SMU Cayuse - Sponsored Projects Interface - v1p1

Key Notes

Preferred Internet Browsers: Google Chrome and Firefox

Cayuse requires the use of pop-ups when utilizing Cayuse Proposals (S2S)

Cayuse automatically saves after each change in the form

Icon Meanings

* - A red asterisk indicates a required field

- A red exclamation mark indicates a section that has not been started

- A red circle with a number indicates the number of incomplete required fields


- A green check mark indicates all required fields are complete for that section

Getting Started

What materials are needed to begin:

1. **Solicitation Number or Announcement:** This can be in the form of a weblink to the call for proposals, a link to the Notice of Funding Opportunity, or similar. A shortened name of the agency or organization is also required, as this is used as part of your proposal document file names (e.g. NSF, NIH, NASA, or similar).
2. **Proposal Title:** Identify a proposal title to uniquely define the proposal project.
3. **Lead Institution/Organization, if applicable:** If this proposal is a subaward, identify the name of the lead institution/organization for the proposal. This is needed for file naming.

Although not required, it is important to have the following documents completed prior to Route for Review:

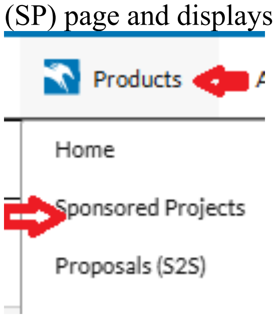
- **Proposal documents:** Versions of all documents required for proposal submission. These documents need not be final at the time of routing but are required to be submitted by SPA deadlines as tied to the final submission dates.
- **Budget:** Final version of the internal SMU Excel spreadsheet filled out with all costings.
- **Budget Justification:** Final version of the internal SMU Word document filled out with all descriptions.

Versions of both documents and their descriptions can be found at the SMU SPA Budget webpage and linked via the Forms Library:

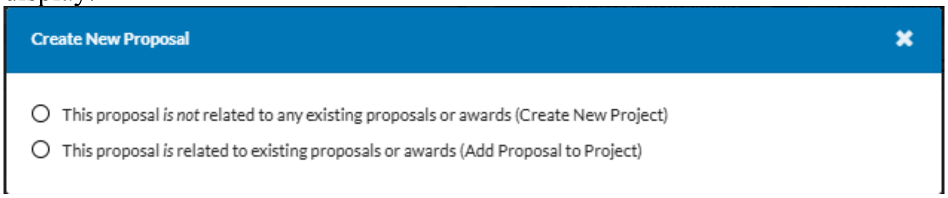
https://www.smu.edu/provost/research/sponsoredprojects/proposal_development/budgets

To create the initial Cayuse Proposal Record:

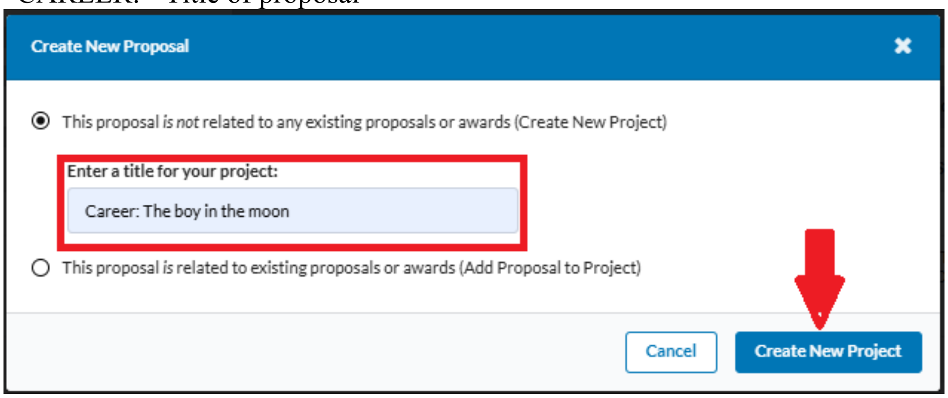
- **Log in to Cayuse** using your SMU Credentials.
- Click on the **Products icon** (upper left side of interface), and select **Sponsored Projects** from the menu listing. This takes you to the Cayuse Sponsored Projects (SP) page and displays the **Proposals Dashboard**.



