CayuseSP Tutorial on the OVPR website:

http://osp.unm.edu/resources/cayusespuserguilde.pdf

When do I need to create a CayuseSP record?

- 1. What actions require a Cayuse SP record (modifications, new proposals, etc.)
 - New Proposal
 - Resubmission Proposals
 - Competitive Renewal Proposal/Continuation Proposals
 - Letter of Intent/White Paper that Requires Budget Information to be Submitted to Sponsor or requires a signature from the UNM Authorized Representative.
 - Funded Contracts NOT Originated with Proposal Submission
 - Modification to Existing Award
 - Increase funding to award that was not originally proposed (NIH and NSF year 2, 3, 4, etc. awards do not need a new record because those out years were proposed in the original proposal record)
 - Award Institutional Transfers (Incoming Awards to UNM)
 - Unfunded Agreements
 - Non-Disclosure Agreements
 - Material Transfer Agreements
 - Data Access Agreements
 - Memorandums of Understanding
- 2. What actions DO NOT require a Cayuse SP record and can be initiated via e-mail:
 - No Cost Extension Request
 - Prior Approval Request
 - LOI/White Paper/Concept Paper without budget and does not require a signature from the UNM Authorized Representative
 - Pre-Award Spending Form
 - Internal Budget Revision Request
 - Award Institutional Transfers (Outgoing Award from UNM)
 - Limited Competition Pre-Proposal (the pre-proposal that is submitted to the Limited Competition Committee in order to be selected)
 - Change of PI Requests
 - Carryforward Requests
 - Request to Spend Funds

How to Create a CayuseSP Record:

General Information screen

- Funding Agency: Select the funding agency that will directly fund the research project. 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).
- 2. 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 "Sponsor".
 - Example: LANL is awarding funds to UNM, but LANL has received the funds from the State. So, LANL is the "Sponsor" and the State of NM is the "Prime Funding Agency."
- 3. Submitting Unit: Select the lead unit (e.g., department, center) that has the responsibility for managing the project should it be awarded.
- 4. Department Contact: Select the individual within the department or center who will serve as the contact person for this project. This person will be the primary contact for OSP and Contract and Grant Accounting and will receive correspondence such as the transmittal and index codes.
- 5. 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.
 - <u>Applied Research</u> The objective of the project is to gain knowledge or understanding necessary for determining the means by which a recognized need may be met.
 - <u>Basic Research</u> 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.
 - <u>Clinical Trial</u> Only use for clinical trials.
 - <u>Experimental Development</u> Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.
 - <u>Fellowship Non-Research</u> 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.
- <u>Fellowship Research</u> -Fellowships from NIH and NSF should be coded as Fellowship Research.
- <u>Instruction</u> Only select if the proposal/award is to teach a credit course at UNM or at another university.
- <u>Public Service/Other</u> Select this option for all awards that do not fall under any of the above selections
- 6. Proposal Type: Select the applicable option from the menu:
 - <u>New</u>: 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)
 - <u>New Grand Challenge</u>: Use if the submission relates to one of the three UNM Grand Challenges: Sustainable Water Resources, Substance Use Disorders, Successful Aging.
 - <u>Supplemental Request</u>: Use if requesting additional new dollars, extending period of performance, or requesting a change in the scope of work on an existing award.
 - <u>Competitive Renewal</u>: Use if submitting a proposal to compete for a second segment of an existing award (i.e. NIH awards)
 - Preliminary Proposal/White Paper and Letter of Intent
 - Non-Sponsored Research: this option is reserved for OSP use only
 - <u>Contract (New)</u>: This option should be used strictly for contracts (e.g. contracts from the State of NM, Industry, and Foreign countries)
 - Proposal After the Fact: this option is reserved for OSP use only.
 - <u>Continuation (Award)</u>: DO NOT select this option for a proposal record.
 This option is used for Award records only.
 - <u>No Cost Extension (Award):</u> 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.
 - <u>Contract (Award):</u> 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.

