Starting a New Proposal in Cayuse SP

Purpose

The purpose of this document is to serve as an initial training and reference manual for creating new proposals in Cayuse SP.

About UNM's Cayuse SP implementation

As you know, Cayuse 424 has been in place at UNM since 2010. Recently, Cayuse Software Solutions was acquired by Evisions, Inc., whose mission has been to expand the functionality of the research management tool beyond the automation of Grants.gov SF-424 forms, to encompass the diverse needs of research institutions seeking funding from many different national agencies as well as private industry.

Cayuse SP began as the University of North Carolina's homegrown proposal management system, which was then acquired by Evisions, Inc. and integrated with Cayuse 424. As an early adopter of this newly integrated technology, the University of New Mexico is uniquely poised to shape the way the Cayuse SP product will function in the near and long term.

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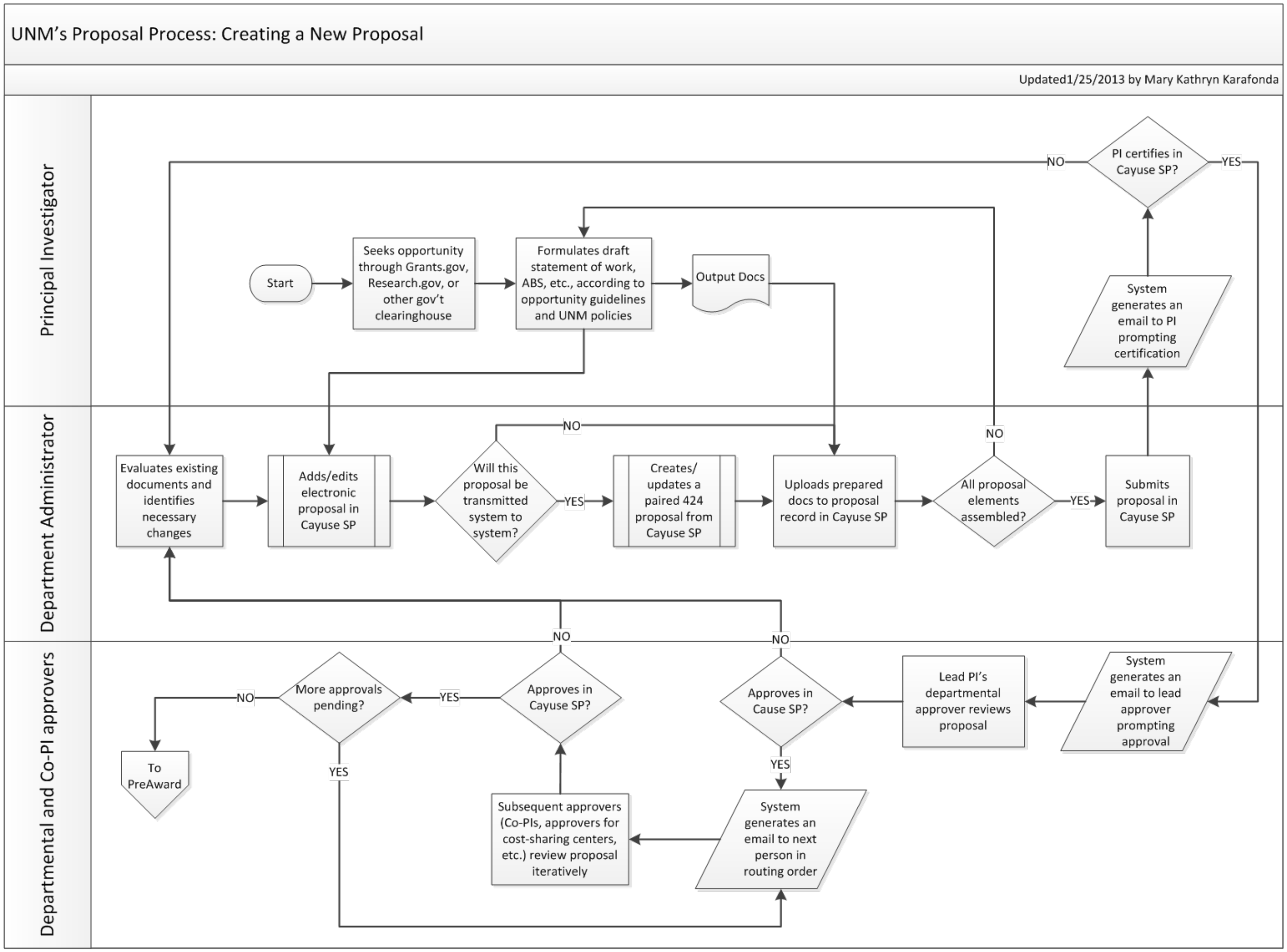
1 Process Map



2 Before You Begin

In this document	The purpose of this document is to ensure you are prepared before initiating a proposal in Cayuse SP.
A new way of thinking about Proposal Management	Cayuse SP adds a new level of formality to UNM's proposal management process. Given this formality, it is necessary to think through all the details of the proposal before the data is entered and certified in Cayuse SP.

Proposal checklist

This is a list of things to have together before you begin a proposal in Cayuse SP.

- ✓ Have a copy of the solicitation handy.
- ✓ Know how your proposal is to be submitted to the funding agency:
    - o Grants.gov/Research.gov (via SF 424 Forms)
    - o Grants.gov/Research.gov (via Adobe Acrobat Forms, i.e. not system-to-system)
    - o NSF Fastlane
    - o Other Agency System
    - o Manual or email process
- ✓ Know the components Pre-Award will need finalized when the proposal is received for review:
    - o Budget Worksheet (final)
    - o Budget Justification (final)
    - o Agency-specific Budget Forms
    - o Subcontractor Documentation (if applicable)
    - o Statement of Work (final or draft)
    - o Solicitation/Proposal Announcement Guidelines
    - o Cost Share Approval Form and Budget (if applicable)
    - o F&A Reduction Request Form (if applicable)
    - o F&A Split Form (if applicable)
    - o PI Eligibility Form (if applicable)

3 Accessing Cayuse SP

In this document

The purpose of this document is to train you to access Cayuse SP.

If your login doesn't work or doesn't exist…

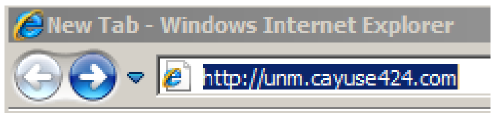
Send a detailed email to unmera@unm.edu or click this link to generate a login request:

http://research.unm.edu/era/cayuseaccountrequest.cfm

New login requests have a service level agreement of 24 to 48 hours.

Steps to Login

Follow these steps to access Cayuse SP:

Step	Action
1.	Open any browser window, preferably Internet Explorer or Firefox.
2.	In the URL window, access http://unm.cayuse424.com/.  **Result:** You will be redirected to the UNM authentication page.
3.	Enter your UNM netID and password in the authentication window as prompted, and click Login. **Result:** You will be redirected to the Cayuse Research Suite jump page.
4.	Click on Cayuse SP (Sponsored Projects) under the Research Administration Modules header. **Result:** Cayuse SP displays the Sponsored Projects Dashboard.

Use the Proposal Dashboard to:

- Start a new proposal.
- Edit and track proposal records you have created or on which you are named as a contributing member.
- View proposal records in administering departments to which you have been granted Proposal Data Access.

Use the Award Dashboard to:

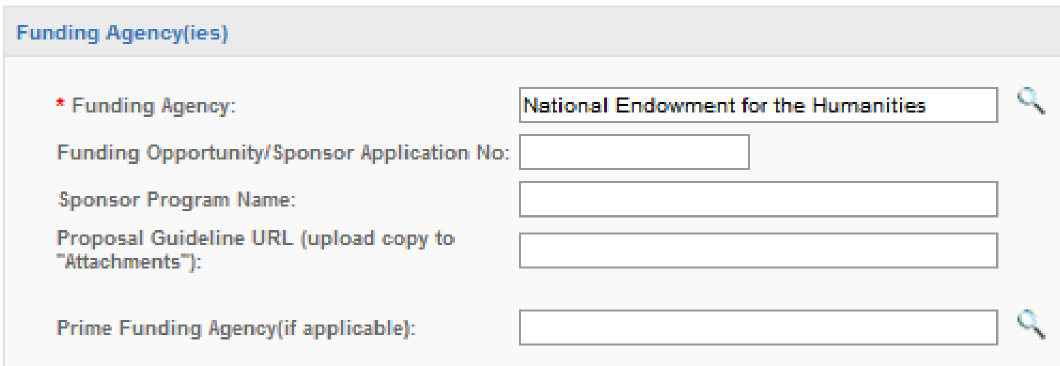
- View awards on which you are listed as a member of the Research Team.
- View awards in administering departments to which you have been granted Award Data Access.

Use the Certifications/Approvals Dashboard to:

- Certify proposal records on which you are cited as the Lead PI or PI.
- Authorize proposal records in your role as a departmental/college/center Internal Proposal Form (IPF) Approver.

4 General Information

In this document	This document details the steps to complete the General Information section. Because this section contains fields that drive the rest of the submission process, this section will be further broken down into subprocesses for the purposes of clarity.
Important Tip	Please note required fields are marked with a red asterisk.* These fields must be completed in order to save the work within the window.



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Steps to enter Funding Information

Follow these steps to initiate a new proposal:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click Start New Proposal from the left-hand menu of the Proposal Dashboard.</td></tr>
<tr><td>2.</td><td>Funding Agency is the agency that will issue the check to fund your research. To populate this field, start typing keywords into the field.
Result: Cayuse will automatically redirect you to a pop-up search page.</td></tr>
<tr><td>3.</td><td>Finish typing, then hit <Enter> or click Search.</td></tr>
<tr><td>4.</td><td>Scroll through the list to find the correct name of your funding agency.
<table>
<tr><th>If the agency is…</th><th>Then…</th></tr>
<tr><td>Listed,</td><td>Click on the name and continue to the next step.</td></tr>
<tr><td>Not listed,</td><td>Send a detailed email to unmera@unm.edu to initiate a new agency record.</td></tr>
</table></td></tr>
<tr><td>5.</td><td>Enter the Funding Opportunity/Sponsor Application No. provided by the sponsor for this proposal.</td></tr>
<tr><td>6.</td><td>Enter the Sponsor Program Name as listed in the proposal.</td></tr>
<tr><td>7.</td><td>Enter the web address of the guidelines/instructions associated with the sponsor’s application, if such an address exists, into the Proposal Guideline URL field.
Note: A softcopy of the solicitation guidelines must also be added to the attachments section due to the impermanence of URL addresses.</td></tr>
<tr><td>8.</td><td>Prime Funding Agency applies when you receive a subgrant or subcontract from an intermediary funding source.
<table>
<tr><th>If funding will…</th><th>Then…</th></tr>
<tr><td>Flow through another organization,</td><td>Enter the name of the parent funding agency by using the lookup, as you already did in Step 2.</td></tr>
<tr><td>Direct,</td><td>Leave this field blank.</td></tr>
</table>
Note: Deleting from this section is a little tricky. If you’ve incorrectly added a Prime Funding Agency, click on the lookup next to the field and select No Sponsors.</td></tr>
</table>

