current U.S. Sanctions: [http://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx](http://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx).

Select the appropriate response for the project activities.
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 or select agents?
   Select the appropriate response for the project activities.

* b. Equipment, technology, materials or software with a strong potential dual-use (civilian and military) application or direct military application? If yes, please proceed to the following link: [http://researchcompliance.unm.edu/sites/default/files/EC%20Exclusion%20Screening%20Form_Ver%2016_07-15-11.doc](http://researchcompliance.unm.edu/sites/default/files/EC%20Exclusion%20Screening%20Form_Ver%2016_07-15-11.doc)
   Complete the Export Control Exclusion Screening Form and upload it into this CayuseSP record.
   Select the appropriate response for the project activities.

* c. Is there a Non-Disclosure Agreement (NDA) associated in any way with this project?
   Select the appropriate response for the project activities.

The Lead Principal Investigator must work with OSP to determine that any research affected by the Export Control Act complies with its regulations and reporting requirements far enough in advance to obtain an export license, should one be required.

Any change in the scope or addition of new staff may require a redetermination.

Please contact OSP or UNM Export Control if you have any questions about export control regulations.
Intellectual Property

* 1. Have you disclosed any of this research to STC.UNM (STC)?
Select the appropriate response for the project activities. Disclosure refers to the submission of a Report of Invention (ROI) to the Office of Technology Development. An ROI may lead to the filing of a patent application and may further lead to commercial licensing of the invention, regardless of whether a patent application was filed.

If “Yes” is selected, provide the following information:

Please enter the title:

- Provide the title in the text field. The character limit is 1000 (this includes spaces, periods, and commas).

If “No” is selected, provide the following information:

Do you think this research has the potential for a patent?

- Select the appropriate response for the project activities.

* 2. Does the research in this proposal involve any filed patents?
Select the appropriate response for the project activities. A patent is a federal grant based on an invention, which gives the holder the right to exclude others from making, using, or selling the invention. A patent application gives notice that such rights may arise in the future, however, the right to exclude others begins only when the patent is issued.

* 3. Does the research in this proposal involve any issued patents?
Select the appropriate response for the project activities. Sponsored research projects may contemplate further development of your institution’s inventions claimed in a patent or patent application, or patented inventions owned by outside parties may be relevant to the project. Such situations need to be addressed appropriately in the sponsored research agreement.
* 4. Will this research use any materials obtained from a third party under a transfer agreement granting ownership rights in inventions and/or data out of the use of the material?

Select the appropriate response for the project activities. A transfer agreement can be a Material Transfer Agreement (MTA), academic or research use license, or any other written agreement under which the researcher has obtained the limited right to use something owned by another entity. Researchers also share materials with outside parties under an MTA or other forms of research use licenses.

Should the sponsored research proposal contemplate using materials, data, or software obtained under such an agreement, OSP will ensure to avoid conflicting obligations between the transfer agreement and the funding agency of the proposed research.

* 5. Will this research use any material, patented or otherwise, which is owned by UNM and licensed to a commercial entity?

Select the appropriate response for the project activities. A license is a written agreement whereby the owner of property grants limited rights in that property to another. A commercial license for tangible property (material) or intellectual property typically grants the right to make, use or sell the property.

If an institutional invention is licensed to a commercial entity and is also to be used or further developed in the proposed research, OSP must take care to avoid granting rights in that invention to the funding agency.
* 6. Is this proposal a SBIR (Small Business Innovative Research Program)?
Select the appropriate response for the project activities. SBIR is a highly competitive program that encourages small businesses to explore their technological potential and provides the incentive to profit from its commercialization. By including qualified small businesses in the nation’s R&D arena, high-tech innovation is stimulated and the United States gains entrepreneurial spirit as it meets its specific research and development needs.

* 7. Is this proposal an STTR (Small Business Technology Transfer Program)?
Select the appropriate response for the project activities. STTR is an important small business program that expands funding opportunities in the federal innovation research and development arena. Central to the program is expansion of the public and private sector partnership to include the joint venture opportunities for small business and the nation’s premier nonprofit research institutions. STTR’s most important role is to foster the innovation necessary to meet the nation’s scientific and technological challenges in the 21st century.

