

## To Route a Proposal for OSP Review, Approval, and Submission

- Log in to Cayuse and select Cayuse SP



## Cayuse Research Suite

3.8.0

### Research Administration Modules

- [Cayuse SP \(Sponsored Projects\)](#)
- [Cayuse 424](#)
- [Cayuse IRB \(Human Studies Compliance\)](#)

### System Administration Applications

- [Backbone](#)
- [Research Contacts](#)
- [Workflow](#)

### Application Help

- [Research Suite Support Center](#)



## SPONSORED PROJECTS

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### Proposal Dashboard

[Start New Proposal](#)

[My Proposals](#)

[Proposals In My Unit](#)

[Pre-Award Spending Inbox](#)

### Award Dashboard

>> Welcome to Cayuse SP

#### Use the Proposal Dashboard to:

- Start a new proposal.
- Edit and track proposal records you have created or c
- View proposal records in administering units to which
- Authorize preliminary award requests in your role as a

#### Use the Award Dashboard to:

- Start a new proposal

Please provide all requested information. For general proposal guidance, please refer to the Office of Sponsored Programs proposal guidance located [here](#).

\* Indicates Required Fields


### Sponsor Information

\* Sponsor: i  


Funding Opportunity/Sponsor application No:


Sponsor Program Name:

Proposal Guideline URL:

Prime Funding Agency:  


### General Proposal Information


\* PI Department  

\* Primary Administrative Contact:  


Project No:


\* Short Project Name:  (internal reference name)

\* Project Start Date:   [Clear](#)


\* Project End Date:   [Clear](#)

\* Activity Code: [Click Here to Choose Activity Code](#)  
1. Research - Basic



\* Proposal Type:  

\* Instrument Type:  

How will this proposal be submitted?

Select Submission Method:  

Affiliated Unit(s) (if applicable): [Click Here to Choose Affiliated Unit\(s\)](#)

\* Sponsor Deadline:   [Clear](#) Time:   

Postmark:  Receipt:

\* Title of Project:

Create a Paired Proposal  Pair with a 424 Proposal  Un-Pair with 424 Proposal

- Use the magnifying glasses to look up information.
- If you cannot locate the sponsor, contact OSP to add the sponsor to the system.
- If the deadline is before 5 pm on the due date, specify a time.

>> Key Personnel Worksheet

Please identify all individuals who will be responsible for the design, conduct, and/or reporting of any portion of the proposed research project.

NOTE: The sum of allocated credit on this proposal is currently 0%.

Add Personnel Information

* Last Name:	<input type="text"/>	* Unit:	<input type="text"/>
* First Name:	<input type="text"/>	* Role:	<input type="text" value="Select Role..."/>
Phone:	<input type="text"/>	* Sponsored Effort %:	<input type="text"/>
Email:	<input type="text"/>	Cost Shared Effort %:	<input type="text"/>
* <u>Person Months</u> :	<input type="text"/>	Allocation of Credit %:	<input type="text"/>

Save Personnel

List of Personnel:

Person	Unit	Role	Sponsored Effort	Cost Shared Effort	Total Effort	Allocation of Credit	Person Months
Ashley Alexander	Office of Sponsored Progs-OSP (83581)	Lead Principal Investigator	10%	0%	10%	0%	1.2 <a href="#">Edit</a> <a href="#">Delete</a>

Reset

- Add personnel information for all faculty working on this project.
- You can also give other unit personnel access to the proposal by adding them here.
- Note – the effort is probably not 100%. The total effort is the amount of effort on the budget spreadsheet. If an individual is working 1.2 months per year, their effort is 10%. Person months are not the months of the project. Person months is the total months of effort spent working on the project during the year. This information should match the budget.

## >> Budget Worksheet

A comprehensive and accurate budget is important to a successful proposal. Please indicate specific costs within each cost category that help achieve the goals from the proposal narrative and budget justification.