- Click on the **+Start New Proposal** blue button (upper left side of dashboard) to start a new proposal. This brings up the **Create New Proposal** dialog box display.

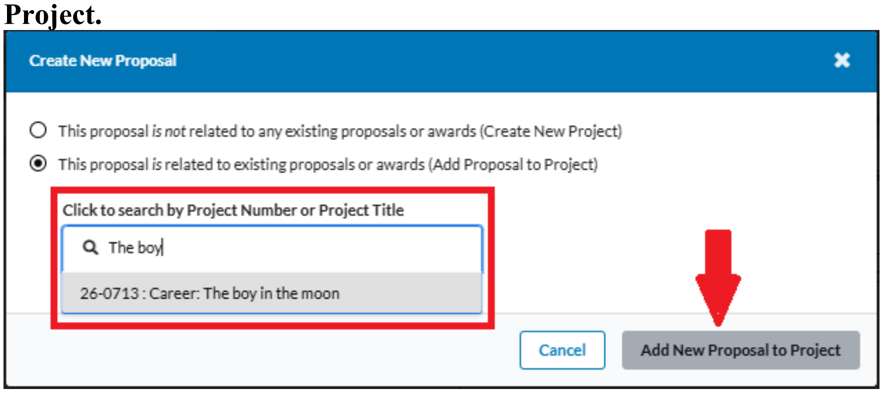


Select one of the two options presented – if unsure, click on **Create New Project**. Then, enter the **Proposal Title** for your project. You can use the proposal title you intend to use at the time of submission; for example, “CAREER: <Title of proposal>”



OR

- If you click on Add Proposal to Project, enter either the existing proposal/award Cayuse record number in the pop-up box or the name of the existing project. Select the existing record once it populates and click on **Add New Proposal to Project.**



This will create the initial proposal record with sections to be filled out according to the remainder of this Guide.

Proposal Form Interface

Once you have created your project, Cayuse opens the **Proposal Form Interface** for your created project. This is a web form that you will fill out with your proposal details. There are some questions based on conditional logic meaning how you answer one question determines the subsequent question.

Two items are noted here:

1. On the left, you will find **Proposal Sections,** the tool you use to navigate the interface. Click on each section of the proposal to go to each separate web form. The rest of this document takes you through each of these sections.

   Each red bubble indicates the number of required fields to be filled out in each form. Once these are filled out, the red bubbles will turn to green checkmarks, allowing you to Route for Review your proposal.

2. At the upper right under the Proposal Summary section, you will find a **Project Number.** The format of the number is **YY-NNNN**, such as "26-0001", "26-0002", and so on. **Make note of this Project number, as you will use this for naming your submitted files using YYNNNN as the start of the file name.** For example,

   YYNNNN-Budget.xlsx or **YYNNNN-Budget-Rev1.xlsx**

   YYNNNN-Budget-Justification.docx

   YYNNNN-SOW.pdf or **YYNNNN-(LeadOrganization)-SOW.pdf**

1. General Information

[All required fields are shown via a red asterisk (*)]