- 7. 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
- 8. How will this proposal be submitted? Select the submission method for the proposal:
 - Cayuse 424 system-to-system submission to Grants.gov
 - Grants.gov forms use this if you are a branch campus submitting to Grants.gov or if you are on main campus and the application is not fully supported in Cayuse 424
 - FastLane NSF proposals are submitted via FastLane (and Research.gov soon.)
 - funding agency website Provide the website in the "Additional Notes" screen (see later section.)
 - Email Provide the email address in the "Additional Notes" screen (see later section.)
 - Paper PI will be responsible for mailing/shipping the proposal.
 - Other Provide an explanation in the "Additional Notes" screen (see later section.)
- 9. 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 or lead submitter (when UNM is a subawardee.) In cases where UNM is a subrecipient, the lead submitter will need our subaward documents submitted to them in advance of the sponsor deadline. Be sure to take that into consideration when entering the date here.

Investigators/Research Team screen

- 1. Who should be included in the Research Team section and who not to include.
 - Most Common Roles:
 - <u>Lead Principal Investigator</u> Person responsible for technical, regulatory and financial aspects of the project. Only one person in the proposal can have this role. Will be required to certify role on this project once record is routed.
 - Co-Principal Investigator or Co-PI (Used by NSF) the individual(s) designated by the proposer who will be responsible for the scientific or technical direction of the project. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between

NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place.

- Multiple PI: when there is more than one PD/PI with equal responsibility and authority for the project. NIH uses the term Multiple PI and NSF uses the term Co-PI
- Other Key Participant Senior/Key Personnel on the grant such as Co-Investigators, especially if they are in a department other than the department originating the proposal record. The department that the personnel listed in this section below to will automatically show up in the routing chain as an Approving Unit. Will not be required to certify proposal when record is routed.
- **Co-investigators or Co-I**: (Used by NIH) make significant contributions, but do not have overall responsibility and authority for the project. They are NOT considered PD/PIs.
- Proposal Editor Adding someone to this role gives them permission to access and edit proposal record. Can use this filed to give departmental Contract and Grant Administrator and/or FRSO access to proposal.

Role on Project	Include in Research	Where to Include Role in					
	Team Section of Cayuse	Research Team Section					
	SP?						
Lead Principal Investigator	YES	<u>Lead</u> Principal Investigator Role					
Co-Principal Investigators & Multiple PIs	YES	Principal Investigator Role					
Senior/Key Personnel & Co-Investigators	YES	Other Key Participants					
Post-Doctoral Students	NO						
Graduate Students	NO						
Undergraduate Students	NO						
Department Chair	NO						
Department Contract and	YES	Proposal Editor OR					
Grant Administrator		Administrative Contact					
Department Fiscal	NO (some departments	**If included, list in					
Personnel (Post-Award)	may have different	Proposal Editor OR					
	procedures for this role)	Administrative Contact					
FRSO	YES	Proposal Editor OR					
		Administrative Contact					
Department Administrative	NO						
Assistant							
Technical Staff – NOT	NO						
Senior/Key Personnel							

- 2. How to give a person access by assigning the "Proposal Editor" role.
 - The Proposal Editor Role grants simultaneous permissions to a proposal equal to the Proposal Creator in the SP record and 424 record.
 - This person can edit and route the record.
 - Use this role for FRSO, department Contract and Grant Administrator, etc.
- 3. How to change a PI or Co-PI's affiliation in the Research Team section when they are submitting through a different until such as a center.
 - Add the PI and Co-PIs
 - Under "List of Personnel" in the bottom section of the screen click
 "Edit" which is on the right side.
 - Click the "Unit" field and a pop-up box will appear and you can select a different unit.
 - Click "Save Personnel Information". The unit and associated routing queue is now revised.