\* Indicates Required Fields

### Overview

Lead PI: Ashley Alexander

Sponsor: National Science Foundation-NSF

\* Budget Form:

Select one of the above:

Summary: View direct costs, indirect rates, bases and totals (default setting)

Detailed: View specific budget categories, indirect rates, bases and totals

Autofill: View detailed budget data autofilled from 424 proposals, if paired

\* # of Budget Periods:

Project Dates:

Current Period

Entire Project

\* Start:   04/01/20

\* End:   03/31/22

Comments:  
(512 chars max)

### Cost Sharing (i)

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

Yes  No

### F&A Rates

		Current Period	Entire Project
	F&A Rate (1):	<input type="text" value="43.000"/> %	<input type="text" value="43.000"/> %
	F&A Rate (2):	<input type="text" value="0.000"/> %	<input type="text" value="0.000"/> %
	F&A Rate (3):	<input type="text" value="0.000"/> %	<input type="text" value="0.000"/> %
Use calculated values: <input checked="" type="checkbox"/>	* Effective Rate:	43 %	43 %

- Enter the budget worksheet information for the entire project – the current period matches the entire project.
- Select the on or off-campus rate by clicking in the F&A Rate box. If the rate is different from our negotiated rate, enter the sponsor rate.
- If you have matching or cost-sharing, mark yes and complete the required information. See below for cost-share.

### Budget Categories

		Current Period	Entire Project
	<b>SPONSOR DIRECT COSTS:</b>	\$ 100,000	\$ 100,000
	BASE for F&A Rate (1):	\$ 100,000	\$ 100,000
	BASE for F&A Rate (2):	\$ 0	\$ 0
	BASE for F&A Rate (3):	\$ 0	\$ 0
<b>Use calculated values:</b> <input checked="" type="checkbox"/>	<b>INDIRECT COSTS (F&amp;A):</b>	<b>\$43,000</b>	<b>\$43,000</b>
	FEE:	\$ 0	\$ 0
<b>Use calculated values:</b> <input checked="" type="checkbox"/>	<b>TOTAL SPONSOR PROPOSED COSTS:</b>	<b>\$143,000</b>	<b>\$143,000</b>
	Internal Cost Sharing:	\$0	\$0
	Third-Party Cost Sharing:	\$0	\$0
	<b>TOTAL PROJECT COSTS:</b>	<b>\$143,000</b>	<b>\$143,000</b>

### Additional Resources

\* Do you need additional resources that are not included in the proposal budget to conduct this project?

Yes  No

Save

Reset

- Enter the direct costs, not total costs. Total costs automatically calculate.
- Enter the base. If you are unsure about this amount, check the last page of the internal excel budget form.
- IDC will automatically calculate. Check that this number matches your total sponsor and internal budget.
- If the project does not include cost-share, skip the next section.

If your budget includes cost share or matching:

### Cost Sharing i

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

Yes  No

If yes, please fill in below:

#### Internal Cost Sharing

[Add Unit](#)

Unit	Account	Commitment	Match Type	Current Period	Entire Project	Comment
Anthropology (81025)	tbd	Mandatory	In-Kind	\$5,000	\$5,000	This is the amount the un... <a href="#">Remove</a>   <a href="#">Edit</a>

View 1 - 1 of 1 Page 1 of 1

#### Third-Party Cost Sharing

[Add Organization](#)

Organization	Account	Commitment	Match Type	Current Period	Entire Project	Comment
No records found.						

- Mark yes and add unit information.

outing

Internal Cost Sharing  
[Add Unit](#)

Add Internal Cost Sharing - Microsoft Edge

https://american-uat.cayuse424.com/sp/views/budget/dspCostShareForm.cfm?display\_r

**Add Internal Cost Sharing**

\* Unit:

Period Total: \$

Project Total: \$ 5,000

\* Commitment Type:

\* Match Type:

\* Account:  TBD if not known

Comment:

Type

F&A

Budget Categories

		Current Period	Entire Project
	<b>SPONSOR DIRECT COSTS:</b>	\$ <input type="text" value="100,000"/>	\$ <input type="text" value="100,000"/>
	BASE for F&A Rate (1):	\$ <input type="text" value="100,000"/>	\$ <input type="text" value="100,000"/>
	BASE for F&A Rate (2):	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>
	BASE for F&A Rate (3):	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>
<b>Use calculated values:</b> <input checked="" type="checkbox"/>	<b>INDIRECT COSTS (F&amp;A):</b>	<b>\$43,000</b>	<b>\$43,000</b>
	FEE:	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>
<b>Use calculated values:</b> <input checked="" type="checkbox"/>	<b>TOTAL SPONSOR PROPOSED COSTS:</b>	<b>\$143,000</b>	<b>\$143,000</b>
	Internal Cost Sharing:	\$5,000	\$5,000
	Third-Party Cost Sharing:	\$0	\$0
	<b>TOTAL PROJECT COSTS:</b>	<b>\$148,000</b>	<b>\$148,000</b>

- The amount entered in the Unit section is automatically added to the budget total.

>> PI: Conflict of Interest - Disclosure of Significant Financial Interests and Obligations

Conflict of interest disclosures are required prior to submission to ensure the design, conduct and reporting of sponsored program/project activity will not be biased by a significant financial interests or obligations of any investigator.

If you answered "YES" to ANY question below, please complete a separate Section II form for every organization with which you have indicated a Significant Financial Interest. Return all completed forms to the OSP staff member assigned to your proposal. COI Section II forms are available [here](#)

For additional information regarding conflict of interest in sponsored projects, please refer to AU's Financial Conflict of Interest Policy, located [here](#).

\* Indicates Required Fields

1. For clarification of terms used in the following section, please refer to AU's Financial Conflict of Interest Policy, located [here](#).
- \* a. Do you or your family member hold a position of management, such as board member, director, officer, partner, trustee, employee or consultant with a sponsor, a vendor or (sub) contractor related to the proposed sponsored program activity?  
 Yes  No
- \* b. Do you or your family member have a Significant Financial Interest (SFI) in a Sponsor, a vendor or (sub) contractor related to your proposed sponsored program activity? See definitions above.  
 Yes  No
- \* c. Could the value of your or your family's Significant Financial Interest reasonably affect the outcome of the proposed sponsored research/activity?  
 Yes  No
- \* 2. Has the University or has a University-related foundation received a cash or in-kind gift from the Sponsor of this study for the use or benefit of any member of the research team?  
 Yes  No
- \* 3. Has the University or has a University-related foundation received a cash or in-kind gift for the use or benefit of any member of the research team from an entity that owns or has the right to commercialize a product, process or technology studied in this project?  
 Yes  No

Save Reset

- Check with the PI on the conflict of interest information.

It is the responsibility of the PI to identify any items, technology, or activities on a proposal that may have export-control implications. For any questions related to export control, please contact [Compliance Manager in the Office of Graduate Studies and Research](#).

\* Indicates Required Fields

- \* 1. Does the proposed work involve any of the following, or do you have any other reason to believe it may involve export control or security concerns?
  1. Homeland Security concerns
  2. Restricted Department of Energy technology
  3. Spacecraft technology (U.S. Government) or
  4. DoD Form 2345 Military Critical Technical Data Agreement Yes  No
2. Do you anticipate that the project work may involve:
  - \* a. Sending, transporting, transmitting, or carrying any material or equipment related to this project outside the US (examples include: GPS, biologicals, diagnostic kits, reagents)  
 Yes  No
  - \* b. Travel outside the US?  
 Yes  No
  - \* c. Transmitting funds (through payments, for example) or goods or technology to any of the following countries on the [OFAC list](#).  
 Yes  No
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?  
 Yes  No

- Again, check with PI on Export control matters.
- If budget requests funds for international travel, 2. b. is yes.

>> PI: Intellectual Property (IP) Worksheet

Intellectual Property Commercialization@AU is designed to support faculty who are discovering new knowledge to secure protection of their intellectual property and commercialize their innovations. Please see the Vice Provost for Graduate Studies and Research website [here](#) for more details.

\* Indicates Required Fields

\* 1. Have you disclosed any of this research to the the Vice Provost for Research and Dean of Graduate Studies?

Yes  No

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

Yes  No

\* 2. Does the research in this proposal involve any filed patents?

Yes  No

\* 3. Does the research in this proposal involve any issued patents?

Yes  No

\* 4. Will this research use any materials obtained from a third party. If yes, was a transfer agreement executed which would grant ownership rights in inventions and/or data arising from the use of the material?

Yes  No

\* 5. Will this research use any material, patented or otherwise, which is owned by American University and/or the funding entity and licensed to a commercial entity?

Yes  No

\* 6. Is this proposal an SBIR (Small Business Innovative Research Program)?

Yes  No

\* 7. Is this proposal an STTR (Small Business Technology Transfer Program)?

Yes  No

- If this is an SBIR or STTR proposal, it will likely be mentioned in the solicitation.

>> PI: Proposal Abstract

\* Indicates Required Fields

Please provide a brief abstract of your proposal highlighting:

- a. the purpose(s) or problem(s)
- b. the hypothesis(es) or objective(s)
- c. the method(s) of the project(s)

Abstract:

Save

Reset

- The information provided here will be used for reporting purposes and to publish award notices.



>> PI: Regulatory Compliance

If this proposal includes the use of human subjects, vertebrate animals, and/or hazardous research materials, please check the appropriate category below and contact the [Research Core](#) required approvals.

\* Indicates Required Fields

Human Subjects

\* Does this research involve HUMAN SUBJECTS?

Yes  No

\* Has your research team submitted an application for IRB approval?

Yes  No

\* Please indicate your reason for not submitting an IRB application:

Not required at proposal submission (JIT)

Submission is pending

Animal Subjects

\* Does this research involve ANIMAL SUBJECTS?

Yes  No

Research Materials

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

Radioactive or Nano Materials

Potential Biological Hazards (viruses, recombinant DNA, etc...)

Chemical Hazards (poisons, explosives, reagents, flammables, carcinogens, etc...)

Does this study involve the use of materials provided by the sponsor or any other party?

Neurotoxin Hazards (botulinum neurotoxins, botulinum neurotoxin-producing species of Clostridium, or preparations or pharmaceuticals containing botulinum neurotoxins, etc...)

Not Applicable

- Answer as it applies to the project.

>> PI: Other Required Information

Please provide answers to the following:

\* Indicates Required Fields

\* 1. Have equipment costs been cleared through Purchasing? (If yes, please attach a quote in the Proposal Attachments section)

Yes  No

\* 2. Will you be requesting a course release?

Yes  No

\* 3. Does this proposal involve the creation of or planning for a new degree program or degree track?

Yes  No

If yes, provide a brief description via the Proposal Attachments link and naming the file Misc\_Q3.

\* 4. Will the program be intended for minors (e.g., Summer Camp)?

Yes  No

If yes, attach a list of the dates of coordination with the Risk Management and Public Safety Offices via the Proposal Attachments link. For overseas projects, please attach the country risk report form the Office of Risk Management via the Proposal Attachments link. Name the files Misc\_Q4a and Misc\_Q4b respectively.

\* 5. Will the salary support requested from the sponsor and reflected in the budget fully reimburse the level of effort shown? (If not, voluntary cost share is being proposed.)

Yes  No

If No, please attach an explanation via the Proposal Attachments link, naming the file Misc\_Q5

\* 6. If applicable, indicate where the funding opportunity for the project/program was obtained:

Other

Save

Reset

- If a course release is requested, provide the year and semester.

>> Performance Site Worksheet

Please indicate the locations where your research will occur and assign a percentage to each location. Percentages should reflect the portion of the total budget that will be expended in that location.

On-Campus Locations:

If any sponsored activities will occur in any of the following: Anderson Hall, Broadcast Center, Greenberg Theatre, Hughes Hall, Jacobs Fitness Center, Katzen Arts Center, Leonard Hall, and/or Letts Hall, please enter each location and the percentage of work that will be done there, and click Add.

Location:    
 Percent of Work: %

Location	Percent Work	
Other Campus Location	51.00%	<a href="#">Remove</a>

Out-of-State Locations:

If any sponsored activities occur outside of D.C. in one or more U.S. States, please enter below each state and the percentage of work that will be done there, and click Add.

Location:    
 Percent of Work: %

Location	Percent Work	
Texas	25.00%	<a href="#">Remove</a>

Off-Campus Locations

If any of the proposed activity will be conducted in D.C. in space not owned, rented, or leased by AU and not otherwise paid for by the University from University funds, please choose "Off-Campus in D.C." below.

Location:    
 Percent of Work: %

There are no Off-Campus locations added to the proposal.

Out-of-Country Locations:

Will any work take place in any foreign country?

Location:    
 Percent of Work: %

Location	Percent Work	
Mexico	24.00%	<a href="#">Remove</a>

- Check with PI to ensure the information provided is accurate.
- To be approved for the off-campus IDC rate, at least 51% of the work must be performed off-campus.

>> Proposal Attachments

When applicable, please attach the following documents:

- Proposal Announcement Guidelines
- Conflict of Interest "Section II" form for each identified entity in Subcontractor/Subaward Request Worksheet
- Budget (in AU Budget Template available from the [Forms and Templates section](#) of the OSP website)
- Subcontractor documentation (statement of work, budget, budget justification, list of equipment costing \$5,000 or more, letter of commitment, IRB and/or IACUC approved protocol, if applicable, subcontract share obligation)

For industry-sponsored clinical trials, please attach the following documents:

- Sponsor Protocol
- Final Sponsor Budget
- Final Internal Budget

Add Attachment

Click Browse to select a file:    
 Document Type:

Attachment	File Type	Upload Type	Attachment Type	Access
<a href="#">guidelines.pdf</a> Uploaded by:Unit Admin On:01/06/2020 At:2:50 PM EST	Proposal Announcement Guidelines	IPF	Proposal	<a href="#">All Parties</a> <input type="button" value="x"/>
<a href="#">Budget-HST-GO-15825_004-Original (1).pdf</a> Uploaded by:Unit Admin On:01/06/2020 At:2:54 PM EST	Budget	IPF	Proposal	<a href="#">All Parties</a> <input type="button" value="x"/>
<a href="#">Proposal.docx</a> Uploaded by:Unit Admin On:01/06/2020 At:2:53 PM EST	Proposal	IPF	Proposal	<a href="#">All Parties</a> <input type="button" value="x"/>
<a href="#">Sample budget justification.doc</a> Uploaded by:Unit Admin On:01/06/2020 At:2:51 PM EST	Budget Justification	IPF	Proposal	<a href="#">All Parties</a> <input type="button" value="x"/>
<a href="#">AU Budget.xlsm</a> Uploaded by:Unit Admin On:01/06/2020 At:2:51 PM EST	Budget (internal)	IPF	Proposal	<a href="#">All Parties</a> <input type="button" value="x"/>

- At a minimum, attachments should include:
  - AU internal budget
  - Budget justification
  - Project narrative/proposal
  - Guidelines
  - Sponsor budget

>> Submission Notes

Use this space to add anything relevant to the development, routing, or submission of this application that you wish to be part of the proposal record.

Submission Note:

Add Note


No notes have been added.

- Use the note section to provide OSP with any additional information needed for proposal submission. For example, is this a subaward? If so, who should OSP submit the proposal to after it has been reviewed and approved?

>> Proposal Approval

The units listed below will be notified to authorize this proposal record.  
Please make sure every affiliated unit is listed on this screen before submitting the proposal record for routing.

The Office of Sponsored Programs will automatically appear in the routing chain, and will authorize this proposal on behalf of the University.  
Please do not manually add it as an approving unit.

Add Approving Unit 

Unit:  Add Unit

List of Approving Units: (to edit the information, remove first, then add back)

Routing Order	Unit Code	Unit	Role(s)
1	81025	Anthropology	Admin Unit
<input type="text" value="2"/> ▾	81000	College of Arts and Sciences	Rollup From - 81025
<input type="text" value="2"/> ▾	83581	Office of Sponsored Progs-OSP	Lead Principal Investigator
<input type="text" value="2"/> ▾	80808	Office of the Provost	Rollup From - 83581

Authorize Unit Listing

- When the proposal is complete and ready for Unit and OSP review, first authorize the approval list.

**Item List**      20-0003

View or Edit completed sections by clicking the name next to the check.

- ✓ [Office of Sponsored Programs](#)
- ✓ [Key Personnel Worksheet](#)
- ✓ [Budget Worksheet](#)
- ✓ [PI: Conflict of Interest - Disclosure of Significant Financial Interests and Obligations](#)
- ✓ [PI: Export Control Worksheet](#)
- ✓ [PI: Intellectual Property \(IP\) Worksheet](#)
- ✓ [PI: Proposal Abstract](#)
- ✓ [PI: Regulatory Compliance](#)
- ✓ [PI: Other Required Information](#)
- ✓ [Subcontractor/Subaward Request Worksheet](#)
- ✓ [Performance Site Worksheet](#)
- ✓ [Proposal Attachments](#)
- Proposal Approval >>
- [Proposal Notes](#)

- Once the list has been authorized, you may submit for routing.

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**Proposal Dashboard**

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1 My Proposals >>

[Proposals In My Unit](#)

[Pre-Award Spending Inbox](#)

**Award Dashboard**

[My Awards](#)

[Awards In My Unit](#)

**Certifications/Approvals**

[PI Certification Inbox](#)

[Unit Approval Inbox](#)

>> My Proposals

Unsubmitted Proposals    Submitted Proposals

Below is a list of unsubmitted proposals you initiated or on which you are listed.

Created Date	Prop No	Lead PI	Project Name	Sponsor	Deadline	My Role
<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>
01/06/2020	20-0003	Ashley Alexander	John Doe's January NSF	National Science Foundation-NSF	01/06/2020	Owner

View 1 - 1 of 1

- Proposals are available for view and edit on your dashboard. Once you have submitted the proposal for route, it will no longer appear on the default page. Click the submitted proposals tab to view proposals that have already been submitted for route.