1. **Enter Sponsor Information:**
   a. **Sponsor***: Identify the **direct source of funds** by typing the sponsor's name in the field. Select the correct sponsor from the list. If the sponsor is not found, select ENTITY DOES NOT EXIST and a new question will populate to specify the Sponsor not found.
   b. If applicable (when SMU is the subrecipient), specify the **Prime Sponsor** as the originating source of funds (The prime awards funds to the sponsor who then awards funds to SMU). Use the search functionality to identify the sponsor name. If the prime sponsor is not found, select ENTITY DOES NOT EXIST and a new question will populate to specify the Prime Sponsor not found.
   c. **Sponsor Deadline*:** Specify the date on which the proposal is due to the sponsor. Use the date picker tool to choose the date.
   d. If the deadline is before close of business, check the box indicating **Deadline is before COB.** Fill in the **Deadline Time*** including the time zone if the box is checked. (Note; If the deadline time is after close of business, the proposal will be submitted by 5PM.)
   e. If you have a target deadline that you would like the proposal to be submitted, specify the **Target Deadline** via the date picker tool. SMU ORI will target this deadline date to submit your funding request to the selected agency.
   f. Fill in the **Sponsor Program**, if known.
   g. **Does the sponsoring agency limit the number of proposals that can be submitted?** Select Yes or No.
   h. Enter the **Funding Opportunity/Sponsor Application No:** or enter "Not Known".
   i. Enter the **Sponsor Guideline URL:**
   j. Enter the **Sponsor Assistance Listing Number (ALN)**, formerly known as the CFDA Number.
   k. Provide the **Prime Sponsor ALN (If Applicable)**, formerly known as the CFDA Number. If this is not known or otherwise unavailable, leave the field blank.
   l. **Is this a transfer proposal*?** If answering **Yes,** fill in the **Select the name of the Institute** field that appears. Otherwise, answer **No.**
   m. **Is this an industry sponsored project*?** If answering **Yes,** choose all industry categories that apply listed in the **Please indicate the industry category** box . Multiple categories are allowed.
2. **General Proposal Information:**
   a. Fill in the **Associated Proposal/Project Number** if applicable. If the proposal request is new or unaffiliated, leave blank.
   b. Select the **School (Or Subdivision)*** from one of the eight SMU schools associated with the primary investigator of the project.
   c. Input the **Proposal Title***. Use the full proposal title name up to 250 characters.
   d. Select the **Primary Department*** (must be a 5-level org). Begin typing the name of the Department of the principal investigator in the search box. Then, identify the organization that corresponds to a 500000-level number (i.e., Biology/511800; Computer Science/531100; CORE-Cntr on Rsch & Eval/509670; Math/514200; Religious Studies/513900). Below is a list of common 500000-level organizations that appear on the Dept. ORG tab of SMU's budget Excel form.

e. Optionally, select a **Secondary Department**. Begin typing the name of the Department of an affiliated investigator in the search box. Then, identify the organization that corresponds to a 500000-level number (i.e., Biology/511800; Computer Science/531100; CORE-Cntr on Rsch & Eval/509670; Math/514200; Religious Studies/513900).

Anthropology/511600	Engr School Sponsored Projects - Lyle MADI/530000
Applied Physiology & Wellness/541003	Cox Sponsored Research - Management/516075
AT&T Center/501015	Cox Sponsored Research - Marketing/516075
Biology /511800	Math/514200
Bridwell Inst for Economic Freedom/516075	MSA Administration - Meadows Dean's Office/520300
CCE – Center Community and Educ/509650	MSA Administration - Meadows Museum/520300
Caruth Institute Spons Proj/531500	Mech Engineering/531200
Chemistry/512000	Moody NSF GRFP Program/507200
ENV – Environ/Civil Sponsored Pr/531300	MSA Creative Computation - Music/520500
Youth Programs Spons Projects/509800	Central University Libraries - Norwick Center for Digital Svs/503011
Computer Science/531100	ITS Sponsored Projects - OIT/561300
CORE-Cntr on Rsch & Eval/509670	Operations Research, Eng.Mgt/531400
MSA Corporate Communications/523120	Physics/513500
Deason Institute Spons Proj/532000	Police Department/562500
Geology – Earth Sciences/512600	Political Science/513700
Economics Sponsored Projects/512200	Psychology/513800
Educ Policy & Leadership/509001	Religious Studies/513900
Electrical Engineering - ECE/531000	School Educ Adm Spons Projects - Simmons Dean/509000
Guildhall/509201	Data Arts/NCAR Sponsored Proj/521000
History/513000	Sociology/514300
Ignite Arts Dallas/520388	Statistics - Statistical Sciences/514000
Cox Sponsored Research - Information Technology & Operations Management/516075	Teach and Learn Spons Projects/509390
Law Administration, Deason Center/527100	Theology Reserve/535000

f. Answer **Is a Center/Institute Unit applicable?** Yes or No. If yes, select the Unit from the drop down list.

g. Enter **Period of Performance Begin Date*** and **End Date***. Use the date picker tool to identify these dates. If these are not precisely known, enter in your best estimates of these dates.

h. Select the **Funding/Instrument Type***. Choose an appropriate type from the pop-up menu.

i. Indicate if a **Preliminary Proposal** was submitted.

j. Select the **Proposal Type***. Choose an appropriate type from the pop-up menu.

k. Select the **Activity Type***. Choose an appropriate type from the pop-up menu.

l. Select the **Submission Method*.** This choice determines how the final proposal will be submitted. *Do not select Cayuse Proposals S2S without first consulting with your Grant Management Specialist as only some federal proposals will be submitted using* *the Proposals S2S module in Cayuse.* Proposals submitted via Grants.gov are generally submitted using the Proposal S2S module.