Budget screen

- 1. Overview
 - Leave the default setting on "Summary" and enter the number of periods.
 - Enter dates of the 1st year/period only in the first column.
 - Enter dates of the cumulative periods in the second column.
- 2. Cost Sharing
 - If "yes":
 - Add Unit:
 - Unit Select the unit that will provide the cost share
 - Period Total Enter the numeric value that this unit will provide in the first year/period.
 - Project Total Enter the numeric value that this until will provide for the duration of the project, if longer than one year/period.
 - Commitment Type select either "Mandatory" or "Voluntary"
 - Match Type select "Cash Matching", "In-Kind" or "F & A"
 - Account Enter the index code from which the funds will come. C
 - Click "Add Unit" to complete. (You can repeat this process for all the units that are providing cost share.)
- 3. 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 only apply when a project crosses two fiscal years and each year has a different F&A rate.)
 - Clicking into an F&A Rate field will display a table for selecting an appropriate F&A rate. If the sponsor caps the F&A rate, it won't be one of UNM's federally negotiated rates reflected in the table so you will have to

manually enter the rate in the F&A rate field located on the left side just below the table. After you enter the correct rate, click the 'Change rate' button. This changes the rate for this proposal submission.

Conflict of Interest screen

- The conflict of interest disclosure requirements apply to all investigators (principal investigator, co-principal investigator, faculty, staff, students and non-UNM consultants) who will be involved in the design, conduct or reporting of the project.
- Everyone who is named on the project and/or the budget should be instructed to submit an annual FCOI disclosure by the time the OSP proposal review begins.
- For Public Health Service (PHS) agencies, such as NIH, federal regulation
 requires that a PHS/NIH FCOI be submitted for *every* proposal.

Regulatory Compliance screen

- Human Subjects and Animal Subjects
 - If the PI answers 'Yes' to either, remind them to submit their paperwork for IRB approval prior to receipt of the award.

Subcontractors screen

 If the subcontractor is not listed, please contact <u>osp@unm.edu</u> to request to add a subcontractor (include the contact information: name, website address, and location.

Export Control screen

• Either ask the PI to answer the questions or collect the answers and populate the responses for the PI.

Intellectual Property screen

• Either ask the PI to answer the questions or collect the answers and populate the responses for the PI.

Location of Sponsored Activities screen

- Estimates are fine.
- Combined locations must total 100%.

Proposal Abstract screen

- Either ask the PI to answer the questions or collect the answers and populate the responses for the PI.
- If the PI declines to provide an abstract, "N/A" or "None" can be entered into the text box.

Proposal Attachments screen

1. What documents need to be uploaded in Cayuse SP (subaward proposals vs. full proposals, etc.)

Full Proposal Being Submitted via Cayuse 424

- Solicitation
- Budget in Excel Format
- Budget Justification
- Subaward Documents (Letter of Commitment, Budget, Justification, SOW, F&A Rate Agreement, Subrecipient Commitment Form)
- F&A Split Form (if applicable)
- Relevant Correspondence Regarding Proposal
- LAT or PI Eligibility Exception Request Form (if applicable)

<u>Full Proposal Being Submitted via Sponsor System (FastLane, NSPIRES, etc.)</u>

- Solicitation
- Budget in Excel Format
- Budget Justification
- Budget in Sponsor System (i.e. PDF of FastLane budget section)
- Subaward Documents (Letter of Commitment, Budget, Justification, SOW, F&A Rate Agreement, Subrecipient Commitment Form)
- F&A Split Form (if applicable)
- Relevant Correspondence Regarding Proposal
- LAT or PI Eligibility Exception Request Form (if applicable)

• Full Proposal Being Submitted via Paper Copy or E-Mail

- Solicitation
- Full Proposal to be Submitted to Sponsor
- Budget in Excel Format
- Budget Justification
- Subaward Documents (Letter of Commitment, Budget, Justification, SOW, F&A Rate Agreement, Subrecipient Commitment Form)
- F&A Split Form (if applicable)
- Relevant Correspondence Regarding Proposal
- LAT or PI Eligibility Exception Request Form (if applicable)
- Use "Notes" Tab to Tell OSP Who Proposal Should be Submitted to and Method to Submit (e-mail, paper, etc.)

• Subaward Proposal – When UNM is the Subrecipient

- Solicitation
- E-Mail Request for Proposal from Prime
- Draft Letter of Commitment for OSP to Sign at Proposal Review
- Budget in Excel Format
- Budget Justification

- RR Budget (used for NIH submissions, typically requested by prime)
- Statement of Work
- UNM F&A Rate Agreement
- Any Technical Documents Requested by Prime (i.e. biosketch, current and pending support, etc.)
- F&A Split Form (if applicable)
- Relevant Correspondence Regarding Proposal
- LAT or PI Eligibility Exception Request Form (if applicable)
- Use "Notes" Tab to Tell OSP Who Proposal Should be Submitted to and Method to Submit (e-mail, paper, etc.)