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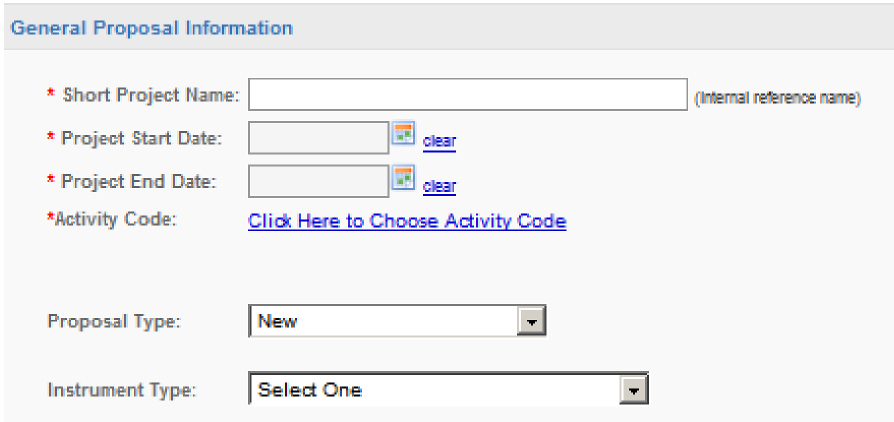

Follow these steps to complete this task:

Steps to enter General Proposal Information

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Enter your department's name for this project in Short Project Name.</td></tr>
<tr><td>2.</td><td>Use the calendar icon to enter the anticipated start date in the Project Start Date.</td></tr>
<tr><td>3.</td><td>Use the calendar icon to enter the Project End Date.</td></tr>
<tr><td>4.</td><td>Click the Activity Code link and select the best code for your effort.</td></tr>
<tr><td>5.</td><td>Click on the drop-down menu for the Proposal Type field.
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>You are requesting new dollars NOT associated with an existing contract or grant,</td><td>Select New.</td></tr>
<tr><td>Your record does qualify for any option in the dropdown menu,</td><td>Contact your CGA for further instructions.</td></tr>
</table></td></tr>
<tr><td>6.</td><td>Click the drop-down menu for the Instrument Type field.
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>It is clear to you which instrument type applies,</td><td>Select the corresponding value from the drop-down list.</td></tr>
<tr><td>It's unclear to you which instrument type applies,</td><td>Call your CGA. He or she can help you interpret the solicitation.</td></tr>
</table></td></tr>
<tr><td>7.</td><td><table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Your instrument type is Contract,</td><td>Select the Contract type from the field that appears.</td></tr>
<tr><td>If your instrument type is not Contract,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

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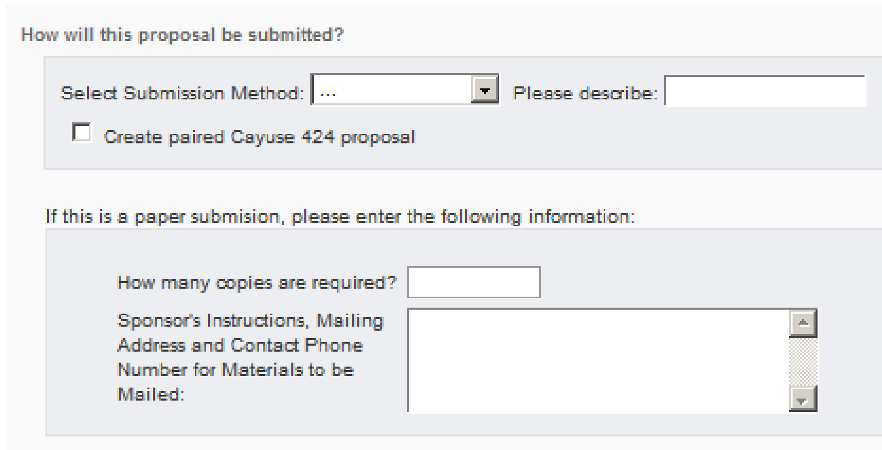

Follow these steps to complete this task:

Steps to enter Submission Method

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click the dropdown menu next in the Select Submission Method field.
Be careful here; the choices are not intuitive.
<table>
<tr><th>If you are…</th><th>Then…</th></tr>
<tr><td>Submitting through the National Science Foundation's Fastlane System,</td><td>Select Fastlane. Skip to Step 3.</td></tr>
<tr><td>Submitting through Grants.gov/Research.gov,</td><td>Select Cayuse 424. Skip to the next section.</td></tr>
<tr><td>Submitting through any other agency,</td><td>Select the correct option from the remaining values according to the instructions in the solicitation.</td></tr>
<tr><td>Unsure of which option to select,</td><td>Contact your CGA to help you interpret the solicitation.</td></tr>
</table>
</td></tr>
<tr><td>2.</td><td>
<table>
<tr><th>If you selected…</th><th>Then…</th></tr>
<tr><td>Paper as a submission method,</td><td>Complete the subsequent fields that let the CGA know how to handle the paper submission, including:
Number of copies
Sponsor's full name and address
Sponsor's phone number
Sponsor's submission instructions</td></tr>
<tr><td>Any other submission method,</td><td>Please use the large, freeform field to add any notes for the CGA regarding the submission.</td></tr>
<tr><td colspan="2">Note: The freeform field for submission notes is limited to 256 characters. If your submission instructions are extensive, use the Note functionality instead.</td></tr>
</table>
</td></tr>
<tr><td>3.</td><td>For Fastlane submissions, be aware that your CGA will review your proposal data within Fastlane as well as Cayuse. Please make sure your proposal's permissions within Fastlane allow for PreAward to view (grant SRO/SPO view privileges).</td></tr>
</table>

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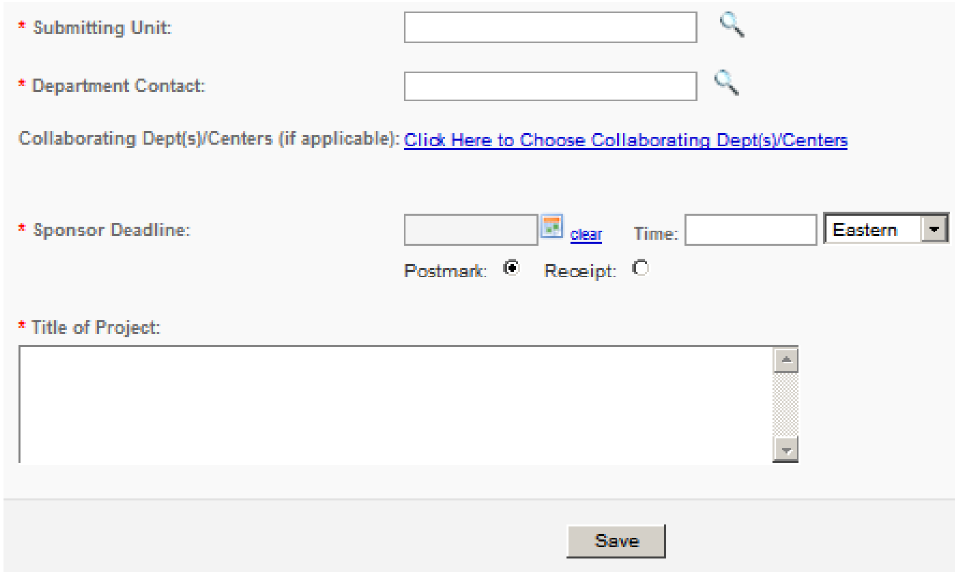


Follow these steps to complete this task:

Steps to enter Department and Collaboration Information

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click the lookup next to Submitting Unit to search for the department name of the principal investigator, then click on the value to populate the field.</td></tr>
<tr><td>2.</td><td>Click on the lookup next to the Department Contact to search for the name of the person who will be the contact for the proposal going forward, then click on the value to populate the field.</td></tr>
<tr><td>3.</td><td><table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>You will be collaborating with other departments,</td><td>Click on the hyperlink, and check the boxes that correspond to the departments. Scroll to the bottom and click the Select button.</td></tr>
<tr><td>You will not be collaborating,</td><td>Skip to the next step.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>Using the calendar icon, select the date the sponsor has specified as the deadline.</td></tr>
<tr><td>5.</td><td>Specify the time of day and time zone stated as the sponsor's deadline.</td></tr>
<tr><td>6.</td><td>Using the radio buttons, indicate whether this deadline corresponds to the postmark or receipt of the proposal.</td></tr>
<tr><td>7.</td><td>Enter the Title of Project in the freeform field.</td></tr>
<tr><td>8.</td><td>Click the Save button.</td></tr>
</table>

Result

Cayuse SP will:

- Populate an Item List on the left-hand side of the screen that walks you through the remaining information needed for your proposal.
- Assign your proposal a unique ID number visible atop the Item List.
- Indicate which sections are both completed and validated with a green checkmark.
- Save your proposal in the My Proposals section of your dashboard, where it will be available for changes until you submit.

5 Completing SF-424 Forms

In this document

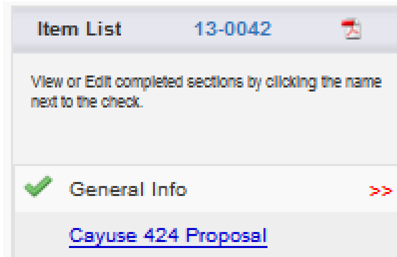
This document highlights the steps to complete automated SF-424 forms for a new proposal.

Important Tip

This step is ONLY necessary if you want to automatically transmit 424 data to Grants.gov.

Has something gone wrong?

If Cayuse 424 Proposal appears in your Item List, you must fill out the SF-424 forms (those with checkboxes) before submitting the proposal. **Do not complete the Proposal Summary section (Summary and Documents); this information is now collected in Cayuse SP.** If this option does not appear in your Item List, this means you did not select Cayuse 424 for your submission method.



If you've made a mistake, you may go back to the General Information section and change the submission method now. Cayuse SP will reorganize your Item List when you resave in the General Information section.

If this option does not apply to you, continue to the next section.

Steps to complete Cayuse 424 forms

Follow these steps to complete SF-424 forms in Cayuse SP.

Step	Action
1.	Click on the Cayuse 424 Proposal link in your Item List. **Result:** Cayuse redirects you to Cayuse 424.
2.	Select Grants.gov from submission choices.
3.	Click on your Grants.gov opportunity in order to pull the correct forms into the system. **Note:** If your Grants.gov opportunity is not listed, you will need to "Retrieve" the opportunity from Grants.gov.
4.	Complete the necessary forms as directed by the system. Forms that contain a check in the checkboxes on the left hand side of the application are required for submission. Any other forms may be also be submitted after checking the box next to them and completing the information in the form. No errors can be present on the forms in order for the package to be submitted via Grants.gov/Research.gov. Pre-Award will submit the 424 section after the SP record is completed, authorized, and approved.

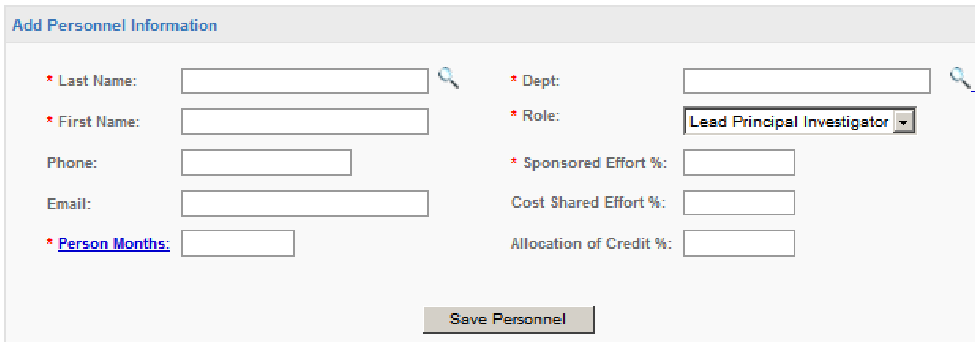
6 Investigators/Research Team

In this document

This document details the steps to add personnel information to your proposal.