Note: SPA is responsible for submitting all proposals. SPA, in specific cases, may approve faculty/staff to submit proposals based on the submission method only after SPA prior review and approval.

m. Provide **Submission Notes**. This field allows you to provide any additional instructions to Sponsored Projects Administration. It may be left blank.
n. *The **Submission Date** is filled out post-submission and need not be entered in at the time of submission.*
o. Currently, **Proposal Keywords** is optional.
p. Include a brief **Abstract***. This can be a text version of your Abstract that describes your project, or your Statement of Work, as appropriate. *Do not leave blank.*

2. Key Personnel

[All required fields are shown via a red asterisk (*)]

This tab allows you to identify all Key Personnel who will be working on the proposed project. SMU personnel records are pre-loaded and found via Internal Association, allowing you to search for and select individuals from a searchable list. External persons are entered in with their External Association.

1. Choose the method to **View Effort** (the portion of time that represents the time dedicated to the project)– select either **Percentage** or **Months**. For most Team Members, using Months is easiest but confirm with the funding agency instructions.
2. Enter in the first Team Member, starting with the **Principal Investigator (PI)**.
3. For each Team Member,
    - Choose an **Association Type:** Internal Association for SMU personnel, and External Association for collaborators outside SMU.
4. For Team Members with an **Internal Association**,
    - Use the **Name*** field to search for SMU personnel who will work on the project. Start with First Name, then Last Name to narrow the search. Select the individual when found.
    - Select the Team Member's **Role*** from the drop-down list.
    - For the chosen Team Member, select the **Internal Association Department and six-digit account code** from the drop-down list. For most personnel, there will be only one choice.
    - For the chosen Team Member, the effort is based on the type of appointment of the individual, e.g., calendar year, academic year and/or summer term. Typically, faculty are on an academic appointment, and they would put in the total number of **Summer (S) months** that the person will work on the project **over the lifetime of the project** based on **Sponsored Effort.**
    - If there is cost shared effort for the chosen Team Member, put in the total number of **Academic (A) months** and/or **Summer (S) months** that the person will work on the project **over the lifetime of the project** based on **Cost Share Effort.**
    - The **Total Effort** is automatically calculated.
    - If there is an additional Internal Association to be added for the Team Member, use the **Add Internal Association button** to create the additional entry. Most Team Members will only have one Internal Association. Select the trash can icon and click **Remove Association** to delete an unwanted Internal Association that was created in error.
    - For Lyle faculty and/or staff, enter in the percentage of credit for the project in the **Credit (C)** field. The total percentage of credit for all Team Members should add up to 100%.
5. For Team Members with an **External Association,**
    - Click on the **Add a new external team member button.** This will change the Name field to allow text entry.
    - Type in the **First name***, **Middle name** (if available), and **Last Name*** of the external Team Member.
    - Select the Team Member's **Role*** from the drop-down list.
6. If there are additional Team Members, use the blue **Add Team Member button** to create additional entries for these Team Members.

3. Summary Budget

[All required fields are shown via a red asterisk (*)]

This tab allows you to provide high-level details of your proposal budget. You will also upload a detailed proposal budget (typically an Excel spreadsheet) and a budget justification (Word document or PDF) which will be the official budget record for the project. For projects with cost sharing, additional fields are provided to enter in these amounts.

