Research Administration Training
11/30/16
Cayuse 424
Navigation & Overview
Agenda

- Overview of Cayuse 424
- Proposal Navigation
- Proposal Highlights
- Tips and Tricks
What is Cayuse424?

• Cayuse is a subscription-service system-to-system software suite designed to ease the use of and provide enhanced end-user features and guidance for the SF424 Application for Federal Assistance forms required for submittal of grant and fellowship applications via Grants.gov.
Cayuse 424 Overview

- Access
- Finding Opportunities
- Copying & Transforming Proposals
- Adding People & Permissions
- Proposal Routing and Approval
- Navigating Proposal
Access to Cayuse

• For a new Cayuse profile for UMMS faculty and administrative staff, contact Karen Gardiner in OSP.

• To log into Cayuse, access any Office of Research web page and click the Cayuse Login button on the horizontal navigation menu:
Reviewing the Opportunity List

- Click the Opportunities Tab
- A list of previously downloaded opportunities appears
The Opportunity List

• Enter your FOA number into the Search field
• Be sure to type it exactly, including dashes
• Click the Search button
• If your opportunity has already been downloaded, Cayuse will filter it for you
How to Download an Opportunity

If your opportunity does not appear, click the Download Opportunities button.
How to Download an Opportunity

If your opportunity does not appear, click the Download Opportunities button.

In the window that opens, enter your funding opportunity number into the proper field. Cayuse will download the form set from Grants.gov. Your opportunity is now available to all UMMS Cayuse users.
Copying & Transforming Proposals

- On your Proposals List, hover your pointer over the “Copy/Transform Proposal” icon on the right side of the screen:

  - Choose “Copy” to create a copy of the proposal using the same Funding Opportunity Number (FOA).
  - Choose “Transform” to open proposal under a new or updated FOA.
Adding People and Permissions

In the Permissions section of the left navigation menu, you have the ability to choose those you’d like to have access to the proposal.

Once the user is added, check or uncheck specific permission(s) as needed:

<table>
<thead>
<tr>
<th></th>
<th>List</th>
<th>Read</th>
<th>Write</th>
<th>Attach</th>
<th>Break Lock</th>
<th>Delete</th>
<th>Print</th>
<th>Change Permissions</th>
<th>Add User/Group</th>
<th>Remove User/Group</th>
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<td>✓</td>
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<td>✓</td>
<td></td>
</tr>
</tbody>
</table>
Adding People and Permissions

• In order to add a person, you need access to his profile (accessed via the “People” tab on each Cayuse screen). If you don’t see the person you need to add on the list, contact Karen Gardiner in OSP.

• Although you have the ability to add a new profile, in order to avoid duplication and ensure completeness and uniformity of profiles, we ask that you not do so.
Proposal routing occurs in three stages. When all errors related to form fields, text boxes and radio buttons have been eliminated, the PI checks the box next to his/her name. Doing so locks all aspects of the proposal other than up-loading, deleting and re-uploading attachments, allowing the PI to continue working on the scientific portion of the proposal throughout the review and approval process. The next two represent the two stages of review and AOR approval in OSP.
Proposal Routing & Approval

• Only the PI can route the proposal (by checking the box next to his/her name)
• PIs should not route until the *all errors related to form fields, check boxes and radio buttons* have been eliminated – *except* the agreement checkbox in §17 of the SF424RR cover page. This will be checked by the Signing Official after review and approval is complete.

![Agreement Checkbox]

• The proposal is electronically signed by the AOR in OSP, and the agreement checkbox is meant to be checked by the AOR
Navigating the Proposal

• All forms are listed in the navigation bar on the left side of the screen
• The checkboxes control which forms are submitted electronically to the agency
  – Mandatory forms are automatically checked and cannot be unchecked
  – Optional forms can be checked to include in the proposal submission (e.g. Detailed vs. Modular Budget pages)
• The page numbers are links to form pages
Navigating the Proposal

Using the Validation button at the bottom of the screen:

- Before clicking:
Proposal Components

- SF424 RR – Cover Sheet
- RR Performance Sites
- RR Other Project Information
- RR Key Persons
- RR Budget/RR 398 Modular Budget
- RR Subaward Budget Attachment
- PHS 398 Cover Page Supplement
- PHS 398 Research Plan
- PHS Inclusion Enrollment Report
- PHS Assignment Request
Most sections are completed by institutional profile.

4.a. If Resubmission or Renewal, enter the Federal Identifier.

8. Type of Application
11. Descriptive Title (should match Proposal Routing Form and eSDFI).
12. Verify dates

If CDMRP proposal: Enter CDMRP # here:
15. Estimated Project Funding
   a) Autofills from budget, unless a Fellowship or special opportunity
   b) Leave blank
   c) Autofills from budget
   d) Enter “0”

16. Is Application Subject to Review by State Executive Order 12372 Process?
   - Choose b. No - Program is Not Covered by E.O. 12372

17. Leave “I Agree” box unchecked (Authorized Representative in OSP will check box when proposal is approved).

18. Cover Letter
RR Performance Sites

- Verify Performance Site Information
  - Congressional District
    - UMMS: MA-002
    - Congressional Districts come from the Institutional Profile or entered manually.
  - All sites must have a nine digit zip code
  - Consortia information carried from Subaward Attachment, unless it is a Modular Budget
• Information about IACUC and IRB protocols entered here.

• **Foreign Components**

• Facilities and Equipment attachments, include information for consortia

• Use Other Attachments only if FOA requires it.
RR Key Persons

- Commons /eBRAP IDs required for PD/PI roles.
- Use the Search window to find your key person. If your KP doesn’t appear, OSP will set up the profile for you.
- If adding new UMMS faculty or staff, contact Karen Gardiner in OSP. If outside, contact a member of your OSP team. We ask that you don’t create your own personnel profiles. However, Dept. Admins can update profiles once you have permission.
- **Biosketches** - follow sponsor guidelines
- To add a key person click on pencil icon:
Managing Key Personnel

Managing Key Persons allows the user to:
Enter all Key Persons, including roles, effort and salary.
Information transferred to the budget.
RR Budget-Detailed Budget

- Use Manage Key Persons to transfer salaries, effort to budget, check that the roles match.
- After year 1 budget is entered it can be replicated/escalated to future periods
- Do not use Section E (Participant/Trainee Support costs) unless indicated in FOA
- Avoid Red Stars, only appear when calculations are overwritten
- Justification: include line for each item in the budget, including consortia.
For budgets up to $250,000 direct costs per year, increments of $25,000.

Personnel Justification:
- Consultants include time (e.g., Days, Hrs., etc.)
- Consortia include name of institution, whether domestic or foreign and amount for 1st year and all years rounded to the nearest $1,000.
RR Subaward Budget Attachment

Includes:

- Performance Site
- Key Persons
- Budget

Note: Information must be entered for all periods. If a Sub is not participating in a year, enter the PI at .01 cm effort with no salary.
PHS 398 Cover Page Supplement

- Required to answer questions 1-4.

### Human Subjects Section

- Clinical Trial? Yes | No
- Agency-Defined Phase II Clinical Trial? Yes | No

### Vertebrate Animals Section

- Are vertebrate animals euthanized? Yes | No
- Is method consistent with American Veterinary Medical Association (AVMA) guidelines? Yes | No

If "Yes" to euthanasia, describe method and provide scientific justification.

### Program Income Section

- Is program income anticipated during the periods for which the grant support is requested? Yes | No

If you checked "yes" above (indicating that program income is anticipated), then use the format below to reflect the amount and source(s). Otherwise, leave this section blank.

<table>
<thead>
<tr>
<th>Budget Period</th>
<th>Anticipated Amount ($)</th>
<th>Source(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
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<tr>
<td>2</td>
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<td>4</td>
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<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Human Embryonic Stem Cells Section

- Does the proposed project involve human embryonic stem cells? Yes | No

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s). See [http://stemcells.nih.gov/research/registry/](http://stemcells.nih.gov/research/registry/) for NIH stem cell information.

If a specific stem cell line cannot be referenced at this time, please check the box indicating that one from the registry will be used.

Cell Line(s): Specific stem cell line cannot be referenced at this time. One from the registry will be used.

| 1             | 51 | 101 | 151 |
Page 2:
- Renewals, answer question on Inventions and Patents
- Change of Investigator/Change of Institution, if applicable
PHS 398 Research Plan

- If a Multiple PI proposal, the MPI Plan must be uploaded for review at OSP.
- Consortium/Contractual Agreements
  - “Explain the programmatic, fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s). If consortium/contractual activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee.”
- Letters of Support must be standard paper size 8 ½” x11”
- New rules for Appendices NOT-OD-16-129
• Forms D requires additional information.
• Must be completed before routing to OSP.
• Comment must be included.
• Multiple tables allowed.
PHS Assignment Request

- New in Forms D
- Must be completed before proposal is routed to OSP.
- Information on Study Section request will no longer be forwarded from information in the cover letter.
Reminder

- Only those items in the left navigation that are checked will be included when the proposal is submitted.
Tips & Tricks

• Proposal Management
• Displaying Errors, Warnings & Information
• Validation and Error Tracking
• Managing Proposal Permissions
• Proposal Lock Feature
• File Naming Conventions & Character Limits
• Scanning vs. PDF Generation
• Exiting the Proposal
• Subawards – Importing and Exporting
• Submitting the Proposal and Early Submittal & Proposal Rejection, Revision & Resubmittal
• Study Section & Continuous Submission
The Proposal Management areas have special icons to manage your proposal:

- Upper right corner of screen
- Lowermost on the Left Navigation menu
Displaying Errors, Warnings and Info

- Click the Error/Warning/Info button at the bottom of the proposal page to display details.
- Click the hyperlink. Cayuse424 will display the page on which the Error/Warning occurs and highlight the field that contains the Error/Warning.

![Error/Warn/Info Display]

- Important: Don’t solely rely on validation errors. Read your FOA thoroughly.
Validation and Error Tracking

• Cayuse424 keeps a running total of all errors and warnings
• As you correct errors and warnings, the running total decreases
• Errors are fatal.
  – Any proposal that is submitted with errors will be rejected by Grants.gov or the granting agency
• Warnings are not fatal
  – Be sure if you are submitting a proposal with warnings that you have determined the warning will not cause the proposal to be rejected or delayed by the granting agency
• Items labeled “Info”
  – These are special pieces of information and advice that may be useful to the application submission process
Adding Permissions

• If you are creating a proposal for a PI, you must give the PI permission.

• To grant permission to other Cayuse424 users click the Proposal Permissions icon:

• Click Add User

• Enter a First name, Last name or User name

• Select the user from your search results

• Click on their record to add them

• Click Close
Managing Proposal Permissions

• Whomever creates the proposal is given full permissions.
• Only the proposal creator can initially grant permission(s) to other users.
• Appropriate proposal permissions must be granted to other users who must have access to the proposal. Typically, that includes:
  – Principal Investigators
  – Department Administrators
  – Reviewers (other Key Personnel or Multi-PIs)
• No need to add OSP staff to permissions list as we already have access to all proposals.
Proposal Lock Feature

- When you are working in a proposal, all other users who have permission to that proposal will see the lock icon adjacent to that proposal when they log in to Cayuse424.
- The  icon signifies that the proposal is locked.
- Only persons who have been granted permission to “break-lock” can break (or “take”) your lock.
- Persons without the break-lock authority can still open the proposal in read-only format.
- They will not be able to enter data or add attachments.
File Naming Conventions

• Different sponsors and grant mechanisms have different file-naming conventions
  – Department of Defense: all attachments have specific naming conventions detailed in the DOD General Application Instructions
  – File names should be no more than 50 characters, including spaces
  – Complex Projects (P01s, U19s, etc.) have a 36-character limit
  – Use unique file names for each attachment throughout the form set
Scanning vs. PDF Generation

• All uploads must be in PDF format
• Avoid uploading scanned attachments
• Generate PDFs from within the native software (e.g., Word or Excel)
• Fix for pages that are not standard size:
  – Print to Adobe printer, save, then upload
Exiting the Proposal

• To safely exit the proposal, either click the Proposals List link in the upper left-hand corner of the screen:

• Or, click the Proposals List link in upper center of the page
Subawards: Importing & Exporting

• If your collaborating institution also uses Cayuse, you can import and export subaward attachments.

• Subaward form files have a .cayuse extension and can be emailed as attachments.

• To export, begin a new proposal and choose the “Research Subaward Proposal” option.

• To import, check the Subaward Budget Attachment box in the left navigation menu and click the Import Subaward button.
Validating and Submitting

• In the Proposal Management section of the left navigation menu, click “Electronic Submission”

• Expand the Electronic Submission window by clicking on the plus sign
Validating and Submitting

• Prior to submitting, review your proposal by clicking the Print icon in the upper right-hand corner of the screen. Choose “Select All” and Cayuse will generate a .pdf of the entire assembled proposal.

• Expand the Electronic Submission Window again and click the “Validate button”:

• Cayuse ensures that the proposal will be submitted with the fewest possible errors by requiring that the PI validate again prior to submittal.
Validating & Submitting

- The PI must be logged in to submit
- If submittal issues occur, try a different browser and ensure that popups are allowed for Cayuse
- If the proposal errors on transfer to the eRA Commons and the error requires write permissions to correct, contact OSP. When fixed, resubmit at will.
Rejecting & Resubmitting

• If the proposal is received in the Commons but requires revision prior to the deadline, contact OSP. We will reject the proposal in the Commons and change §1 of the SF424RR Cover Component to “Changed/Corrected Application”. The PI is then free to make the necessary changes and resubmit the proposal.
## Rejecting & Resubmitting

1. After submittal, have your PI log into the Commons and check the Status page.

2. If the proposal appears as do the top three above (with eSubmission Error in the Submission Status column and no temporary Application ID assigned), the proposal has not been successfully submitted and changes are required please contact OSP immediately.

<table>
<thead>
<tr>
<th>Application ID</th>
<th>Grants.gov Tracking #</th>
<th>eSubmission Status</th>
<th>Proposal Title</th>
<th>PD/PI Name</th>
<th>eSubmission Status Date</th>
<th>Show All Prior Errors</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRANT12292741</td>
<td>eSubmission Error</td>
<td>Investigating Pathogenic Mechanisms of Frontotemporal Dementia Caused by Mutations in CHMP2B and TBK1</td>
<td>GAO, FENBIAO</td>
<td>11/22/2016 10:45:21</td>
<td>Show Prior Errors and Warnings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GRANT12257142</td>
<td>eSubmission Error</td>
<td>Mixed lineage kinase (MLK) dictates endothelial phenotype and angiogenesis</td>
<td>KANT, SHASHI</td>
<td>10/04/2016 09:59:01</td>
<td>Show Prior Errors and Warnings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3996321</td>
<td>Pending Verification</td>
<td>Epigenetic-Genetic Modulations in Aging and Alzheimer's Disease Neurons</td>
<td>ROGAEV, EVGENY I</td>
<td>11/21/2016 14:28:17</td>
<td>Show Prior Errors and Warnings</td>
<td>Transmittal Sheet</td>
<td>Reject eApplication</td>
</tr>
</tbody>
</table>
Early Submittal and Proposal Rejection, Revision & Resubmission

• Work with your PI to ensure that the proposal is submitted at \textit{least} two hours before 5 PM (regardless of the actual deadline time) in order that any submission difficulties can be addressed.

• On January 25\textsuperscript{th}, 2011, \textbf{the NIH eliminated the two-day error correction window} for proposals submitted just before the deadline hour. Proposals cannot be rejected, edited and then resubmitted after the deadline time (5 PM for NIH)
NIH PIs are often invited by the NIH to review proposals. This is known as sitting on a study section. Service on study section allows a grace period for parent-opportunity R01, R21 and R34 proposal submittal.

There are two kinds of review categories:

- **Continuous Submission**, wherein those who have committed substantial service are allowed to submit two weeks after the standard due date for a period of 18 months after appointment.

- Temporary or ad hoc, wherein a PI serves on a special study section and is granted permission by an NIH Scientific Review Officer to submit late.
Study Section & Continuous Submission

• If your PI is eligible for late submission, please notify OSP by entering the proper “Due By” date in the PeopleSoft Routing Form:
Links

SF424(R&R) Application Guide for NIH and Other PHS Agencies
NIH Office of Extramural Research (OER)

• Office of Sponsored Programs
  – Facts & Information
  – Forms
  – Contacts
**Contact Us**

Office of Sponsored Programs  
S1-859; x6-2119

<table>
<thead>
<tr>
<th>Teams</th>
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<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Black Team</strong></td>
<td></td>
<td><strong>Blue Team</strong></td>
</tr>
<tr>
<td>Janice Lagacé, Associate Director x68980; <a href="mailto:janice.lagace@umassmed.edu">janice.lagace@umassmed.edu</a></td>
<td>Jason L. Brown, Sr. SPA &amp; Team Lead x6-6092; <a href="mailto:jason.brown@umassmed.edu">jason.brown@umassmed.edu</a></td>
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<tr>
<td>Tammy LeBlanc, Sr. SPA &amp; Team Lead x6-6481; <a href="mailto:tammy.leblanc@umassmed.edu">tammy.leblanc@umassmed.edu</a></td>
<td>Pam Harney, SPA II x6-5752; <a href="mailto:pam.harney@umassmed.edu">pam.harney@umassmed.edu</a></td>
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<td>Heather Morello, SPA I x6-6160; <a href="mailto:heather.morello@umassmed.edu">heather.morello@umassmed.edu</a></td>
<td>Jim LeBlanc, SPA II x6-6073; <a href="mailto:james.leBlanc@umassmed.edu">james.leBlanc@umassmed.edu</a></td>
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<td>Andrea Sjostedt, SPA I x6-4407; <a href="mailto:andrea.sjostedt@umassmed.edu">andrea.sjostedt@umassmed.edu</a></td>
<td></td>
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</tbody>
</table>

*To determine which team is assigned to your department, see your department administrator or contact Karen Gardiner at our front desk.*