How many team members are needed?

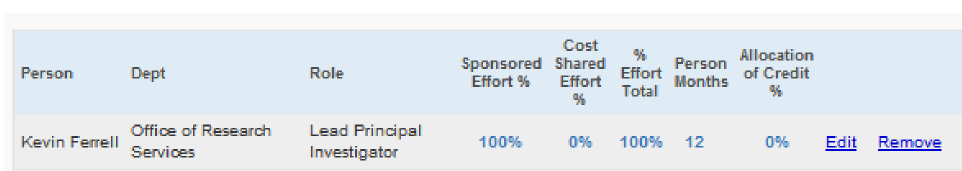
At this time, the Pre-Award office is only requiring that PIs and Co-PIs be added to the proposal in Cayuse SP.



Cayuse SP requires you to enter the Lead Principal Investigator first. Follow these steps to complete this task:

Steps to add the Lead PI to your project

Step	Action
1.	Click on the Investigators/Research Team link in your Item List.
2.	Click on the lookup next to the **Last Name** field to search for the last name of the Lead PI, and select the desired value from the search results. **Result:** The system populates all corresponding contact information.
3.	Enter the number of months the lead PI will work on this project in the **Person Months** field.
4.	In the **Sponsored Effort** field, enter the percentage of overall time (Person Months) that the Lead PI will dedicate to this project.
5.	Click the Save Personnel button. **Result:** The system populates the Lead PI's information to the List of Personnel at the bottom of the screen.
6.	You may update this information before submission by using the Edit or Remove options to the right of the record in the List of Personnel.



Person	Dept	Role	Sponsored Effort %	Cost Shared Effort %	% Effort Total	Person Months	Allocation of Credit %		
Kevin Ferrell	Office of Research Services	Lead Principal Investigator	100%	0%	100%	12	0%	Edit	Remove

Continued on the next page…

Follow these steps to complete this task:

Steps to add Additional Personnel

Step	Action
1.	Click on the lookup to search for and populate **Last Name**. **Result:** The system populates all corresponding contact information.
2.	Select the person's role in your project from the dropdown list next to the **Role** field.
3.	Enter the number of months this person will work on this project in the **Person Months** field.
4.	In the **Sponsored Effort** field, enter the percentage of overall time (Person Months) that the Lead PI will dedicate to this project.
5.	Click the Save Personnel button. **Result:** The system populates the information to the List of Personnel at the bottom of the screen.
6.	Repeat Steps 1 through 6 as many times as is necessary to add all personnel to the list.
7.	You may update this information before submission by using the Edit or Remove options to the right of the record in the List of Personnel.

Unable to find the names in your searches?

Send a detailed email including Proposal ID to unmera@unm.edu to have a new role added to the person's Cayuse SP profile.

7 Budget Information

In this document

This document details the steps to complete the Budget Information section in Cayuse SP. This section is broken into subprocesses for the purposes of clarity.

Important Tip

You must complete this information **IN ADDITION** to uploading both Budget and Budget Justification documents to the Attachments section.

About UNM's F&A Policy

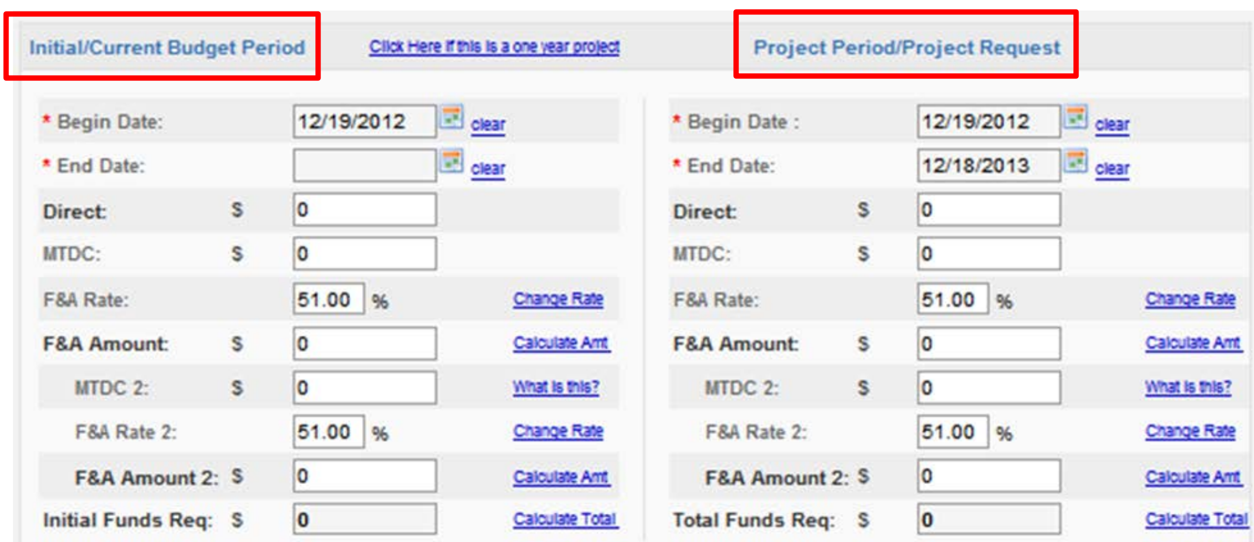
The University of New Mexico's federally negotiated Facilities and Administrative (F&A) rate for on-campus activities is 51%. This rate is applicable when some portion of research is performed at any site inside or outside the state that is owned or leased by UNM. As such, the vast majority of projects will therefore default to the on-campus rate.

The off-campus F&A rate is 26%, and the state and local government rate is 20%. Documentation/justification is required for use of these rates.

All Department of Defense (DoD) contracts and private industry-sponsored on-campus research is subject to the 54% rate. Please note that this rate does not apply to DoD grants or cooperative agreements, only contracts. The off-campus rate for DoD contracts and private-idustry sponsored research is 29%.

For full policy details, please refer to Policy 2425 "Recovery of Facilities & Administration Costs" in UNM's *University Business Policies and Procedures Manual*, located here: http://www.unm.edu/~ubppm/ubppmanual/2425.htm.

The current F&A Agreement memorandum can be found here: http://research.unm.edu/policiesprocedures/FandARate0709.pdf.



Initial/Current Budget Period		Click Here if this is a one year project		Project Period/Project Request			
* Begin Date:		12/19/2012	clear	* Begin Date :		12/19/2012	clear
* End Date:			clear	* End Date:		12/18/2013	clear
Direct:	$	0		Direct:	$	0	
MTDC:	$	0		MTDC:	$	0	
F&A Rate:		51.00 %	Change Rate	F&A Rate:		51.00 %	Change Rate
F&A Amount:	$	0	Calculate Amt	F&A Amount:	$	0	Calculate Amt
MTDC 2:	$	0	What is this?	MTDC 2:	$	0	What is this?
F&A Rate 2:		51.00 %	Change Rate	F&A Rate 2:		51.00 %	Change Rate
F&A Amount 2:	$	0	Calculate Amt	F&A Amount 2:	$	0	Calculate Amt
Initial Funds Req:	$	0	Calculate Total	Total Funds Req:	$	0	Calculate Total

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Steps to enter Initial Budget Period data

These steps refer to the Initial/Current Budget Period column on the left of the screen. Follow these steps to complete this task:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Budget link in your Item List.</td></tr>
<tr><td>2.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>Your proposal only covers one budget year,</td><td>Click the Click Here if this a one year project link to the right of the Initial/Current Budget Period header to populate the same values to the right-hand column. Skip the next section entirely, and continue instead to the Cost Sharing section.</td></tr><tr><td>Your proposal is for multiple years,</td><td>Continue to the next step.</td></tr></table></td></tr>
<tr><td>3.</td><td>Note that the Begin Date of the project is already populated for you. Enter the End Date for the project's initial budget period using the calendar icon.</td></tr>
<tr><td>4.</td><td>Enter the total direct cost of the project's initial period in the Direct field.</td></tr>
<tr><td>5.</td><td>Enter the modified total direct cost (direct costs less the F&A excluded amounts) in the MTDC field.</td></tr>
<tr><td>6.</td><td>Note that the on-campus F&A Rate defaults for you. For nearly all projects, this is that rate that should apply. If you need to change the rate, click the Change Rate link next to the field and click on the rate that applies to your effort, or manually key the rate if a sponsored-imposed limit applies.
Note: If a sponsored-imposed rate limit applies to your project, please describe this in the Notes section and upload softcopies of supporting documentation to the Attachments section.</td></tr>
<tr><td>7.</td><td>Click the Calculate Amt link next to the F&A Amount field.
Result: Cayuse SP will populate the F&A Amount for you.</td></tr>
<tr><td>8.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>UNM's F&A rate is changing during the initial budget period,</td><td>This rate will be reflected in the F&A Rate 2 field. Repeat the actions in Steps 3 through 5 for the MDTC 2, F&A Rate 2, and F&A Amount 2 fields.</td></tr><tr><td>UNM's F&A rate is NOT changing during the initial budget period,</td><td>Continue to the next step.</td></tr></table></td></tr>
<tr><td>9.</td><td>Click the Calculate Total link next to the Initial Funds Req field.
Result: Cayuse SP will populate the Initial Funds Req for you.</td></tr>
</table>

Continued on the next page…

These steps refer to the Project Period/Project Request column on the right of the screen.

Complete these steps if your project spans multiple years. If this does not apply to your proposal, skip the next section.

Steps to enter Project Period data

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Note that the Begin Date and End Date are already populated based on the information you entered earlier. Enter the total direct cost of the entire project in the Direct field.</td></tr>
<tr><td>2.</td><td>Enter the modified total direct cost (direct costs less the F&A excluded amount) in the MTDC field.</td></tr>
<tr><td>3.</td><td>Note that the on-campus F&A Rate defaults for you. For nearly all projects, this is that rate that should apply. If you need to change the rate, click the Change Rate link next to the field and click on the rate that applies to your effort.</td></tr>
<tr><td>4.</td><td>Click the Calculate Amt link.
Result: Cayuse SP will populate the F&A Amount for you.</td></tr>
<tr><td>5.</td><td><table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>UNM’s F&A rate is changing during the life of the project,</td><td>This rate will be reflected in the F&A Rate 2 field. Repeat the actions in Steps 3 through 5 for the MDTC 2, F&A Rate 2, and F&A Amount 2 fields.</td></tr>
<tr><td>UNM’s F&A rate is NOT changing during the life of the project,</td><td>Skip to the next step.</td></tr>
</table></td></tr>
<tr><td>6.</td><td>Click the Calculate Total link next to the Initial Funds Req field.
Result: Cayuse SP will populate the Initial Funds Req for you.</td></tr>
</table>

About UNM’s Cost Sharing Policy

The next steps in the process will ask you to enter cost sharing information. Cost sharing refers to a portion of a sponsored project or program costs that is paid by the University. Cost sharing can be a requirement of a sponsor as a condition of the sponsored award or it can be volunteered by the University. The University Vice President for Research and Economic Development or the University Executive Vice President for Health Sciences will agree to cost sharing only when required by the sponsor or in very rare situations when justified by the competitive nature of the award. Cost sharing should be should not exceed the required amount and must adhere to the sponsoring agency's guidelines and comply with Policy 2430, “Cost Sharing on Sponsored Projects” in UNM’s *University Business Policies and Procedures Manual*, located here: http://www.unm.edu/~ubppm/ubppmanual/2430tm.