If “Yes” is selected, provide the following information:

Will you be the designated Principal Investigator for the project?
• Select the appropriate response for the project activities

What is your formal relationship with the applicant organization?
• Select the appropriate response (Board of Directors, Company Officer, Scientific Review Board, Other).

Will at least thirty percent (30%) of the work of the STTR be performed by UNM?
• Select the appropriate response for the project activities
Indicate the locations where your research will occur and assign a percentage to each location. Percentages should reflect the portion of the total budget that would be expended in that location. If activities occur on campus, there is no need to add the campus county as an In-State Location; likewise for the state and country.

The sum of percentages in all locations must equal 100%. A percentage is required when entering a location. The current total is indicated toward the top of the page. The green check mark will only appear for this section when the total is 100%.

The collection of this information is solely used for reporting purposes; it does not grant a proposal the use of an off-campus F&A rate.

For each entry, enter or select the location and the percentage, then click “Add”. If you need to remove a location already entered, click “Remove”.

- UNM Locations:
- In-State Locations:
- Out-of-State Locations:
- Out-of-Country Locations:
* 1. I give permission to make this abstract publicly accessible:
Click “Yes” if you want the abstract to be visible in SP Reporting. Click “No” to hide the abstract in reporting.

* 2. Abstract:
If you selected “No” or do not wish to provide the abstract, enter “N/A.” Otherwise, enter the abstract for this proposed research in the text field. The abstract should be plainly written and in sufficient detail to summarize:
The purpose(s) or problem(s)
The hypothesis(es) or objective(s)
The method(s) of the project(s)

3. Please select an NSF Science Code that describes the type of research contained in this proposal:
Select the appropriate response for the project activities.
Proposal Attachments

Add documents containing helpful supplementary information here. You may add as many attachments as necessary. Attachments should include a copy of the solicitation or RFP, budget and budget justification, letters of intent, and other applicable documents.

Add Attachment
Click the “Browse” button to search your computer for the file you want to upload. Note: If you are not using Mozilla, you will see “Choose File.” After selecting the document, assign the appropriate document type from the drop-down menu. Click “Add.” (If you chose the wrong file or type, you can click “Reset” to clear out your selection.)

Managing Documents
When the file has completely finished uploading, it will appear in the Attachment table below. You can download documents from this area by clicking on the file name. Attachments can only be deleted individually at any time before you submit the proposal for routing.
This section of the proposal represents the list of Schools, Departments, Centers or Institutes that must approve the proposal before it can be routed to OSP.

The “List of Approving Units” is created automatically from the units added during the proposal creation process. The “Award Unit” is always listed first and cannot be changed or removed.

Other units are added when a member of the Research Team is from that unit, or as a result of being an Affiliated Center or Institute. The list shows why a given unit was added in the "Role(s)" column.

If you see "Rollup from" in the Roles column, and you don’t think that unit should be included, contact OSP.

Setting the Routing Order

The routing order for the listed units can be changed by changing the number in the dropdown box to the left, under Routing Order. It can be made sequential or concurrent; that is, you could have the order 1, 2, 3, 4 if the units must approve in a strict order, or 1, 2, 2, 3 if the middle two could approve at the same time. If a unit is currently #3 and you want it to be #2, simply select “2” and click out of the selection box. After a few seconds, the unit list will re-order automatically.

Modifying the Approving Units List

You can add additional units by clicking the magnifying glass icon under “Add Approving Unit” and choosing from the alphabetical list. The unit will be added with the role Other Approving.

If a unit has a “Remove” link next to the role, you can remove it by clicking the link. (To edit a listing, remove and re-add it.) This is generally only possible if it has been added as “Other Approving." Other units are mandatory approvers.

If one of the units is incorrect, note the Role(s) listed for the unit. You will need to edit or remove and re-add the Research Team member or unit with that role in order to modify the routing list.