Approving Units screen

- 1. This information automatically populates from the information on the following screens:
 - General Information screen if you added any "affiliated units" they will be added to the routing here.
 - Investigators/Research Team screen the department and college will be added based on the individuals named as Lead Principal Investigator, Principal Investigators (Co-Pls), and Other Key Participants. Ensure their "unit" is correct on the Investigators/Research Team screen so that the Approving Units screen is populated correctly.
 - Budget screen If the answer is "Yes" to cost sharing then the units who are listed as those providing cost share will populate as approving units.
- 2. Routing Order: The order does not have to be linear. There can be multiple units listed as position 2 and position 3, allowing approvals to happen simultaneously, rather than one-at-a-time.
 - Position 1 is the Lead Principal Investigator's department or center (depending on which they are submitting through.)
 - The order of all the other approving units (positions 2 and up) can be reordered. It's recommended that all department units are listed as position 2 and all college units are listed as position 3.

<u>Additional Notes screen</u>

- Add notes that provide information useful to the approving units and useful in the OSP review. Here are some examples of things worth noting (the note should include the page # of the solicitation where this information is located):
 - F&A rate is capped
 - Cost share is required
 - Salary expense is not allowed
 - If the submission is via email, include the email address in the note.

Routing a Cayuse SP Record for internal approvals

- 1. When and how to start the routing:
 - Plan to start the routing so that all approvals and certifications are complete before the OSP scheduled review begins. (If the routing chain includes multiple departments and colleges it may take several days to complete the approvals.)
 - All the required documents (see "Proposal Attachments screen" in an earlier section) must be uploaded.
 - All the sections (except "Additional Notes") must have a green check mark indicating they are done before the routing can begin.
- 2. Click "Submit for Routing" button on the left side of the screen to begin the routing.
 - The fields in the record will lock once the routing is started however documents can be added to the "Proposal Attachments" screen.
 - The PI and Co-PIs will receive an automatic message to let them know there is a proposal that requires them to "certify". The unit the PI is submitting through (department or center) will have to approve first and those listed as approvers for that unit will receive an email from Cayuse letting them know there is a proposal in their queue that needs approval.
- 3. How the PI and Co-PIs "Certify" in CayuseSP:
 - Log in to access the record in Cayuse: https://unm.cayuse424.com
 - Use your UNM NetID and password
 - Click "CayuseSP"
 - On the left side of your dashboard you will see "PI Certification Inbox" with a "1" in front of it.
 - Click there and "certify"
- 4. How the approvers "approve" the record in CayuseSP:
 - Log in to access the record in Cayuse: https://unm.cayuse424.com
 - Use your UNM NetID and password
 - Click "CayuseSP"
 - On the left side of your dashboard you will see "Unit Approval Inbox" with a "1" in front of it.
 - Click there and "approve"
- 5. How to check the routing status of the approvals:
 - Log in to CayuseSP
 - My proposals
 - Click the "Submitted Proposals" tab
 - Select the proposal number you want to view
 - The "approvals" tab is the default. It provides the following information:

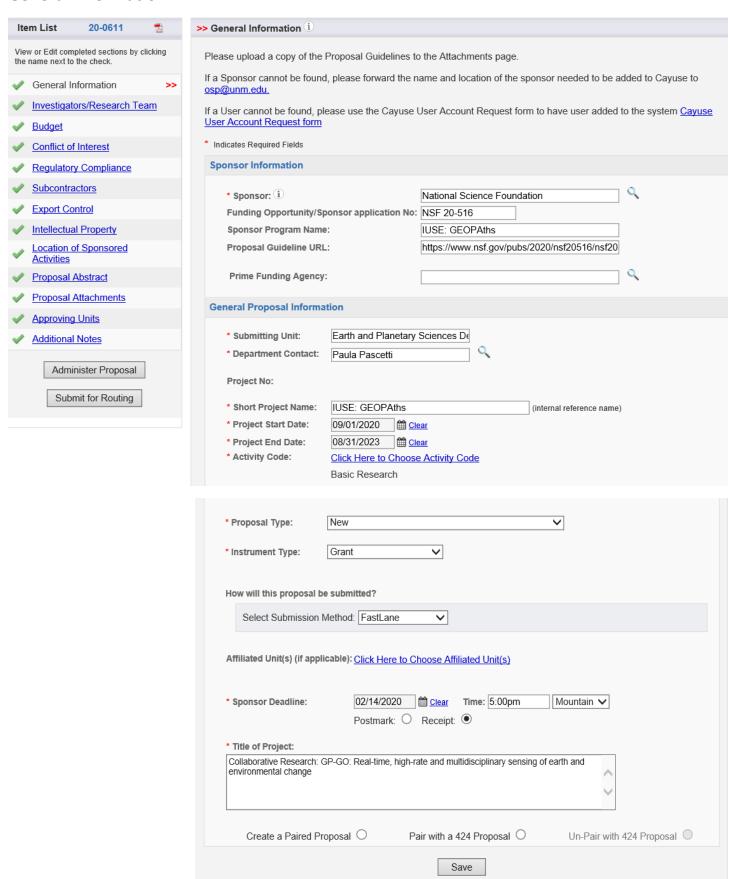
- You can see if the PI can Co-PIs have certified or not.
- Order Unit shows the order of the approvals.
- Authorizing Person(s) shows who are named as approvers for each unit listed.
- Authorizing Decision shows you whether or not the record has been approved by one of the Authorizing Persons. (If this section is blank then it has *not* yet been approved.)

Reminder: all approvals must be done prior to the OSP review appointment.

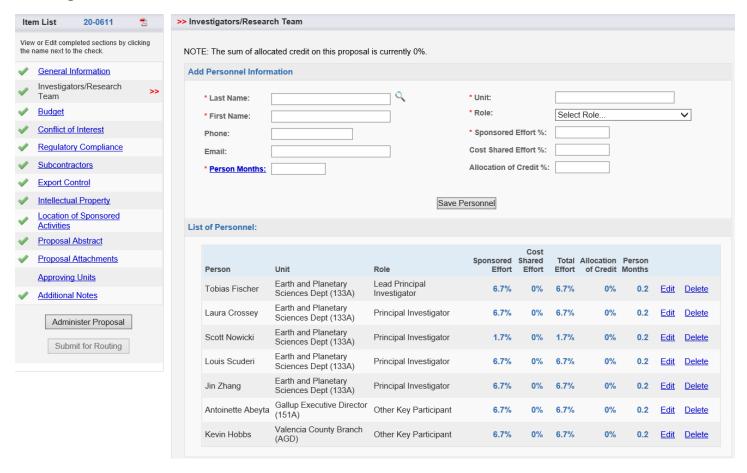
Reporting capabilities

• What fields MyReports pulls data from for reporting to determine if these fields are being populated correctly to generate accurate reports

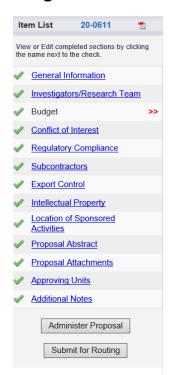
General Information:

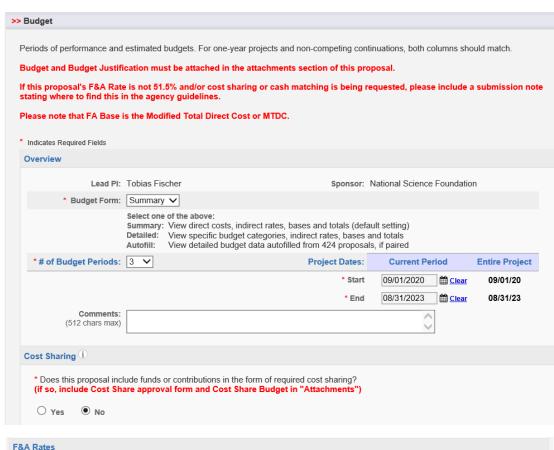


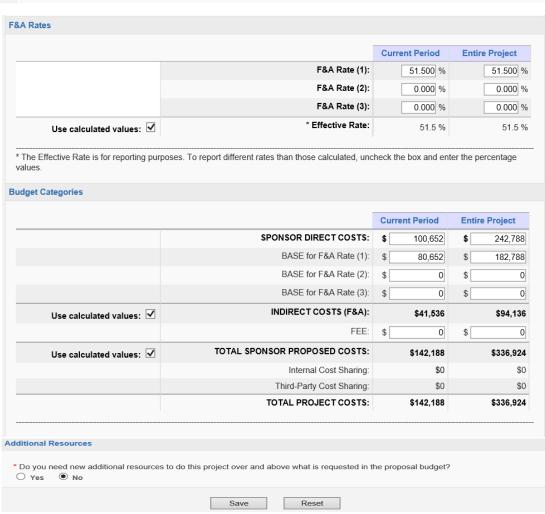
Investigators/Research Team



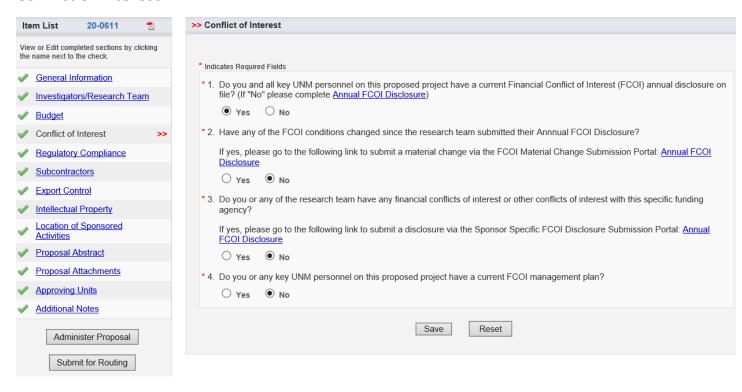
Budget



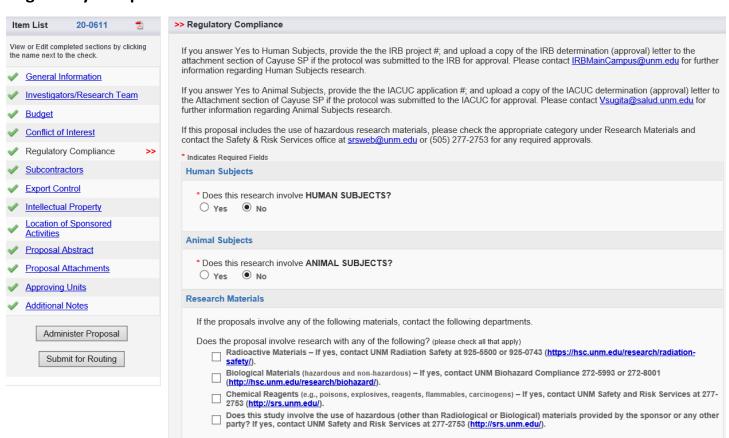




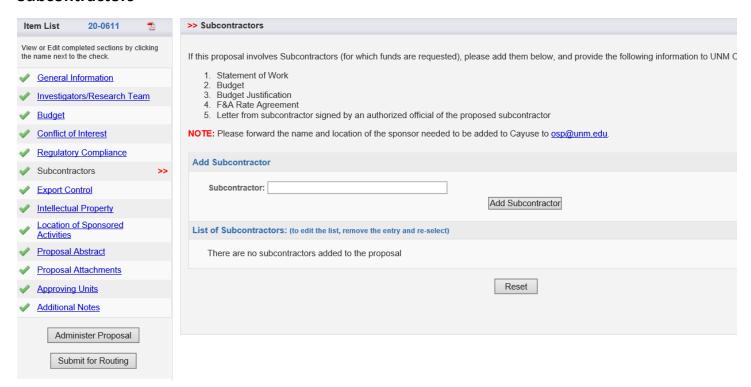
Conflict of Interest



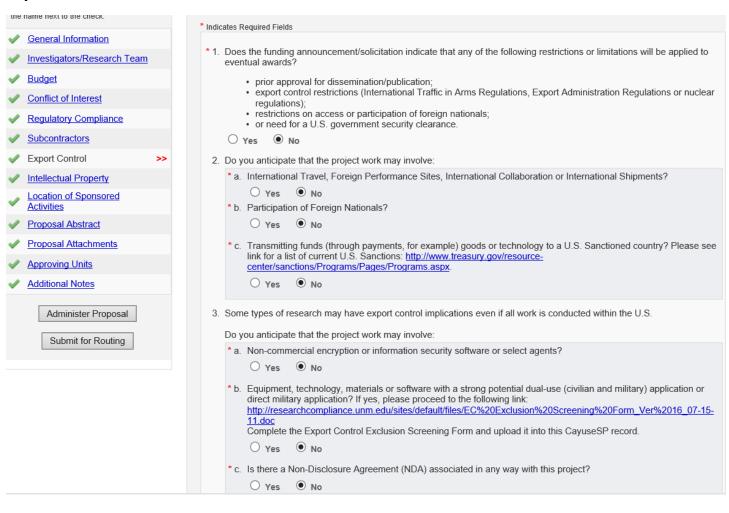
Regulatory Compliance



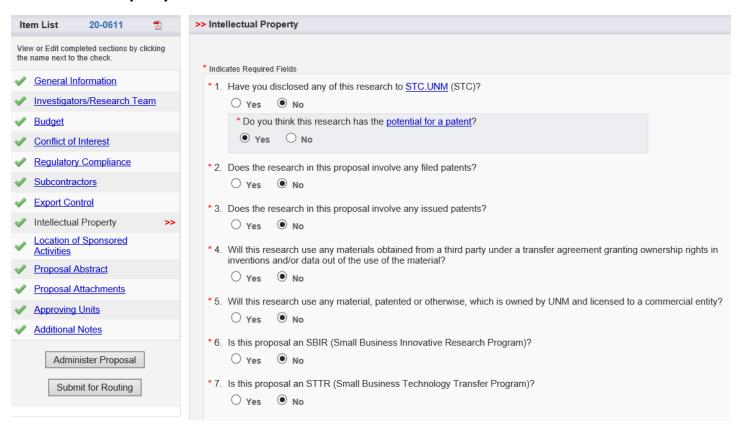
Subcontractors



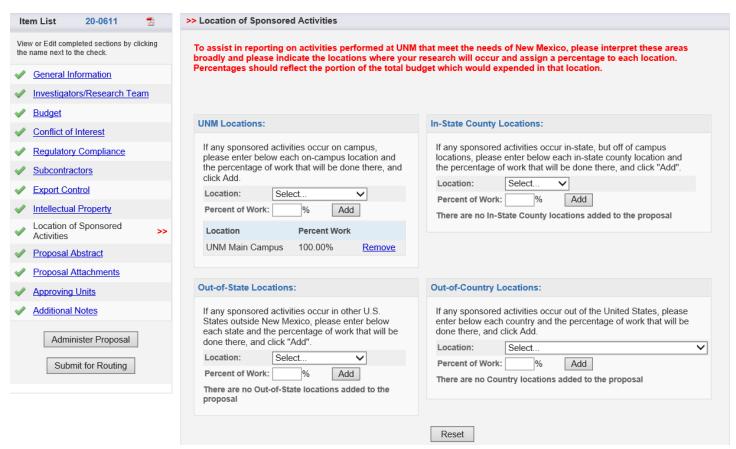
Export Control