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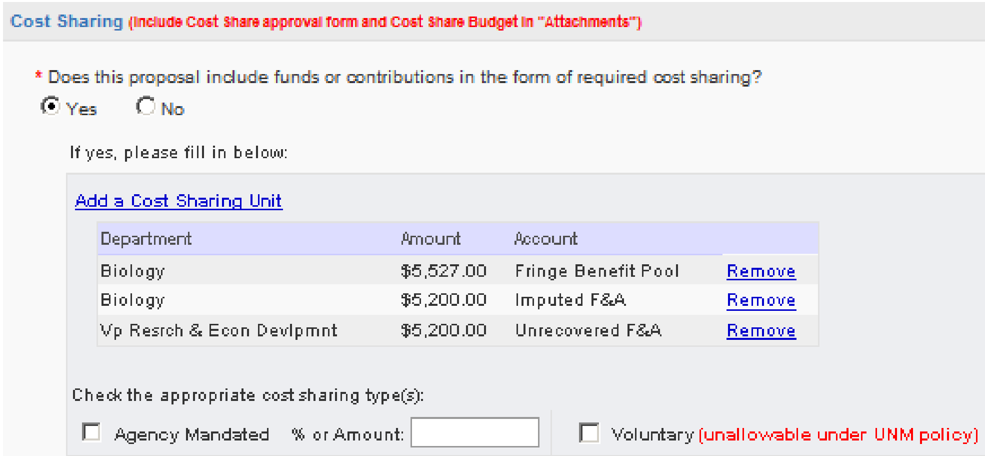
Cost Sharing (Include Cost Share approval form and Cost Share Budget in "Attachments")

* Does this proposal include funds or contributions in the form of required cost sharing?

Yes No

If yes, please fill in below:

Add a Cost Sharing Unit

Department	Amount	Account	
Biology	$5,527.00	Fringe Benefit Pool	Remove
Biology	$5,200.00	Imputed F&A	Remove
Vp Resrch & Econ Devlpmnt	$5,200.00	Unrecovered F&A	Remove

Check the appropriate cost sharing type(s):

Agency Mandated % or Amount: Voluntary (unallowable under UNM policy)

Follow these steps to complete this task:

Steps to enter Cost Sharing Information

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>Your cost sharing applies to your project,</td><td>Click the Yes radio button and go to Step 2.</td></tr><tr><td>Cost sharing does not apply to your proposal,</td><td>Click the No radio button and skip to the next section.</td></tr></table></td></tr>
<tr><td>2.</td><td>Click on the Add a Cost Sharing Unit link and, using the lookup, select for the Department that will share this proposal's costs.

Cost Share/Cash Match Unit
* Department:
* Amount: $ 0
* Account: TBD if not known</td></tr>
<tr><td>3.</td><td>Enter the Amount for which this department is responsible.</td></tr>
<tr><td>4.</td><td>Enter the Account to which these expenses should be applied, or enter TBD if the account is not known.</td></tr>
<tr><td>5.</td><td>Click the Add Unit button.
Result: Cayuse SP will populate this information to the Budget page.</td></tr>
<tr><td>6.</td><td>Repeat Steps 2 through 5 as many times as is necessary to add all cost sharing units.</td></tr>
<tr><td>7.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>Your funding agency is mandating cost sharing,</td><td>Check the Agency Mandated checkbox.</td></tr><tr><td>Your project is a rare exception that meets the UNM Policy 2430 criteria for cost sharing,</td><td>Click the Voluntary checkbox and skip to the next section.</td></tr></table></td></tr>
<tr><td>8.</td><td>Enter the correct numeric value in the % or Amount field as mandated by the agency.</td></tr>
</table>

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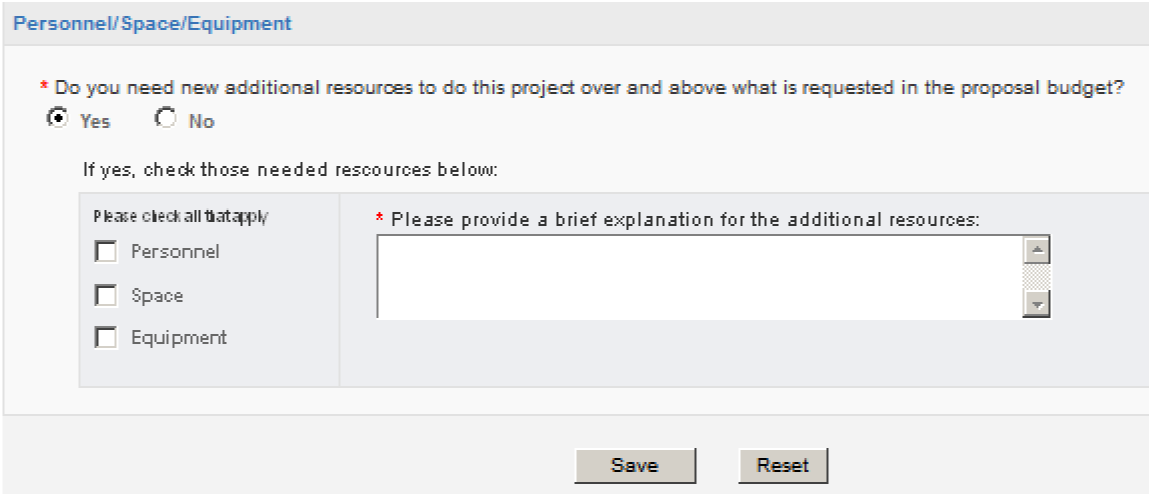


Steps to request additional Personnel, Space, or Equipment

Follow these steps to complete this task:

<table>
<tr><th>Step</th><th colspan="2">Action</th></tr>
<tr><td rowspan="3">1.</td><th>If…</th><th>Then…</th></tr>
<tr><td>You need additional resources,</td><td>Click the Yes radio button and go to Step 2.</td></tr>
<tr><td>You do not need additional resources,</td><td>Click the No radio and skip to Step 4.</td></tr>
<tr><td>2.</td><td colspan="2">Check all boxes that apply to your request: Personnel, Space, and/or Equipment.</td></tr>
<tr><td>3.</td><td colspan="2">Briefly explain your request in the freeform field provided.</td></tr>
<tr><td>4.</td><td colspan="2">Click the Save button.</td></tr>
</table>

8 Conflict of Interest

In this document	This document reviews the implications of the Conflict of Interest section in Cayuse SP, and walks you through the simple steps to complete the section.
Conflict of Interest Policy at UNM	Conflicts of Interest (COI) are an inevitable part of conducting research and do not necessarily suggest any impropriety on the part of the investigator. Disclosing the required information at the earliest possible time affords the best protection of an investigator's interests. Investigators are encouraged to disclose any situation that could conceivably be viewed as a conflict of interest or a reportable financial interest. When in doubt, it is safer to disclose. For detailed COI policy, please refer the website at http://research.unm.edu/coi/.

About Financial Conflict of Interest forms

Q: Who should submit a Financial Conflict of Interest (FCOI) form?

A: All key personnel related to the proposed project must submit an FCOI form. **Key personnel** refers to anyone responsible for a task that could have a significant effect on the design, conduct, or reporting of research: all investigators, including faculty, staff, students, and non-UNM personnel.

Q: What is an FCOI form?

A: An FCOI form is an online form that allows key personnel to disclose a **significant financial interest** (SFI) -- or lack thereof -- on the part of the investigator, the investigator's spouse, domestic partner, and/or dependent children. SFI can refer to (but is not limited to):

- Aggregated salary, royalties, and other payments such as consulting fee or honoraria that >$10,000 over the next 12 months
- Equity interests (stocks, stock options, other ownership interests) >$10.000
- Equity interests (stocks, stock options, other ownership interests) that represents >5% ownership
- Intellectual property rights (e.g. patents, copyrights) or royalties from these rights other than through UNM or the Science and Technology Corporation (STC).

Q: When should I submit an FCOI form?

A: FCOI forms should be submitted:

- Annually, during the first month of the Fall Academic Year.
- Any time before submitting a proposal.
- If there is a material change (an acquisition of a significant financial interest) to this information, the investigator must submit a new disclosure within 30 days of that change.

Q: Where do I find/submit an FCOI form?

A: Find and submit these forms online at http://research.unm.edu/coi/ on the left-hand menu under Submit an Electronic Disclosure.

Q: Why must I submit an FCOI form?

A: Submission is required to comply with federal regulations and Faculty Handbook Policy.

Continued on the next page…

Ethical Implications

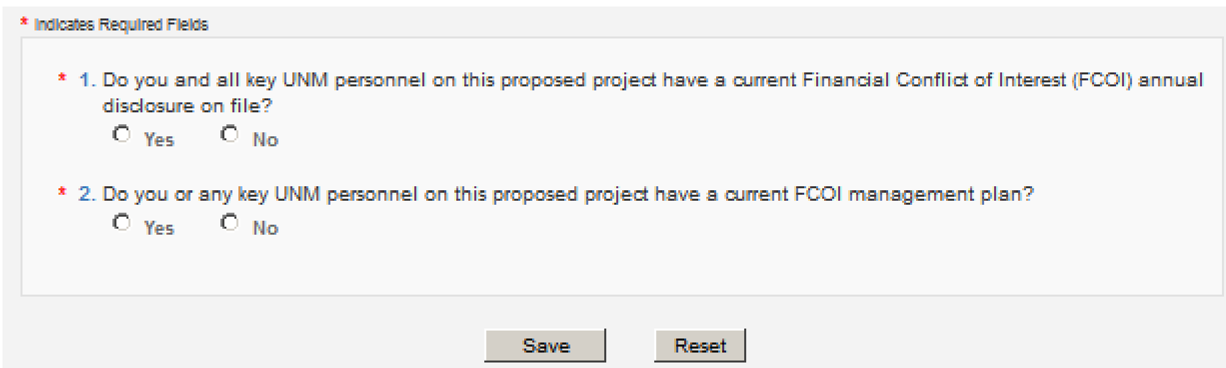
Please note that this form is considered an ethical representation and certification in the form of an electronic document. You are required to answer these questions truthfully and completely.

Please refer to UNM's *Faculty Handbook* Policies E110, "Conflicts of Interest in Research," and E40, "Research Misconduct."

If you have questions, contact…

Adelicia Gunn
email: mtaotero@unm.edu
phone: 505/277-2968

MSC01 1247
1700 Lomas Blvd. NE, Suite 2200
1 University of New Mexico Albuquerque, NM 87131-0001



* Indicates Required Fields

* 1. Do you and all key UNM personnel on this proposed project have a current Financial Conflict of Interest (FCOI) annual disclosure on file?
Yes No

* 2. Do you or any key UNM personnel on this proposed project have a current FCOI management plan?
Yes No

Save Reset

Steps to complete the Conflict of Interest section

Follow these steps to complete this task:

Step	Action
1.	Click on the Conflict of Interest link in your Item List.
2.	Do you and all key UNM personnel on this proposed project have a current FCOI annual disclosure on file?
3.	Do you or any key UNM personnel on this proposed project have a current FCOI management plan?