Steps:

1. **Enter Yearly Budget Totals:**
    - For each year (up to 5), enter in as single numbers
        - **Yearly Direct Costs*** for each year of the project.
        - **Yearly Indirect Costs*** for each year of the project.
    - Total Sponsor Costs and Total Project Costs for each year are auto-calculated.
    - Cumulative Total Direct Costs, Total Indirect Costs, Total Sponsor Costs and Total Project Costs for the entire project are auto-calculated. These can be used to check the entered values.
    - If your project is longer than 5 years, contact Sponsored Projects Administration.
2. **F&A Details:**
    - Select the **F&A Rate Type*** from the drop-down menu.
    - Select the **F&A Base Type*** from the drop-down menu.
    - **Does a split rate apply?***
        - If **No**, enter in the single **F&A Rate Percent*** in the field provided as a number, such as 49.00.
        - If **Yes**, enter in both the first and second **F&A Rate Percent*** values in the field provided as different numbers, such as 49.00 and 49.50. You do not need to specify which rate applies to parts of the project on this tab.
    - **Does this project involve the purchase or use of capital assets valued over $5,000?*** Select **Yes** or **No** as appropriate.
    - **Does this project involve (a) course buyout(s)?*** Select **Yes** or **No.**
    - Drag and drop the proposal budget to the **Upload a detailed proposal budget** field. This is typically a Microsoft Excel file. You may also use the "click to select from file system" browse feature. Use the Project# naming convention: **YYNNNN-Budget-Rev1.xlsx**
    - Drag and drop the budget justification to the **Upload a budget justification** field. This is typically a Word document or PDF file. . You may also use the "click to select from file system" browse feature. Example: **YYNNNN-Budget-Justification.docx**
3. **Cost Sharing:**
    - **Does the budget require cost share?*** Select **Yes** or **No** as appropriate.
    - If the answer is **Yes**, fill out the additional fields:
        - Choose the **Cost Share Type*** from the drop-down menu.
        - Choose the **Cost Share Contribution Type*** from the drop down menu.
        - Type in the total amount of **SMU/Internal Cost Share*** as a dollar amount in the field provided. *Do not leave blank.*

4. Performance Sites

[All required fields are shown via a red asterisk (*)]

This tab allows you to provide information as to where your project work will be conducted. In addition, this tab allows you to specify several options regarding outside collaborations:

- If your proposal is part of a **collaborative project**, you can specify the collaborating organizations.
- If your proposal has **flow-through (outgoing) collaboration** with one or more **sub-recipients**, a new **Subawards** tab will become available on the navigation interface to be filled out later.
- If your proposal is itself a **pass-through (incoming) collaboration** or **subaward,** you can specify the lead institution.

Other information regarding this tab is provided below.

Steps:

1. Indicate if any work will be conducted **On-Campus***: **Yes** or **No**
    - If any work is conducted On-Campus, provide a tentative **On-Campus Building Location** corresponding to the building name(s) and room number(s) Room **Number**.
2. Indicate if any work by SMU personnel will occur **Off-Campus** or **at a remote location*.**
    - For Off-Campus work, specify the **Location Type(s)** via the pick-and-choose menu. Multiple choices are allowed. Also provide **Off-Campus Location(s)** as (a) physical address(es).
3. Select the type of Research Collaboration from the **What is the nature of the research collaboration? *** field**.**
    - **Collaborative** (Agency awards each institution separately)
    - **Flow-through (outgoing),** typically chosen if your project includes subawards or subrecipients.
    - **Pass-through (incoming),** typically chosen if your project is a subaward for an external lead organization or institution.
    - **Not Applicable (N/A)**
4. If your proposal is part of a **Collaborative project** with separate Agency awards,
    - select the name of the collaborating institution(s) via the pick-and-choose menu. Multiple choices are allowed. If your collaborating institution is not found, choose "ENTITY DOES NOT EXIST" and enter the name of the collaborating institution in text form.
5. If your proposal has **Flow-through (outgoing)** subawards, answer the question: **Will any part of the project be carried out by a sub-recipient? Yes** or **No**.
    - If your answer is **Yes,** a **Subawards tab** will appear in the interface on the left, to be filled out later.

5. Regulatory Compliance

[All required fields are shown via a red asterisk (*)]

This tab enables you to provide regulatory compliance information that is required prior to proposal submission. The form contents can change depending on how each question is answered. Please read the form carefully so that you understand what is being requested.