You may need to refresh your browser screen if you have made changes to your routing chain.

Authorizing the Unit Listing

To authorize the list and complete this section, click “Authorize Unit Listing.” Authorize the list when you are comfortable that it is correct. If you see issues with the routing chain, contact OSP.
Additional Note

Provide any additional information or comments regarding the proposal. Notes are visible to all members of the Research Team as well as unit approvers. This is a good place to enter detailed submission instructions that will not fit in the funding agency Mailing Address and Contact Phone Number field in the General Info section.

Examples:

- Cost Share requirements.
- Reductions in F&A will need to be noted with reference to the agency guidelines (e.g. section title/number, paragraph that references F&A is disallowed or limited).
- Submission instructions when submitting via a funding agency website, via email, hard copy, etc.
- Any other notes that would be helpful to your OSP CGA during the review process.

This section is optional; you may leave it entirely blank.
Routing is the movement of a proposal through the internal steps necessary for departmental, compliance and OSP approval prior to submission to the funding agency.

The proposal creator or any member of the Research Team can submit a proposal record for routing in Cayuse SP. A proposal record can only be routed when all sections in the Item List have green check marks.

To submit a proposal record for routing:
- Click “My Proposals” on the Proposal Dashboard.
- On the “Unsubmitted Proposals” tab, click the proposal number that is ready to be routed.
- Click “Submit for Routing” beneath the Item List on the left side of the screen. If you get an error when you click this button, the proposal cannot be routed yet. Check the Item List and complete the necessary sections.
- Read the “Submission Confirmation” statement to understand what will happen when the proposal record is submitted for routing. Click “Yes” to acknowledge the submission certification.

If you find that you have made a mistake and need to make changes to the proposal, contact your OSP funding agency Project Specialist to have them set the proposal back to the “Unsubmitted” status. Alternatively, you can ask the first Unit approver to reject it, which will put it in “Reopened” status. “Reopened” is similar to “Unsubmitted” in that you will be able to edit the proposal while it is reopened.
Proposal Routing Status

After you have confirmed to submit the proposal for routing, you'll see information about the “Proposal Routing Status.”

Proposal No
The Proposal Number (Proposal No) takes you back to see the information you entered into the proposal record. At this point, the record is locked down to additional changes. Proposal Attachments, however, can be added to the existing list of documents attached to this proposal record.

1 PI Certification Inbox
You will see a number next to the PI Certification Inbox showing that you have a Cayuse SP Proposal Record that requires your certification (eg. You are listed as an investigator).

E-mail Communications from Cayuse SP:
- The individual that initiates the routing will receive an automated e-mail from Cayuse indicating that the proposal has been submitted for routing.
- Each investigator will receive an automated e-mail indicating that there is a proposal in their “PI Certification Inbox” that requires their certification (this includes the lead Principal Investigator).
Certify the Proposal

How to certify the proposal after you have submitted it for routing

Step 1:
Click "PI Certification Inbox" from Certifications/Approvals

Step 2:
Select the “To be Certified” tab

Step 3:
Click the proposal number to open your proposal

Step 4:
Click the “Certify Proposal” button
Certify the Proposal (cont’d)

Step 5:
Add any comments you have about this proposal submission.

Step 6:
Click the “Submit Certification” button.

Notes:
Any comments added to the comment box will be added to the transmittal and cannot be removed.
What happens after you certify the proposal?

After you have certified the proposal, the routing chain will commence and the listed “Authorizing Persons” will need to access Cayuse SP in order to review and approve your proposal.

Notes:

Cost Share
All units contributing to cost-share will appear in the “Department(s) that must authorize this proposal” section and will need to “Authorize the Proposal.”

E-mail from Cayuse
Authorizing Person(s) for the listed units will also receive an automated e-mail indicating that there is a proposal in their Cayuse “Unit Approval Inbox” that requires their approval.

Authorizing Persons listed in this section must approve this proposal before the 5 day deadline. Once everyone has approved the proposal, it will then be routed to OSP.