Step 2:

If…	Then…
So,	Click the Yes radio button and go to Step 2.
Not,	Either click the No radio button, OR save your work and return to the proposal again when you can truthfully answer Yes to this question.

Step 3:

If…	Then…
So,	Click the Yes radio button and continue to the next section.
Not,	Click the No radio button and continue to the next section.

9 Regulatory Compliance

In this document	This document walks you through the simple steps to complete the Regulatory Compliance section in Cayuse SP.

UNM's Regulatory Compliance resources

Q: Who do I contact if my research involves human subjects?

A: UNM's Human Research Protection Office (HRPO) supports UNM's Institutional Review Board (IRB). Their commitment is to promote the safety and protection of individuals involved in human research by providing support, guidance, and education to facilitate ethical and scientifically sound research.

Find the HRPO here: http://hsc.unm.edu/som/research/HRRC/.

Find IRB forms and guidelines here: http://hsc.unm.edu/som/research/HRRC/forms.shtml

Q: Who do I contact if my research involves animal subjects?

A: UNM's Office of Animal Care Compliance (OACC) ensures compliance with federal and state laws, regulations, and guidelines.

Find the OACC here: http://hsc.unm.edu/som/research/acc/

Find OACC's TOPAZ submissions and protocols here: http://hsc.unm.edu/som/research/acc/submissions.shtml

Q: Who do I contact if my research involves any radioactive, biological, chemical, or other material hazard?

A: UNM's Department of Safety & Risk Services (SRS) supports the University's core mission by advancing the safety and health of the University community through risk management best practices, education, consultation, and collaboration.

Find the SRS here: http://srs.unm.edu/index.php

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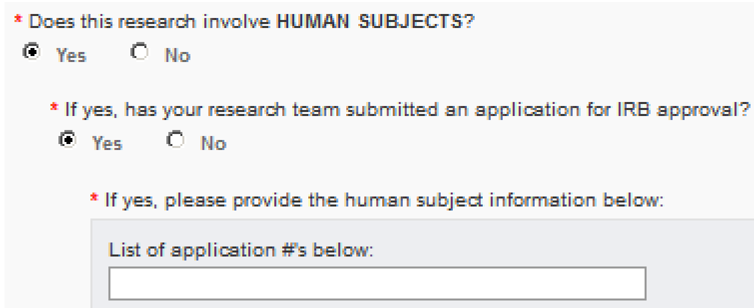

Follow these steps to complete this task:

Steps to disclose Human Subjects

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Regulatory Compliance link in your Item List.</td></tr>
<tr><td>2.</td><td>Does this research involve human subjects?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.
Result: Cayuse SP will prompt for additional information. Continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and continue to the next section.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>If yes, has your research team submitted an application for IRB approval?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button and enter the application numbers in the space provided and skip to the next section.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>If no, please enter the reason your team has not yet submitted an application to the IRB.</td></tr>
</table>

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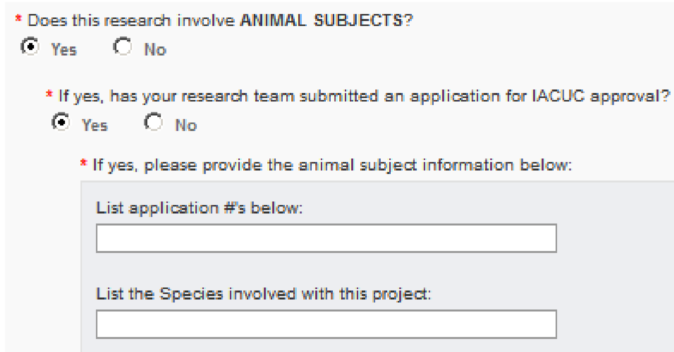

Follow these steps to complete this section:

Steps to disclose Animal Subjects

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Does this research involve animal subjects?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Yes,</td><td>Click the Yes radio button.
Result: Cayuse SP will prompt for additional information. Continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and continue to the next section.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>If yes, has your research team submitted an application for IACUC approval?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Yes,</td><td>Click the Yes radio button. Enter the application numbers and the corresponding species in the space provided, and skip to the next section.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>If not, please describe the reason that your team has not yet submitted an application for IACUC approval.</td></tr>
</table>

Continued on the next page…

Does the proposal involve research with any of the following?: (please check all that apply)

- [x] Radioactive Materials
- [x] Potential Biological Hazards (viruses, recombinant DNA, etc...) If Yes, contact UNM Safety and Risk Services at 277-2753.
- [x] Chemical Hazards (poisons, explosives, reagents, flammables, carcinogens, etc...)
- [x] Does this study involve the use of hazardous materials provided by the sponsor or any other party?

Steps to disclose Hazardous Materials

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Check all the boxes that are relevant to your proposal.</td></tr>
<tr><td>2.</td><td><table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>You checked any boxes,</td><td>Call the SRS office to discuss disclosures and training at 505/277-2753.</td></tr>
<tr><td>You checked no boxes,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

10 Subcontractors

In this document	This document walks you through the steps to complete the Subcontractors section in Cayuse SP.
Important tip	You must complete at least the first step even if subcontractors do not apply to your project.
You'll need additional attachments	If your proposal involves subcontractors, you must upload additional documents to the Attachments section, including: • Statement of Work • Budget • Budget Justification • F&A Rate Agreement • Letter from the subcontractor signed by an authorized official of the subcontractor's organization.
Where to go for policy information	If you are unsure if the relationship for the subcontractor should actually be a subcontract or a vendor , please refer to Policy 2470, "Subaward Administration" in UNM's *University Business Policies and Procedures Manual*, located here: http://www.unm.edu/~ubppm/ubppmanual/2470.htm

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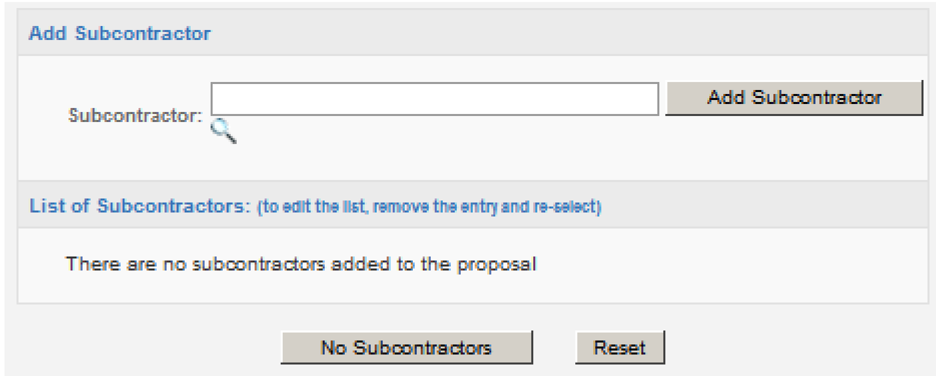

Follow these steps to complete this section:

Steps to add Subcontractors

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Subcontactors link in your Item List.</td></tr>
<tr><td>2.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>You will use subcontractors,</td><td>Continue to Step 2.</td></tr><tr><td>You will not use subcontractors,</td><td>Click the No Subcontractor button and skip to the next section.</td></tr></table></td></tr>
<tr><td>3.</td><td>Click the lookup under the Subcontractor to access the search window.</td></tr>
<tr><td>4.</td><td>Enter a key word in the field provided and click the Search button.</td></tr>
<tr><td>5.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>The correct name is listed,</td><td>Click on the hyperlinked name and continue to the next step.</td></tr><tr><td>The name is not listed,</td><td>Please send an email to the unmera@unm.edu mailbox to have your subcontractor added.</td></tr></table></td></tr>
<tr><td>6.</td><td>Click the Add Subcontractor button to attach the subcontractor record to the proposal.</td></tr>
<tr><td>7.</td><td>Repeat these steps as many times as necessary to add all subcontractors. Please note that you can click the Reset button to start over if you've made a mistake.</td></tr>
</table>

11 Export Control

In this document	This section highlights some Export Control resources within UNM, and details the steps to complete the Export Control section.

The Basics of Export Control

In export control regulations, there are several meanings of the word "export" which can include any of the following:

(1) the actual shipment of any goods or items covered under the regulations;

(2) the electronic or digital transmission of any goods, items or related goods covered under the regulations;

(3) any release or disclosure, including verbal disclosures or visual inspections, or any technology, software or technical data to any foreign national; or

(4) the actual use or application of covered technology on behalf of or for the benefit of any foreign entity or person anywhere.

The export or re-export of commodities, software, and technology is regulated by the US Department of Commerce Bureau of Industry and Security (BIS) which is responsible for implementing and enforcing Export Administration Regulations (EAR).

The BIS regulates purely commercial items as well as items that are commercial and might have military or proliferation applications (called "dual-use" items). The term "proliferation applications" refers to the spread of biochemical, nuclear, and other weapons of mass destruction to countries not originally involved in developing them.

Not all exports are covered under the EAR, however. For instance, defense articles and services are regulated by the Department of State under the International Traffic in Arms Regulations (ITAR). Examples of these types of exports include military equipment, military and space electronics, computers designed for military application, cryptographic techniques and encryption software.

Special exports such as endangered species, medical devices, and nuclear materials and equipment are regulated by still other governmental agencies. A list of the various agencies and contact information for each can be found in Supplement No. 3 to Part 730 of the EAR.

If you have questions, contact…

Adelicia Gunn
email: mtaotero@unm.edu
phone: 505/277-2968

MSC01 1247
1700 Lomas Blvd. NE, Suite 2200
1 University of New Mexico Albuquerque, NM 87131-0001

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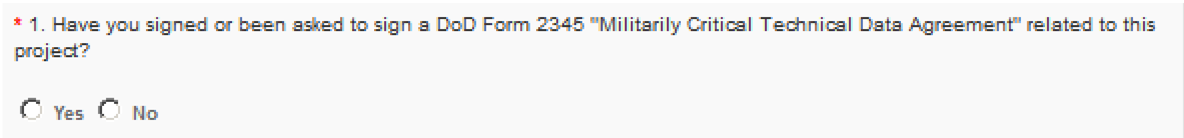
Legal Implications

Please note that the form broken out on the following pages is considered a legally-binding electronic document. You are required to answer these questions truthfully and completely.