Steps:

1. **Human Subjects:**
   - Indicate if the project involves **Human Subjects*: Yes** or **No**
     - If **Yes**, indicate if your project relates to (an) **existing SMU IRB protocol(s): Yes** or **No.**
       1. If Yes, provide the **existing IRB protocol number(s)** and **IRB approval date(s).**
2. **Animal Subjects:**
   - Indicate if your project involves **Live Vertebrate Animal Subjects*: Yes** or **No**
     - If **Yes**, list the **Species** involved.
   - Indicate if your project relates to (an) **existing SMU IACUC protocol(s)*: Yes** or **No**
     - If **Yes,** provide the IACUC protocol number(s) and the IACUC Approval Date(s).
     - If **No**, please indicate the **reason for not submitting an IACUC application** via the options provided.
3. **Research Materials:**
   - Indicate if your project involves **biohazardous materials or recombinant DNA***: **Yes** or **No**
     - If **Yes,** select the **applicable materials*** via the pick-and-choose menu. Multiple choices are allowed. *This field must not be left blank.*
   - Indicate if your project relates to (an) **existing SMU IBC protocol(s): Yes** or **No**
     - If **Yes,** provide the relevant **IBC Protocol ID Number(s)**.

Note: Please contact researchcompliance@smu.edu for assistance. Most sponsors only require IRB or IACUC approval prior to the start date of the project.

6. Subawards

[All required fields are shown via a red asterisk (*)]

This tab only appears if you selected **Flow-through (outgoing)** with **subrecipient: Yes** on the Performance Sites tab. The form allows you to identify each Subrecipient and upload the appropriate required documentation for the proposal.

Steps:

1. **Please identify each Subrecipient*** using the pick-and-choose menu. Multiple choices are allowed. Select all subrecipients that appear in the list and that are subawardees on this project.
    - If the **Subrecipient Entity does not exist** in the menu, **please specify** the subrecipient entity in the text box provided.
2. For **each of the Subrecipients** you indicated in the fields above, provide the following information:
    - **PI Name***
    - **PI Email Address***
    - **Grant Management (GM) Specialist Name***
    - **Grant Management (GM) Specialist Email Address***
    - In the **Subrecipient Attachments** box, upload the following documents: Add SoCI, FDP Profile, FDP Risk Analysis, and so on.
3. If you have more than five Subrecipients, please contact Sponsored Projects Administration.

7. Export Control

[All required fields are shown via a red asterisk (*)]

This tab enables you to provide export control information that is required prior to proposal submission. The form contents can change depending on how each question is answered. Please read the form carefully so that you understand what is being requested.

Steps:

1. **Material Export:**
   - Indicate if materials or equipment will be **shipped outside the U.S.*:** **Yes** or **No**
   - If **Yes**, specify the **Item(s)** and **Destination Countr(ies)**. Multiple entries are allowed.
2. **International Travel:**
   - Indicate if **Travel Outside the U.S.*** is involved: **Yes** or **No**
   - If **Yes**, specify the **Destination Countr(ies)**. Multiple entries are allowed.
3. **Controlled Information:**
   - Indicate if the project involves:
     - **Export-controlled technology*:** **Yes** or **No**
     - **Encryption or military/space technology*:** **Yes** or **No**
     - **Sharing sensitive information** affecting national security**:** **Yes** or **No**
       1. If **Yes**, provide a brief description of what information is to be shared and with whom.
4. **Disclosure Restrictions:**
   - Specify if **NDAs** or **publication restrictions apply*:** **Yes** or **No**

Note: Please contact researchcompliance@smu.edu for assistance.

8. Foreign Support & Collaboration

[All required fields are shown via a red asterisk (*)]

This tab enables you to provide foreign support and collaboration information that is required prior to proposal submission. The form contents can change depending on how each question is answered. Please read the form carefully so that you understand what is being requested.

Steps:

1. **Foreign Talent Programs:**
   - Indicate if any personnel are part of a **Malign Foreign Talent Recruitment Program***: Yes or No.
2. **International Activities:**
   - Indicate if significant work will occur **outside the U.S.*: Yes or No**
     - If **Yes,** describe the **Activities and Countries** involved.
3. **China-Specific Disclosures Required for NASA funding sources:** Indicate if **NASA is a funding source for this project*: Yes** or **No**
   - If **Yes,** answer the additional **Yes/No questions*** listed, and provide relevant information regarding entity names, roles, affiliations, and travel destinations as indicated in the text fields provided. *Do not leave fields blank.*

Note: Please contact researchcompliance@smu.edu for assistance.