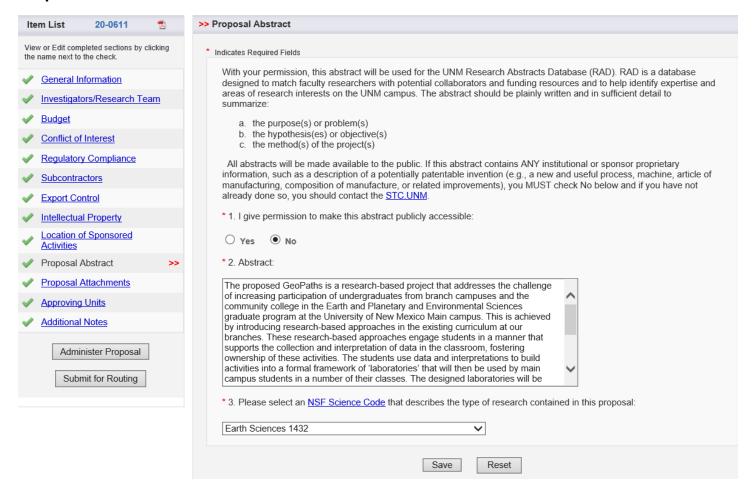
Intellectual Property



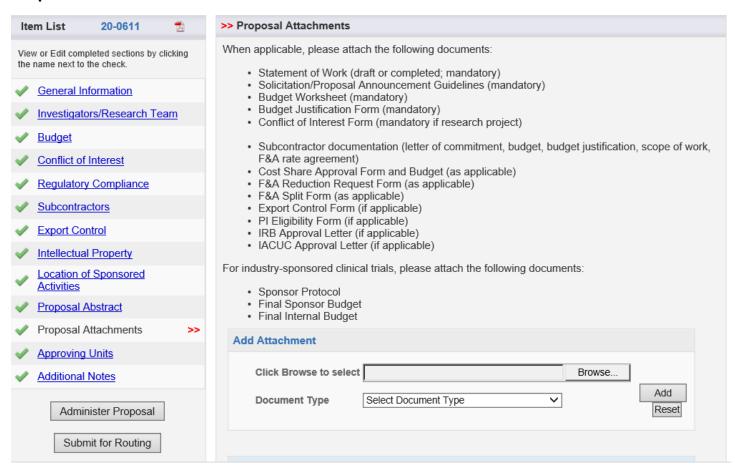
Location of Sponsored Activities



Proposal Abstract

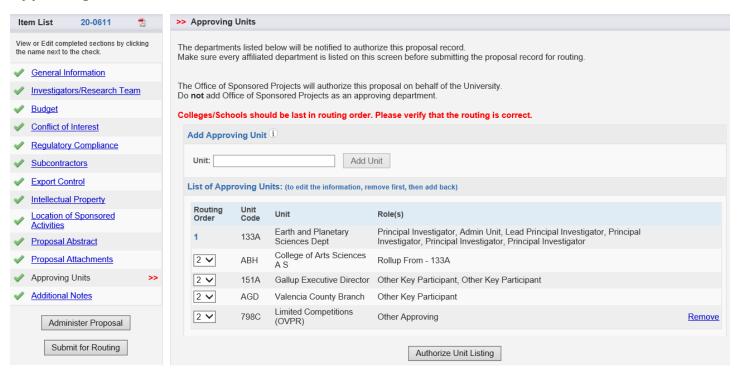


Proposal Attachments



Attachment	File Type	<u>Upload</u> <u>Type</u>	Attachment Type	Access	
Limited Competition Approval.pdf Uploaded by:Vincent Sarracino On:02/10/2020 At 4:59 PM MST	Correspondence	IPF	Proposal	All Parties	×
Project Description.docx Uploaded by:Vincent Sarracino On:02/10/2020 At:4:49 PM MST	Proposal (Draft)	IPF	Proposal	All Parties	X
BudgetJustification.docx Uploaded by:Vincent Sarracino On:02/10/2020 At:4:48 PM MST	Budget (Final)	IPF	Proposal	All Parties	X
Budget Geopaths Fischer 2.xlsx Uploaded by:Vincent Sarracino On:02/10/2020 At:4:46 PM MST	Budget (Final)	IPF	Proposal	All Parties	8
NSF 20-516.pdf Uploaded by:Vincent Sarracino On:02/10/2020 At:4:45 PM MST	Solicitation/RFP/RFQ	IPF	Proposal	All Parties	Ø

Approving Units



Additional Notes