Steps to report DoD disclosure

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Export Control link in your Item List.</td></tr>
<tr><td>2.</td><td>Have you signed or been asked to sign a DoD Form 2345 for this project?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Yes,</td><td>Click the Yes radio button and continue to the next section.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and continue to the next section.</td></tr>
</table>
</td></tr>
</table>

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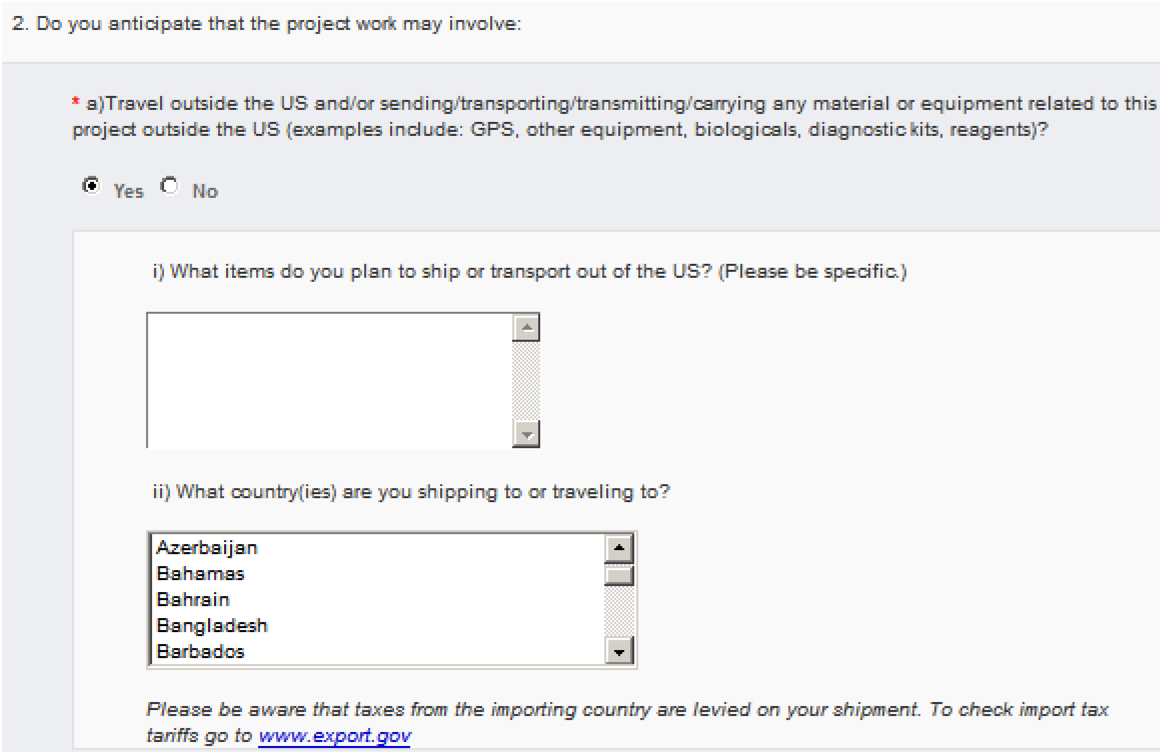

2. Do you anticipate that the project work may involve:

* a)Travel outside the US and/or sending/transporting/transmitting/carrying any material or equipment related to this project outside the US (examples include: GPS, other equipment, biologicals, diagnostic kits, reagents)?

Yes No

i) What items do you plan to ship or transport out of the US? (Please be specific.)

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

Azerbaijan
Bahamas
Bahrain
Bangladesh
Barbados

Please be aware that taxes from the importing country are levied on your shipment. To check import tax tariffs go to www.export.gov

Steps to disclose Travel or Transmission to Foreign Countries

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Does this research involve travel or transmission of material/equipment outside of the US?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button. Continue to Step 2.
Result: Cayuse SP will prompt for additional information.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and skip to the next section.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Please list specific items to be transported outside if the U.S. in the freeform field provided.</td></tr>
<tr><td>3.</td><td>Highlight all countries to which you will be shipping or traveling. If more than once country applies, hold down the <Ctrl> key to highlight multiple values.</td></tr>
</table>

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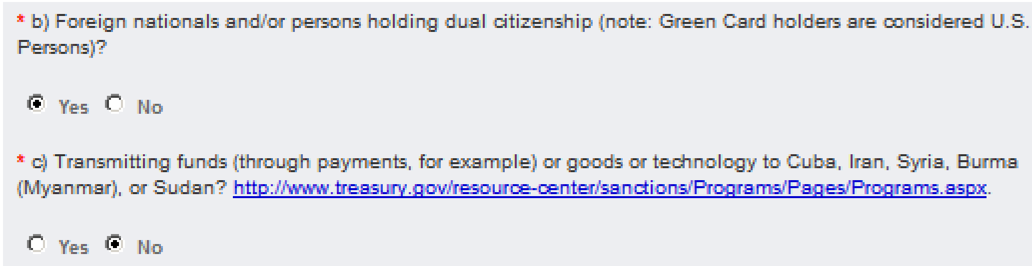

* b) Foreign nationals and/or persons holding dual citizenship (note: Green Card holders are considered U.S. Persons)?

Yes No

* c) Transmitting funds (through payments, for example) or goods or technology to Cuba, Iran, Syria, Burma (Myanmar), or Sudan? http://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx.

Yes No

Steps to disclose Foreign Nationals or Transmission to Countries Under Sanctions

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Will foreign nationals or persons holding dual-citizenship work on your project ?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Will you be transmitting funds, goods, or technology to a country currently under sanctions administered by the US Department of Treasury? At the time of this writing, these countries include Cuba, Iran, Syria, Burma, and Sudan.
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
</table>

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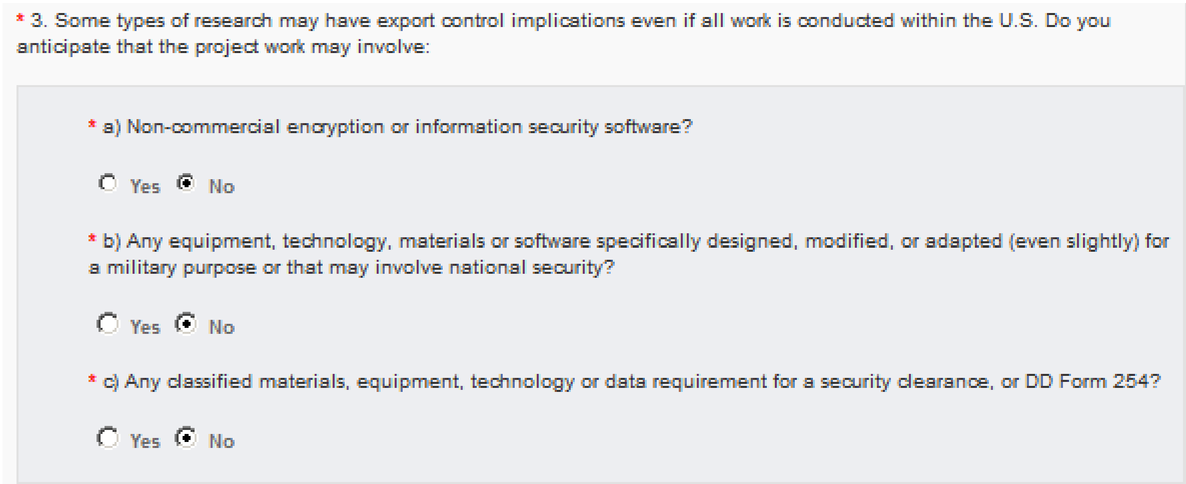

* 3. Some types of research may have export control implications even if all work is conducted within the U.S. Do you anticipate that the project work may involve:

* a) Non-commercial encryption or information security software?

Yes No

* b) Any equipment, technology, materials or software specifically designed, modified, or adapted (even slightly) for a military purpose or that may involve national security?

Yes No

* c) Any classified materials, equipment, technology or data requirement for a security clearance, or DD Form 254?

Yes No

Steps to disclose Export Implications for Domestic Projects

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Does this project involve non-commercial encryption or information security software?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Does this project involve any equipment, technology, materials, or software specifically designed, modified, or even slightly adapted for a military purpose, or a purpose that may involve national security?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Does this project involve any classified materials, equipment, technology, or data where a security clearance (DD Form 254) is required?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>Click the Save button and continue to the next section.</td></tr>
</table>

12 Intellectual Property

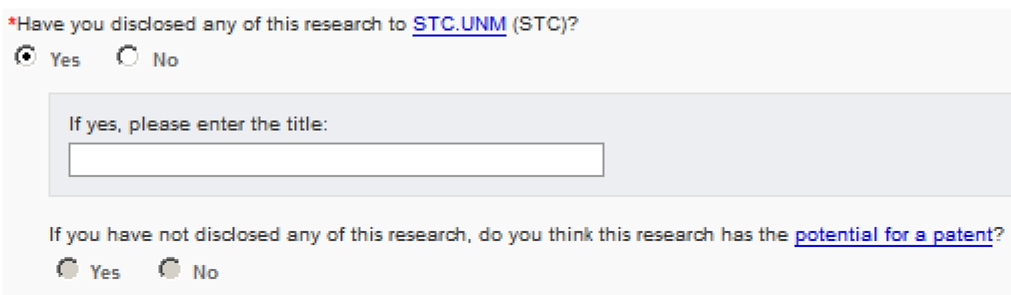
In this document

This section highlights some Intellectual Property resources within UNM, and details the steps to complete the Intellectual Property section.

Submitting an Invention Disclosure Form

Submitting a comprehensive Information Disclosure Form (IDF) allows UNM's Science and Technology Center (STC) to quickly move to the next steps of patent protection or copyright registration, and commercialization of your invention.

- A step-by-step guide to submitting an online disclosure has been published by STC.UNM here for your convenience.
- Submit an IDF online to STC.UNM by clicking here.



Steps to disclose your Disclosure

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Intellectual Property link in your Item List.</td></tr>
<tr><td>2.</td><td>Have you disclosed this research to STC.UNM?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Yes,</td><td>Click the Yes radio button and continue to Step 3.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and skip to Step 4.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Enter the title of your disclosure in the freeform field provided, and continue to the next section.</td></tr>
<tr><td>4.</td><td>Do you think this research has the potential for a patent?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Yes,</td><td>You may click the Yes radio button and continue to the next section. We recommend, however, that you save your proposal at this point and take the time to submit the IDF before continuing on. Then, return to Step 1 of this section and follow the instructions for the "Yes" option.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and continue to the next section.</td></tr>
</table></td></tr>
</table>

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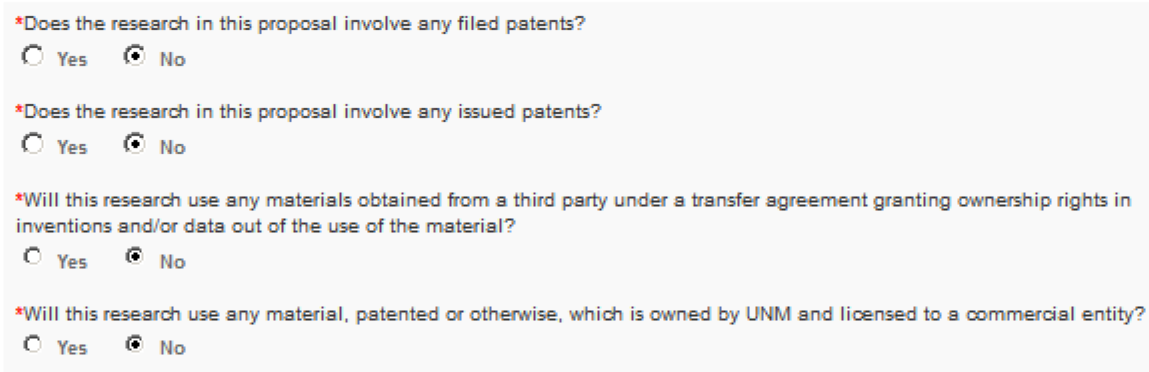

*Does the research in this proposal involve any filed patents?
Yes No

*Does the research in this proposal involve any issued patents?
Yes No

*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?
Yes No

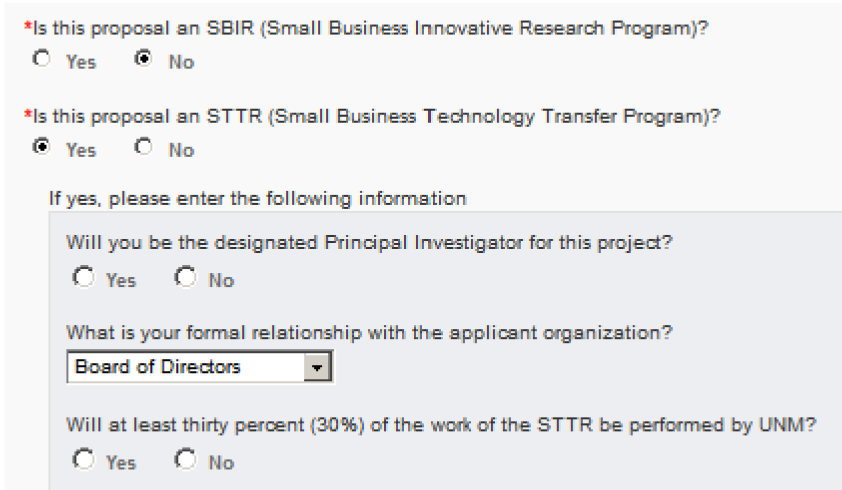
*Will this research use any material, patented or otherwise, which is owned by UNM and licensed to a commercial entity?
Yes No

Steps to disclose Existing Patents

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Does the research in this proposal involve any filed patents?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Does the research in this proposal involve any issued patents?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Will this research use any materials obtained from a third-party under a transfer agreement, granting ownership rights in inventions and/or data from the use of said materials?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>Will this research use any materials, patented or otherwise, that is owned by UNM and licensed to a commercial entity?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
</table>

Continued on the next page…


*Is this proposal an SBIR (Small Business Innovative Research Program)?
Yes No

*Is this proposal an STTR (Small Business Technology Transfer Program)?
Yes No

If yes, please enter the following information

Will you be the designated Principal Investigator for this project?
Yes No

What is your formal relationship with the applicant organization?
Board of Directors

Will at least thirty percent (30%) of the work of the STTR be performed by UNM?
Yes No

Follow the steps to complete this section:

Steps to disclose Small Business Programs

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Is this proposal a Small Business Innovative Research Program?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Is this proposal a Small Business Technology Transfer (STTR) Program?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button and continue to Step 3.</td></tr>
<tr><td>Not,</td><td>Click the No radio button and skip to Step 6.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Will you be the designated PI for this project?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>Click the value from the dropdown menu that best describes your formal relationship with the applicant organization.</td></tr>
<tr><td>5.</td><td>Will at least 30 percent of the work the (STTR) be performed by UNM?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the Yes radio button.</td></tr>
<tr><td>Not,</td><td>Click the No radio button.</td></tr>
</table></td></tr>
<tr><td>6.</td><td>Click the Save button and continue to the next section.</td></tr>
</table>

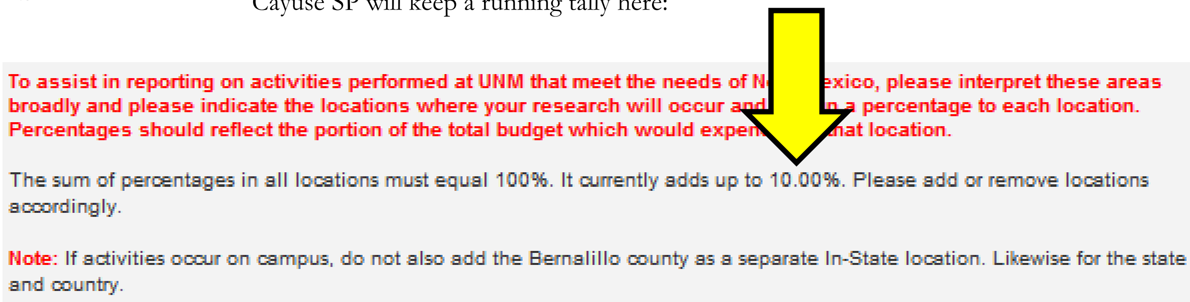
13 Location of Sponsored Activities

In this document

This document details the steps to compete the Location section in Cayuse SP.

Helpful hint

The sum total of all percentage values must equal 100. As you move through the steps, Cayuse SP will keep a running tally here:



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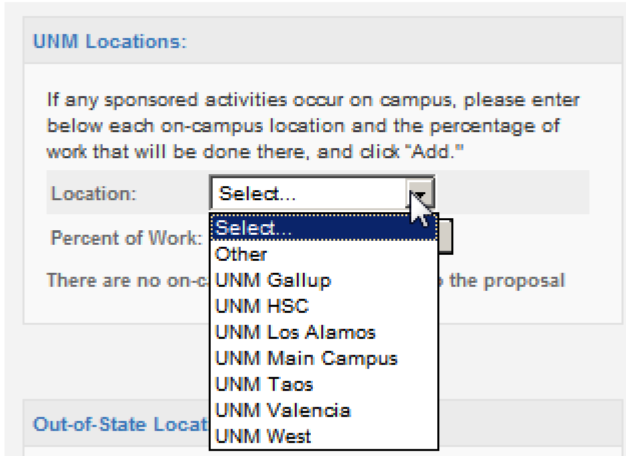

Follow these steps to complete this section:

Steps to complete the UNM Location prompts

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the Location of Sponsored Activities link in your Item List.</td></tr>
<tr><td>2.</td><td>Will any part of your research take place on UNM-owned or sponsored property?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Select the correct UNM-owned or sponsored location from the UNM Locations drop down list and continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Skip to the next section.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Enter the Percent of Work that will take place at the selected location.</td></tr>
<tr><td>4.</td><td>Click the Add button.</td></tr>
<tr><td>5.</td><td>Will the work take place at more than one UNM-owned or sponsored property?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Repeat Steps 1 through 3 until all locations are represented.</td></tr>
<tr><td>Not,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

Continued on the next page…

Follow these steps to complete this section:

Steps to complete the In-State Location prompts

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Will any part of your research take place off UNM-owned or sponsored property but within the state of New Mexico?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Select the correct New Mexico county from the dropdown list and continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Skip to the next section.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Enter the Percent of Work that will take place within the selected county.</td></tr>
<tr><td>3.</td><td>Click the Add button.</td></tr>
<tr><td>4.</td><td>Will the work take place within more than one New Mexico county?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Repeat Steps 1 through 3 until all counties are represented.</td></tr>
<tr><td>Not,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

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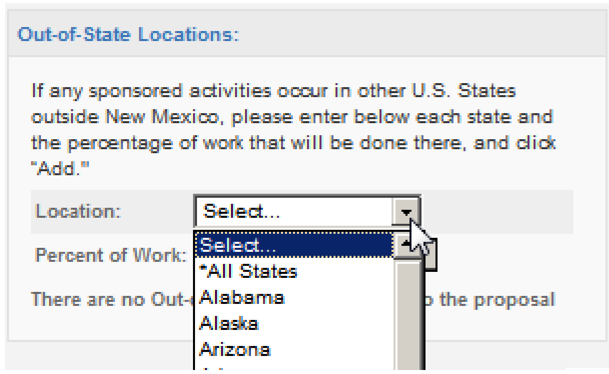

Follow these steps to complete this section:

Steps to complete the Out-of-State Location prompts

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Will any part of your research take place outside of New Mexico but within the United States?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Select the correct state from the dropdown list and continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Skip to the next section.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Enter the Percent of Work that will take place within the selected state.</td></tr>
<tr><td>3.</td><td>Click the Add button.</td></tr>
<tr><td>4.</td><td>Other than New Mexico, will your work take place in more than one state?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Repeat Steps 1 through 3 until all states are represented.</td></tr>
<tr><td>Not,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

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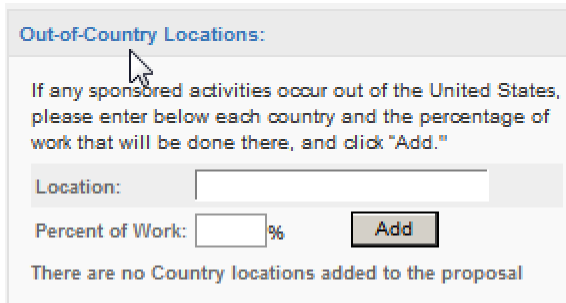
Out-of-Country Locations:

If any sponsored activities occur out of the United States, please enter below each country and the percentage of work that will be done there, and click "Add."

Location:		
Percent of Work:	%	Add

There are no Country locations added to the proposal

Follow these steps to complete this section:

Steps to complete the Out-of-Country Location prompts

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Will any part of your research take place outside of the United States?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Enter the country name in the freeform field provided and continue to Step 2.</td></tr>
<tr><td>Not,</td><td>Skip to the next section.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Enter the Percent of Work that will take place within the country.</td></tr>
<tr><td>3.</td><td>Click the Add button.</td></tr>
<tr><td>4.</td><td>Other than the United States, will your work take place in more than one country?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Repeat Steps 1 through 3 until all countries are represented.</td></tr>
<tr><td>Not,</td><td>Continue to the next section.</td></tr>
</table></td></tr>
</table>

14 Application Abstract

In this document	This document walks you through the steps to upload an application abstract for your proposal.
How will this information be used?	As stated in Cayuse SP, with your permission, the abstract uploaded in this screen will be used for the UNM Research Abstracts Database (RAD). RAD is a database designed to match faculty researchers with potential collaborators and funding sources, and to help identify expertise and research interests on the UNM campus.
About abstract content	As stated in Cayuse SP, the abstract should be plainly written and in sufficient detail to summarize: • The purpose(s) or problem(s) • The hypothesis(es) or the objective(s) • The method(s) of the project(s)

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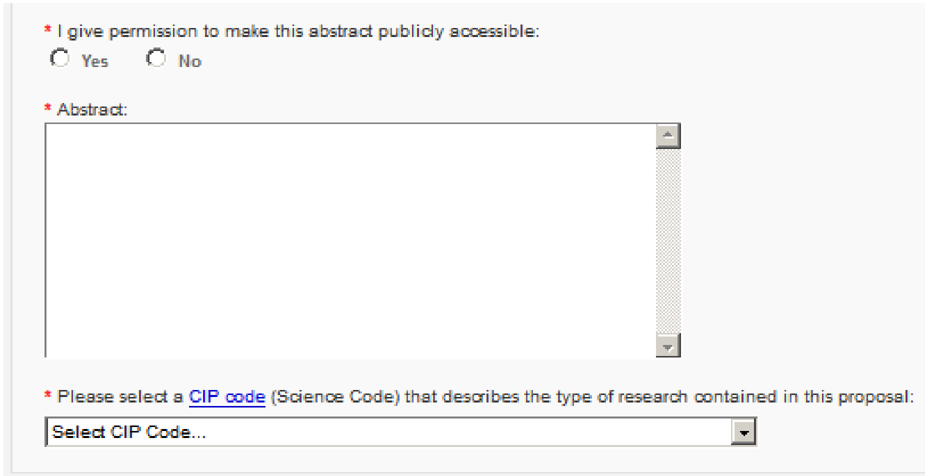

Follow these steps to complete this task:

Steps to upload your Abstract

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Click on the <u>Application Abstract</u> link in your Item List.</td></tr>
<tr><td>2.</td><td>Do you give your permission to make the abstract publicly accessible?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>Your abstract contains ANY institutional or sponsor proprietary information,</td><td>You MUST select the No radio button for this option.</td></tr>
<tr><td>You have no objections to this abstract being made public,</td><td>Select the Yes radio button for this option.</td></tr>
</table></td></tr>
<tr><td>3.</td><td>Cut and paste (or type) your abstract content into the freeform field provided.
Note: This field is required. You must enter some text in order for the proposal to be validated at submission. If you select NO, you may enter N/A.</td></tr>
<tr><td>4.</td><td>Select the best <u>CIP code</u> from the drop-down list.</td></tr>
<tr><td>5.</td><td>Click the Save button.</td></tr>
</table>

15 Attachments

In this document	This document describes the content you should upload to the Attachments section, and walks you through the steps to get that done.
What should you upload?	The following items are mandatory: • Statement of work (draft or completed) • Solicitation or proposal announcement guidelines • Budget worksheet • Budget justification The following items should be uploaded if the situation applies to your proposal: • Subcontractor documentation, including letter of commitment, budget justification, scope of work, F&A agreement • Cost share approval form and budget • F&A reduction request form • F&A Split form • Export control form • PI Eligibility forms For industry-sponsored clinical trials, upload: • Sponsor protocol • Final sponsor budget • Final internal budget

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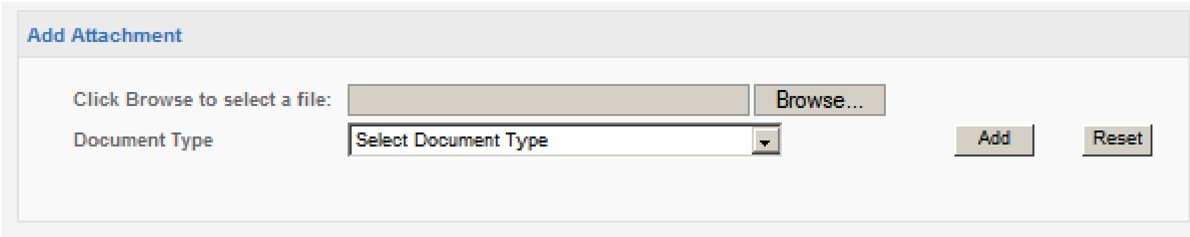


Steps to upload an Attachment

Follow these steps to upload your attachments:

Step	Action
1.	Click on the Attachments link in your Item List.
2.	Click the Browse button.
3.	Navigate to the location of the document on your computer.
4.	Highlight the document and click the Open button.
5.	In Cayuse SP, select the correct **Document Type** from the dropdown list.
6.	Click the Add button. **Result:** Cayuse SP adds the attachment to the log at the bottom of the window.
7.	Repeat these steps as many times as is necessary to upload all the necessary documents.

16 Approving Departments

In this document

This document will highlight some changes to the workflow design from Cayuse 424 to Cayuse SP, and detail the steps involved in adding additional workflow departments.

Important Tip

Unlike previous systems, Cayuse SP will allow multiple users in the same proposal simultaneously.

Routing Order	Dept Number	Department	Role(s)
1	617A	Latin Ameri And Iberian Inst	Award Dept
2	ABB	University College	Affiliated Center/Institute
3	798B	Office of Research Services	Lead Principal Investigator
4	048A	Biology	Cost Share/Cash Matching Unit

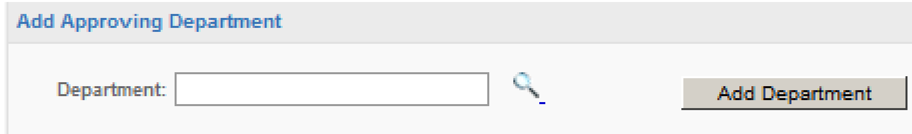
About Routing in Cayuse SP

Cayuse will autopopulate Approving Departments based on your selections in the previous sections, along with the roles you identified for them, as shown above. Note that Cayuse SP does not display the specific name of the person within the department to whom the workflow notification will be sent. This is because workflow within the system is assigned based on security role, not username.

Also, note that the department to which the grant will be awarded is listed first in the routing order, and that this department's position in the routing order is not editable. The person assigned as approver in this department must approve first. The routing order of all subsequent departments is subject to your changes.

Continued on the next page…

Steps to Add, Reorder, and Authorize Workflow



Follow these steps to complete this task:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Do you need to add departments other than those already listed?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Click the lookup next to the Department field to access the Search window and select the department by clicking the hyperlink.</td></tr>
<tr><td>Not,</td><td>Skip to Step 4.</td></tr>
</table></td></tr>
<tr><td>2.</td><td>Click the Add Department button.</td></tr>
<tr><td>3.</td><td>Do you need to add additional departments?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Repeat Steps 1 and 2 as many times as is necessary to add all departments.</td></tr>
<tr><td>Not,</td><td>Continue to Step 4.</td></tr>
</table></td></tr>
<tr><td>4.</td><td>Is the routing order to your liking?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Continue to Step 5.</td></tr>
<tr><td>Not,</td><td>Using the routing dropdown menus, reorder the routing as desired.</td></tr>
</table></td></tr>
<tr><td>5.</td><td>Click the Authorize Department Listing button.</td></tr>
</table>

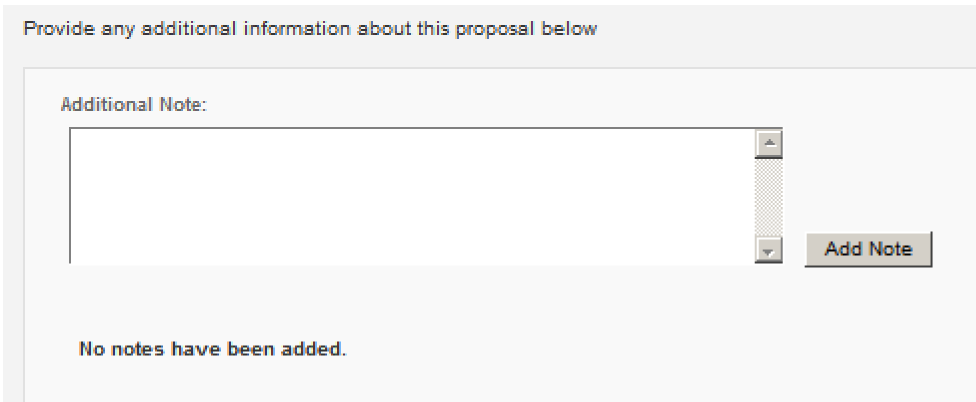
17 Additional Notes

In this document

This section details the simple steps to add a note to your proposal.

Important Tip

Please be advised that once a note is added, it CANNOT be edited or deleted. The note will follow the proposal through its entire lifecycle.



Steps to add a note

Follow these steps to complete this section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>Do you need to add a note?
<table>
<tr><th>If…</th><th>Then…</th></tr>
<tr><td>So,</td><td>Add your text to the freeform field and click the Add Note button.</td></tr>
<tr><td>Not,</td><td>Continue to the next section.</td></tr>
</table>
</td></tr>
</table>

18 Submitting, Certifying, and Approving the Proposal

In this document	Once a proposal is completed, it must be submitted for certification and approvals. This section details the steps involved in each of these subprocesses.
Nothing happens until you submit and certify	After completing the proposal details in Cayuse SP, you MUST submit the proposal in order for the PI to receive notification to certify the proposal. In turn, the PI MUST certify the proposal in order for the departmental approvers to be prompted to review.

Steps to Submit

Follow these steps to complete this task:

Step	Action
1.	From within the proposal, click the Submit Proposal button at the bottom of your Item List.
2.	Cayuse will ask you to confirm the submission. Consequences of submission are: • All sections of the electronic proposal package will be "locked" and can no longer be edited by submitting personnel. • The proposal will be routed to all affiliated departments for review and concurrence. You will be notified of rejection by email. • The principal investigator will be prompted via e-mail to certify the proposal. • Upon certification and approval, the proposal will be routed to Pre-Award services, Main, for final review, approval, and submission to sponsor.

If…	Then…
You would like to submit,	Click the Yes button. Continue to the next section.
You would like to submit later,	Click the No button.

Continued on the next page…

Steps to Certify

All principal investigators must certify their proposals. Follow these steps to complete this task:

Step	Action
1.	From the main menu, click on the PI Certification Inbox link listed under your Proposal Dashboard.
2.	If you have more than one proposal to certify, click the proposal you'd like to approve by clicking on the proposal number link displayed in your inbox.
3.	Cayuse SP will prompt you to confirm, which includes certifying • The proposal information is true, complete, and accurate to the best of your knowledge. • You have the responsibility for the scientific, fiscal, and ethical conduct of the project and will provide the required progress reports if an award is made. • You will comply with all relevant state and federal regulations, University policies, and contractual obligations in administering the resultant award. • You have reviewed applicable U.S. Export Control requirements and University policy on Export Controls, and will comply with the export control requirements. • If this is an NIH application, you will comply with the NIH Policy on Public Access. • You will work to ensure that your relationship with the sponsor of this project is either free of conflict of interest or consistent with a previously disclosed conflict of interest management plan. **If…** / **Then…** You would like to certify this proposal, → Continue to the next step. You do not want to certify this proposal, → Click the Cancel button.
4.	Add any comments regarding this proposal into the freeform field provided.
5.	Click the Submit Certification button.

Continued on the next page…

Steps to Approve or Reject the Proposal

If you are a Department Approver, follow these steps to complete this task:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the main menu, click on the Dept Approval Inbox link listed under your Proposal Dashboard.</td></tr>
<tr><td>2.</td><td>Select the proposal you’d like to approve by clicking on the proposal number link displayed in your inbox.</td></tr>
<tr><td>3.</td><td>Review the proposal details by clicking through the tabs.

</td></tr>
<tr><td>4.</td><td><table><tr><th>If…</th><th>Then…</th></tr><tr><td>You would like to approve the proposal</td><td>Click the Authorize Proposal button and skip to step 7.</td></tr><tr><td>You would like to reject the proposal,</td><td>Click the Reject Proposal button.</td></tr></table></td></tr>
<tr><td>5.</td><td>Detail your reasons for rejection in the freeform field provided.</td></tr>
<tr><td>6.</td><td>Click the Submit Rejection button. You have completed this process.</td></tr>
<tr><td>7.</td><td>Cayuse will prompt you to confirm your authorization, which certifies:
The activity is appropriate for your organization and supports the mission of the University.
Your organization agrees to provide the resources identified.
These resources could include cost-sharing and the responsibility of reimbursement of costs to the University in the event the sponsor does not pay.
The individual serving as PI on the project is eligible to serve in this role.
<table><tr><th>If…</th><th>Then…</th></tr><tr><td>You would like to authorize this proposal,</td><td>Continue to the next step.</td></tr><tr><td>You do not want to authorize this proposal,</td><td>Click the Cancel button.</td></tr></table></td></tr>
<tr><td>8.</td><td>Add any comments to the freeform field provided.</td></tr>
<tr><td>9.</td><td>Click the Submit Authorization button.</td></tr>
</table>