9. Intellectual Property

[All required fields are shown via a red asterisk (*)]

This tab asks four required questions regarding intellectual property creation and materials use for your proposed project.

Steps:

1. **Patent Potential*:**
    - Indicate if the research has **Patent Potential**: **Yes**, **No**, or **Unsure**.
2. **Material Use:**
    - Indicate if:
        - **Third-party materials*** with IP rights are to be used: **Yes** or **No**.
        - **Institution-owned materials*** licensed to a commercial entity are to be used: **Yes**, **No**, or **Unsure**.
3. **SBIR/STTR*:**
    - Specify if the proposal is being submitted to **SBIR** or **STTR** programs.

10. Conflict of Interest

[All required fields are shown via a red asterisk (*)]

This tab enables you to identify the state of your financial conflict of interest disclosure that is required prior to every proposal submission. The form contents can change depending on how each question is answered. Please read the form carefully so that you understand what is being requested.

Steps:

1. **FCOI Disclosure*:**
   - Confirm that all key personnel have completed the required **FCOI Disclosure**(s) for this project: **Yes** or **No**:
   - If **Yes,** provide the relevant **FCOI Disclosure ID Number(s)**.

Note: Please contact researchcompliance@smu.edu for assistance.

11. Additional Information

This tab enables you to upload/attach any additional supporting documents to be included as part of the proposal. All files should follow the file naming conventions using your Project#. At a minimum, upload a Statement of Work document with the file naming convention:

YYNNNN-SOW.docx or **YYNNNN-SOW.pdf**

Other example files following this naming convention:

YYNNNN-Proposal-Summary-DRAFT.pdf
YYNNNN-Proposal-Narrative-DRAFT.docx
YYNNNN-Biosketch-(Name)-DRAFT.pdf

If your proposal is a subaward, use the name of the lead institution/organization in the file naming convention. For example,

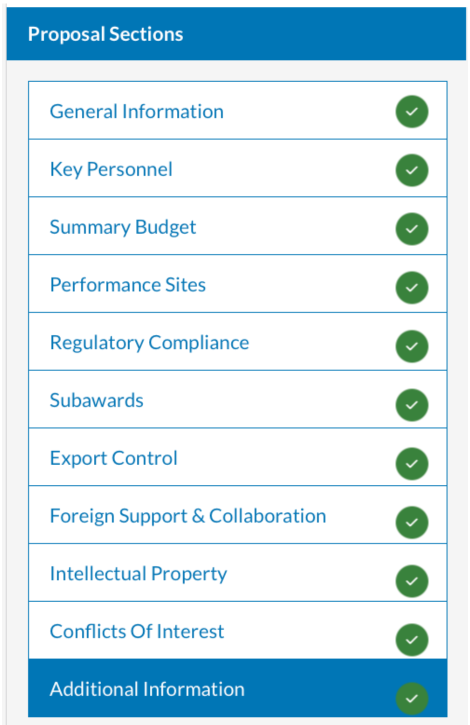
YYNNNN-(LeadOrganization)-SOW.docx
YYNNNN-(LeadOrganization)-Proposal-Summary-DRAFT.pdf
YYNNNN- LeadOrganization)-Proposal-Narrative-DRAFT.docx
YYNNNN-(LeadOrganization)-Biosketch-(Name)-DRAFT.pdf

Steps:

1. **Attachments:**
   - Upload any **Additional Supporting Documents** (max 10 MB each).
2. **Submission Notes:**
   - Enter any **Additional Comments** relevant to the proposal.

Route for Review

Once all proposal sections have been filled, you should see a green checkmark next to every tab in the Proposal Sections, as shown below:



This means you are able to route your proposal for review.

Once you Route for Review, you will not be able to edit the content of the submission, nor will you be able to upload documents to the form.

To route for review, click on the **Route for Review button** under My Actions: