

UTC Office of Research and Sponsored Programs Guide to Cayuse for Principal Investigators

This guide explains the process for initiating, completing, routing, and certifying proposals in Cayuse.

NOTE: The PI should submit the proposal for routing in Cayuse *at least 5 business days* before the funder's submission deadline.

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INITIATING THE PROPOSAL

LOGGING IN

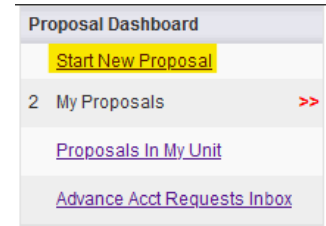
Go to <https://tennessee.cayuse424.com/> and select Cayuse SP. Enter your UTC ID and password to log in.

If you have trouble, try these helpful resources:

- [How to Login to Cayuse](#)
- [If You Have Trouble Logging into Cayuse](#)
- [How to Logout of Cayuse](#)

CREATING A NEW ENTRY

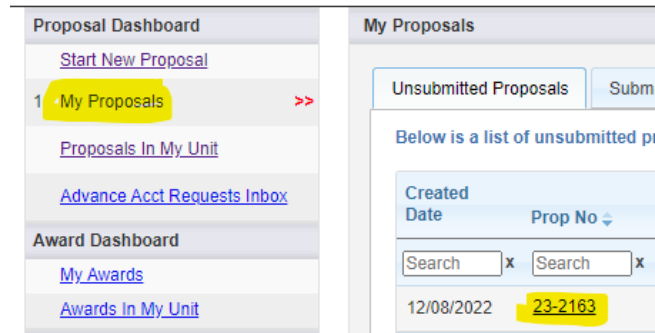
In most cases, your grant specialist will help you set up the proposal in Cayuse SP and will prompt you to complete it and submit it for routing. If you need to create a new Cayuse proposal (i.e., your grant specialist has not started one for you), select the “Start New Proposal” link from the Proposal Dashboard section on the lefthand side of the page.



FINDING THE CORRECT PROPOSAL

If your grant specialist has started the proposal entry for you:

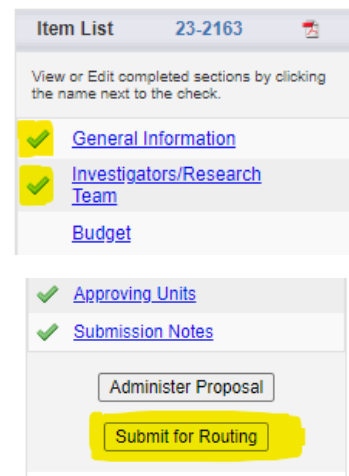
1. Select the “My Proposals” button from the *Proposal Dashboard* on your homepage to see a list of all proposals that you are the lead PI of.
2. Select the proposal number that your grant specialist provided to you.



PROPOSAL SCREEN

The *Proposal Screen* provides you with access to all thirteen sections of the Cayuse proposal. The green check mark to the left of the sections indicates that it has already been completed by your grant specialist. You will need to:

1. Review the sections that have already been completed to ensure information is accurate and up to date.
2. Complete the remaining sections by answering all the questions and filling out all the blank items that have a red asterisk.
3. Submit the proposal for routing. Please note that the system will not allow the proposal to be submitted for routing until all the sections have been completed (i.e., have a green checkmark).



PROPOSAL PAGES

GENERAL INFORMATION

All required sections on this page must be complete before it can be saved using the button at the bottom of the page and the Cayuse proposal be created. Complete or review (if the proposal was initiated for you) all sections on this page. See specific instructions for select categories below:

SPONSOR

Search for the entity that will be issuing the funding to UTC. If UTC will be a subaward on another institution's proposal, enter the name of the institution submitting the proposal.

If, after searching, you cannot find the name of the sponsor, select "No Sponsors".

Enter a keyword to locate the organization you are looking for:

Keyword:

PRIME SPONSOR

This line only applies to situations where UTC is a subaward on another institution's proposal. In this case, enter the name of the entity that the lead institution is applying to. Otherwise, leave this line blank.

Subaward Example: if UTC is a subaward on Auburn University's proposal to the Department of Energy, enter "Auburn University" as the SPONSOR and "Department of Energy" as the PRIME SPONSOR.

ADMIN UNIT

Select *Research and Sponsored Programs* for routing purposes. Once the proposal has been fully approved, your grant specialist will change the unit to reflect the appropriate department.

SHORT PROJECT NAME

Include any acronyms required by the sponsor in the short title. Alternatively, you may enter the full project title here, as well.

PROJECT START AND END DATES

Enter the start and end dates reflect the full period of performance for your proposed research project.

ACTIVITY CODE

Follow the guidance [here](#) to determine the appropriate activity code for your project.

PROPOSAL TYPE

In most cases, select "New". The "Resubmission" type should only be selected if the sponsor will review the proposal as a resubmission.

INTRUMENT TYPE

In most cases, select "Grant". If you are entering a proposal where UTC is a subaward, select "Subaward – Money In".

AFFILIATED UNITS

If your project will affiliate with or utilize the resources available through a non-academic unit or research center, notify your grant specialist so they can add the appropriate unit for you.

TITLE OF THE PROJECT

Enter the full title of your proposal, including any acronyms required by the sponsor (e.g., ‘CAREER’, ‘RUI’, ‘Collaborative Research’, etc.).

INVESTIGATORS/RESEARCH TEAM

If the proposal was initiated for you, review to make sure all team members have been added. If you need to add them directly, please follow the guidance below:

ROLES

- The lead PI should be entered as “Lead Principal Investigator”.
- Co-PIs should be entered as “Principal Investigator”.
- Other senior personnel should be entered as “Investigator”.
- Use “Other Key Participant” for roles such as evaluator and research mentors.

***NOTE:** Students are not entered into the Cayuse system and therefore cannot be included in the Cayuse entry. If you would like to give recognition to a specific student for working on the proposal, feel free to include them in a [Submission Note](#).

EFFORT

Enter “0” for the Person Months, Sponsored Effort, and Cost Shared Effort. UTC does not track these percentages.

ALLOCATION OF CREDIT (OPTIONAL)

If you have a Co-PI with a primary appointment in another department, consider completing this section. For each PI/Co-PI, identify the percentage of the project that will be under their direction. The total amongst all PIs/Co-PIs should add up to 100%.

BUDGET

Complete or review (if the proposal was initiated for you) all sections on this page. See specific instructions for select categories below:

OVERVIEW

Ensure “Summary” is selected for the Budget Form. UTC does not use the “Detailed” budget form. Ensure the “Current Period” dates match the “Entire Project” dates, which pull from the General Information screen.

The screenshot shows a web form for budget overview. At the top, it says "view detailed budget data submitted from 424 proposals, in pairs". Below this, there are two main sections: "Project Dates" and "Comments".

The "Project Dates" section has a table with the following structure:

Project Dates:		Current Period	Entire Project
* Start	<input type="text" value="mm/dd/yyyy"/>	<input type="text" value="mm/dd/yyyy"/>	01/01/23
* End	<input type="text" value="mm/dd/yyyy"/>	<input type="text" value="mm/dd/yyyy"/>	12/31/23

Each date input field has a "Clear" button next to it. The dates "01/01/23" and "12/31/23" are circled in red in the original image. Below the dates is a "Comments:" field with a placeholder "(512 chars max)".

COST SHARING

If your proposal involves cost sharing and this screen is not already filled out, ask your grant specialist for assistance.

F&A RATES

In most cases, select UTC’s 37.5% rate. For predominantly off-campus projects like fieldwork, 15.5% may be used.

If the sponsor requires another F&A rate be used, type that rate number in the fill-in box at the bottom of the chart and click the Change Rate button (circled in red).

	UTK	UTSI	MEM	GSMK	COMC	UTIA	UTC	UTM	IPS
Research On Campus	53	57	54	40.0		46			
Research Off Campus	26	21	26	26.0		26			
Instruction On Campus	54	57	47.5	25.0		42			
Instruction Off Campus	26	21	26	20.0		26			
Other Sponsored Activity On Campus	36		43	24.0		20			
Other Sponsored Activity Off Campus	26		26	20.0		14.5			
On Campus					10		37.5	50	35
Off Campus					10		15.5	18.5	26
IPA Agreement	8	7				7			
Other			20	20	20				
?									

F&A Rate: %

BUDGET CATEGORIES

Ensure that the “Sponsor Direct Costs”, “Indirect Costs (F&A)”, and the “Total Project Costs” match the final figures in your internal budget. The “BASE for F&A Rate (1)” should match the base for the total project at the bottom of the internal budget. The “FEE” should be left blank.

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

CONFLICT OF INTEREST

Read and complete all questions in this section carefully. The response to each question should reflect the interests of all investigators on your team. “Investigator” is defined as “anyone responsible for the design, conduct, or reporting of research and/or other sponsored projects externally funded, or proposed for such funding, which may include, for example, collaborators or consultants.”

***NOTE:** Any UTC faculty or staff submitting or participating on a proposal to an external sponsor must have an active Outside Interest Disclosure (OID) form on file in IRIS. OIDs expire annually. If you have not completed one within the past 12 months, please submit a new form. Visit ORSP’s [OID Help Guide](#) webpage for guidance.

PHS AGENCIES

If you are submitting a proposal to an agency that falls within the Public Health Service umbrella (NIH, CDC, HRSA, SAMHSA, FDA, AHRQ, etc.), you must select “YES” to question 2.

REGULATORY COMPLIANCE 1

HUMAN SUBJECTS

Indicate whether your proposed research will involve human subjects. **Human subjects research is not just limited to clinical trials.** If you will be collecting data through surveys, questionnaires, or interviews and/or using purchased/archived information about individuals, you are doing human subjects research.

If you select “yes”, indicate whether you have already submitted an application for IRB approval or if one will be submitted at time of award.

ANIMAL SUBJECTS

Indicate whether your proposed research will involve vertebrate animals.

RESEARCH MATERIALS

Indicate whether your proposed research will involve any of the hazardous material classifications listed on the screen. If none of them apply to your project, leave all boxes unchecked.

REGULATORY COMPLIANCE 2

NSF’S PLAN FOR SAFE AND INCLUSIVE WORKING ENVIRONMENTS

Indicate whether any data collection or activities will be conducted off-campus. This includes any work being conducted off-campus or off-site for any collaborators. This is for proposals being submitted to NSF only.

If you select “yes”, you must complete a *Plan for Safe and Inclusive Working Environments*. Only one plan is required per proposal, and it should include all collaborators in it. If you need assistance with this plan, ask your grant specialist for the template.

BIOHAZARD MATERIAL IDENTIFICATION

Indicate whether your proposal will include any of the biohazardous materials listed. The dropdown menu is for the primary biohazard to be used and then any additional biohazards can be indicated by checking their appropriate box(es). If there will be no biohazardous materials used in your proposal, you only need to indicate that using the dropdown menu not by checking the box.

SUBCONTRACTORS

Subcontractors are institutions or organizations who are identified in the grant budget as a subaward and will conduct a substantive portion of the project activities.

Do **NOT** include the following in this section:

- Individuals/organizations budgeted as consultants or vendors.
- Collaborating institutions who submitted a linked proposal to the sponsor (separately submitted collaborative).

If subcontracts do not apply to your project, select “No Subcontractors”.

EXPORT CONTROL

Complete or review (if the proposal was initiated for you) all sections on this page. See specific instructions for select categories below:

QUESTION 2.A – FOREIGN TRAVEL

Select “YES” to this question if your project has an international collaborator, project activities will occur in a non-US country, or if you plan to attend an international conference.

QUESTION 2.B – WORK WITH FOREIGN NATIONALS

If a to-be-hired student or personnel member is included in your budget, select “YES” to this question. This is used as a preventative measure and does not necessarily mean there will be export control implications for your project.

QUESTION 3.B – ITAR CONTROLLED TECHNOLOGY AND MATERIALS

If your research involves drones (purchased, leased, or campus-owned), select “YES”.

INTELLECTUAL PROPERTY

Complete all sections on this page. See specific instructions for select categories below:

QUESTION 1 – UTRF DISCLOSURES

If you answer “yes” to this question, enter the title or UT Research Foundation file number.

QUESTION 4 – THIRD PARTY AGREEMENTS

If you will have to apply to use a third party’s data or materials as part of your research, select “YES” to this question and add a submission note to explain the data that will be accessed/analyzed.

QUESTIONS 6 AND 7 – UNPAID STUDENTS

Question 6 asks if you plan to have a student who is not funded by the project assist with the design/implementation of the project as a team member.

Question 7 asks if students who are not funded by this project will be participants in the project activities (not lead/implement them). Examples include classroom activities and unpaid research experiences that are listed as broader impacts of the project.

The PI is responsible for assessing the potential risks in accordance with UT policy. Review the infosheet [here](#) for more information.

LOCATION OF SPONSORED ACTIVITIES

Indicate the locations where project activities will be performed, including activities performed by subawardees. Do **NOT** include the locations of activities led by collaborative partners who submitted their own proposal to the sponsor. The breakdown of activities by location should justify the type of F&A rate applied to the budget (51% or more being either on-campus vs off-campus).

Note that all four sections must collectively total **100%**.

ON-CAMPUS LOCATIONS

Select the campus building(s) where activities will occur. Note that all Chattanooga campus buildings start with “CHAT-”. Pressing “C” when the dropdown box appears will take you to the start of the UTC locations in the list.

IN-STATE COUNTY LOCATIONS

For off-campus activities within the state of Tennessee, select the counties, if any, where work will occur.

OUT-OF-STATE LOCATIONS

For off-campus activities outside of Tennessee, select the US states, if any, where work will occur.

OUT-OF-COUNTRY LOCATIONS

For off-campus activities taking place outside of the United States, select the non-US countries where work will occur. If you plan to attend an international conference and know the location, list that country here with "0" entered for "Percent of Work."

PROPOSAL ABSTRACT

Include the abstract, which should detail the purpose of the study, the objectives, and the methods of the study. Indicate whether you would like the abstract made available to others on campus for potential use in newsletters or press announcements.

PROPOSAL ATTACHMENTS

The following attachments are required for **all proposals**:

- Program solicitation and/or submission guidelines
- Internal budget
- Budget justification/narrative
- Proposal or equivalent (e.g., statement/scope of work, proposal narrative, full PDF of submitted proposal, etc.)

Additionally, the following attachments should be included **if applicable**:

- Documentation of cost-share (department/dean email approvals and/or third-party letters).
- Nondisclosure agreements, intellectual property agreements, or other contractual agreements relevant to the project.
- Subaward documentation (e.g., subrecipient commitment form, budget, budget justification, scope of work, etc.). This applies both to subawards on UTC's proposal and in cases where UTC is a subaward on another institution's proposal.

APPROVING UNITS

A list of departmental and college-level units prepopulates on this screen based on the team members added to the Investigators page. Department-level approvers should be listed at routing order 2 and college-level approvers should be listed at routing order 3.

If there is not a green checkmark next to this tab in the item list, click the "Authorize Unit Listing" button at the bottom of the screen.

Conflict of Interest
Regulatory Compliance
Subcontractors
Export Control
Intellectual Property
Location of Sponsored Activities
Proposal Abstract
Proposal Attachments
Approving Units >>
Submission Notes

Administer Proposal
Submit for Routing
Authorize Proposal

Add Approving Unit

Unit: Add Unit

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

Routing Order ¹	Unit Code	Unit	Role(s)
1	U045601062	Research & Sponsored Programs	Admin Unit
2 ▾	U046413030	Computer science	Other Key Participant
2 ▾	U046215012	School of Education	Lead Principal Investigator, Investigator, Investigator
2 ▾	U046510052	Mathematics	Investigator
3 ▾	U046510	College of liberal arts & sci	Rollup From - U046510052
3 ▾	U046215	Coll of educ & appl prof std	Rollup From - U046215012
3 ▾	U046413	Coll of engineering & comp sci	Rollup From - U046413030

Authorize Unit Listing

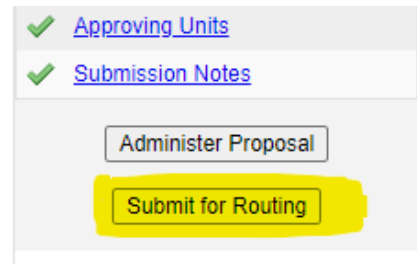
SUBMISSION NOTES

Add any explanations for unusual circumstances as a submission note. Examples include relevant outside interest disclosures, explanations for foreign travel, export control concerns, or use of biohazardous materials.

ROUTING AND CERTIFICATION

SUBMIT FOR ROUTING

Once you have completed and reviewed all pages and each item in the list has a green checkmark, click the “Submit for Routing” button. This submits the proposal to be reviewed by all the appropriate internal personnel (**not the funder**). Once submitted for approval, the proposal entry will be locked and any changes will need to be made by your Grant Specialist.



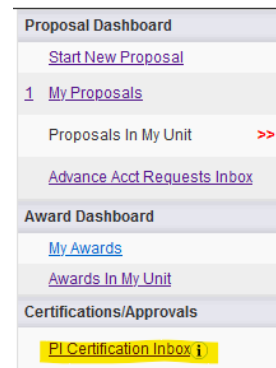
ORSP may reach out to you with clarifying questions, as needed.

Note: If the "Submit for Routing" button is grayed out, ensure that all items in the list have been completed (i.e., have a green checkmark).

CERTIFICATION

After you submit your proposal for routing, you will receive an email from Cayuse asking you to certify the proposal.

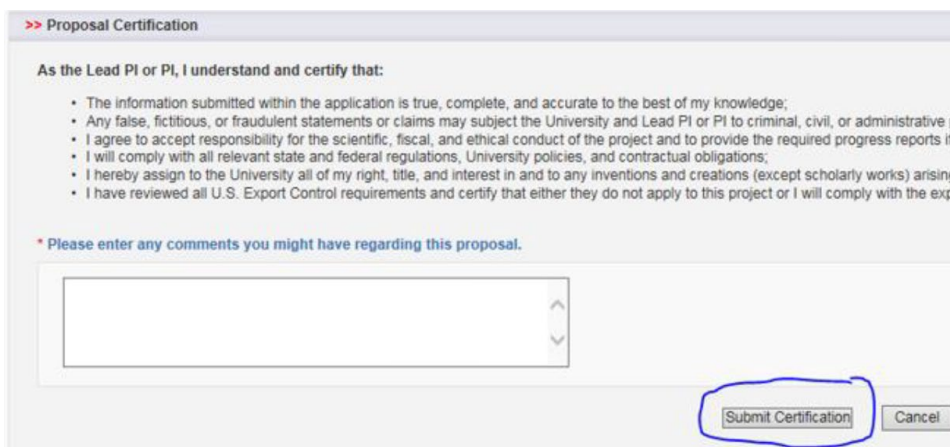
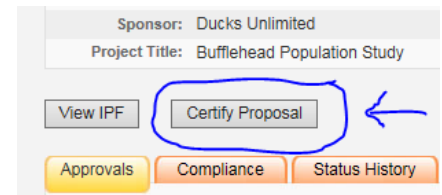
To certify the proposal, log into Cayuse SP. From the home page, click the “PI Certification Inbox” link.



In the “To be Certified” tab, click on the proposal number to be certified and review the proposal using the PDF icon or by clicking through the individual screens. If any changes need to be made, notify your grant specialist.

When you are ready to certify, click the “Certify Proposal” button.

On the Proposal Certification page, click the “Submit Certification” button to complete the process. Comments are optional.



SPECIAL PROPOSAL TYPES

PRELIMINARY PROPOSALS

Some sponsored programs require a preliminary proposal, letter of intent, or concept paper prior to the submission of a full proposal. If the sponsor will issue an invited/not invited or encouraged/not encouraged decision, the preliminary proposal should be entered and routed in Cayuse.

To enter a preliminary proposal, follow the guidelines above for a standard proposal with the exceptions below:

- On the General Information page:
 - Select “Letter of Intent/Preliminary Proposal” as the proposal type.
 - Add “Preliminary Proposal –” before your project title in both the “Short Title” and “Title of Project” sections.
- On the Budget screen, ensure all values are 0, even if a budget is required at the preliminary proposal stage.
- On the Proposal Attachments page, select “letter of intent” from the drop-down menu for Document Type.

MULTI-CAMPUS PROPOSALS

Proposals partnering with another UT campus are entered differently in Cayuse depending on the type of proposal submission.

Note that UT Knoxville **strictly enforces** the 5-day Cayuse submission deadline for all proposals in which their campus participates. In cases where UTC is lead, it is the UTC PI’s responsibility to ensure the UTK lead investigator has all necessary documentation to meet this deadline.

SEPARATELY SUBMITTED COLLABORATIVE

If the UT campus submitted a linked proposal directly to the sponsor, follow the guidelines above for entering a standard proposal. The UTC and UT-campus proposals should not be linked in Cayuse.

PARENT-CHILD SUBMISSIONS

In situations where all UT campuses submit one unified proposal (aka “parent-child”) to the sponsor, your grant specialist will link the proposals together in Cayuse.

To enter a multi-campus proposal, follow the guidelines for a standard proposal with the exceptions below:

- On the Budget page, **enter only UTC’s portion of the budget** to ensure accurate reporting.
- On the Locations page, list **only** the locations in which UTC activities will occur.

AWARDS TO INDIVIDUALS

Proposals to external sponsors that will result in an award to UTC are required to be entered, routed, and approved in Cayuse. In cases where an award will be made directly to you (e.g., fellowships, artist residencies, travel grants, etc.), entering the award into Cayuse is optional, but encouraged because it serves as a permanent record of your achievement that can be used for tenure and promotion applications.

To enter an Award to Individual in Cayuse, follow the instructions for a standard proposal with the exceptions listed below:

- On the General Information page, select “Award to Individual” as the instrument type.
- On the Budget page, leave the F&A rate as “0.” If there is a monetary component to the award, enter the total award amount into the “Sponsor Direct Costs” in the “Current Period” section.
- On the Proposal Attachments page, upload the following:
 - Sponsor guidelines;
 - Budget (if applicable);
 - Proposal narrative;
 - and the award notification (if applicable).