

SP Record Determination Guide

When to create new proposals, awards, and projects

Starting on our go-live date, August 2, 2021, until several years thereafter, many new records in Cayuse will associate with existing proposal or award records in our legacy systems (e.g. EProp, FileDrawers). **We will not duplicate those legacy records in Cayuse. Instead, create a note in the “Notes” tab of the initial Cayuse record indicating the location of the legacy proposal or award record(s).**

Therefore, there will be many proposal records and award records which, although they may not be the type we ordinarily use to generate a new project (i.e. continuations, revisions, award modifications), will need to establish the project in Cayuse for the first time. Before creating a new project, **we must always take the following steps to determine whether a given project already exists in Cayuse:**

Step 1: Search the Awards Dashboard

Each OSP team member may view all awards in the system. From the awards dashboard, first filter by either project title or admin unit. Within these filters you can search by PI, sponsor, or project short title (for project title filter) or by Unit name or org number (admin unit filter):

<input type="checkbox"/>	Award #	PI	Project Title	Sponsor	Sponsor Award Number	Prime Sponsor	Instrument Type	Av
<input type="checkbox"/>	22-0168-A0001	--	Unruh: NSF; bugs on drugs	530206152 - National Science Foundation	--	790000837 - National Institute of Standards & Tech	Grant	
<input type="checkbox"/>	22-0165-A0001	--	Unruh 072621	--	--	--	--	
<input type="checkbox"/>	22-0068-A0005	--	Unruh: UM; 071521 Test 2	--	--	--	--	
<input type="checkbox"/>	22-0110-A0001	--	Unruh: NSF; deforestation study	--	--	--	--	

If a record exists, the new proposal or award will relate to the existing project. Otherwise, go to step 2.

Step 2: Search the Proposal Dashboard

Each OSP team member may view all proposals in the system. From the proposal dashboard, filter by project title, research team, or admin unit. Within these filters, you can search by PI, sponsor, or project short title (for project title filter), by unit name or org number (admin unit filter), or by PI or other personnel name (research team filter):

<input type="checkbox"/>	Proposal #	Status	Sponsor Deadline	Sponsor	Research Team
<input type="checkbox"/>	22-0018-P0002	Under Review	--	456002491 - University of North Dakota	Debora A. Simmons (790211095), Kyle Unruh (790562995)
<input type="checkbox"/>	22-0015-P0002	In Development	--	456002491 - University of North Dakota	Naomi Anna Kimbell (790236893), Kyle Unruh (790562995)
<input type="checkbox"/>	22-0018-P0001	Under Review	7/31/2021 11:00:00 pm	530206152 - National Science Foundation	Kyle Unruh (790562995)

If a record exists, the new proposal or award will relate to the existing project. If a record does not exist, proceed to generate a new project.

Legend:

Typically **creates** a new project

Typically **does not create** a new project (unless project is not yet entered in Cayuse)

Award record associated with an existing project's **Proposal** record

Award record associated with an existing project's **Award** record

Scenario	Create New SP Proposal Record?	Create New SP Award Record?*	Create Mod in SP Award Record (if SP Award Record exists)?**
Proposal: New***	Yes	Yes (no previous award)	No
Proposal: Continuation***	Yes if new funding not captured in previous proposal	Typically no, but yes if core award #/FAIN changes, separate billing is required, or there are carryforward restrictions	Yes if change in funding, date revision, and/or F&A rate change; No if a New SP Award Record is created.
Proposal: Supplement***	Yes	Yes if core award #/FAIN changes, separate billing, F&A rate change, or if supplement is restricted to a specific use; No if sponsor allows supplement be added to existing award	Yes if change in funding and/or date revision and ; No if a New SP Award Record is created.
Proposal: Renewal***	Yes	Yes if core award #/FAIN changes or separate billing is required on new increment	Yes if change in funding and/or date revision; No if a New SP Award Record is created.
Proposal: Resubmission***	Yes	Yes (no previous award)	No
Proposal: Revision***	Yes	Yes (no previous award)	No
Proposal: Pre-proposal***	Yes	Yes (no previous award)	No
Proposal: RASP***	Yes	Yes	No
Award: Carry forward restrictions	No (incremental funding captured in existing proposal)	Yes	No
Award: Sponsor requires separate bills, new grant each year	No (incremental funding captured in existing proposal)	Yes	No
Award: New fund for cost match	No (incremental funding captured in existing proposal)	No (additional funds captured under existing award record)	No
Award: New fund for program income	No (incremental funding captured in existing proposal)	No (additional funds captured under existing award record)	No
Award: Revision for incremental funding	If revision includes substantial change in SOW, budget	Yes if new core award #/FAIN, separate billing, or carryforward restrictions	Yes if change in funding and/or date revision; No if a New SP Award Record is created.

Award: Revision to reduce funding	No	No (funding reductions may be captured in existing award record)	Yes if change in funding and/or date revision
Award: Revision to move some funding to new index	No	No (funding reductions may be captured in existing award record);	Yes if change in funding and/or date revision
Award: Revision to correct OSP error	No (records may be revised when needed)	No (records may be revised when needed)	Yes, if error pertains to standard Modification categories
Award: Revision to move carryforward funding to next year index	No	No (financial detail will pull into existing record via Fund Manager)	Yes (recorded in both original and subsequent index/award record)
Award: Multiple funds under one grant	No	No (record is designed to accommodate multiple funds)	No
Award: New fund for participant support	No	No (record is designed to accommodate multiple funds)	No
Award: No Cost Extension	No	No (dates can be modified in record)	Yes, Date Revision

Interaction with Legacy Files:

*A new Cayuse SP Award Record should be generated in every case the award action meets the criteria to generate a new Cayuse SP Award Record, regardless of whether the project files are in Cayuse or OSP legacy systems. In these cases, all future non-financial administration will be tracked in Cayuse and the project will ultimately be closed out in Cayuse.

**If the subject project is not yet in Cayuse and the award action meets only the criteria to create a mod in a Cayuse SP Award Record, the mod should be performed only in the legacy files/systems and not in Cayuse (i.e. creating a mod is not sufficient criteria to generate a brand new award record).

***Proposal Type definitions

- **New**—New proposals are initial proposals not previously submitted to the sponsor. They have a new title, and the proposed research plan substantially differs from previous proposals. Also use this type if a preproposal advances to full proposal.
- **Continuation**—A continuation is a proposal for which the project end date was extended with **no gap in funding** from the previous project period. Noncompeting continuations (such as the third year of a five year NIH award) are not entered as a new proposal in Cayuse. Continuations that include funding not in the original proposal are created in SP as a proposal record related to the original, parent project. Proposals that fit this definition will be set up under the parent project, regardless of whether the sponsor issues a new award number or uses the same one for the continuation.
- **Supplement**—A supplement is similar to a continuation and renewal in that additional funding is requested for an existing project; however, the funding is for **additional work or unexpected expense within the same project period** as the parent award. Supplements are created in SP as a proposal related to the parent project.
- **Renewal**—A renewal is similar to a continuation except there **may be a gap in funding and a new award number**. For non-competitive renewals, the IDC rate from the original award should be used; for competitive renewals, use the current rate. Renewals are set up in SP as associated with the parent project.

- **Resubmission**—A resubmission is a proposal that does not substantially differ from previous proposals submitted to a funding agency. These generally have the same or similar titles, project objectives, research questions, etc., as a previous submission. Resubmissions are considered unrelated to the initial proposal and, therefore, are created as new Proposal records, with no relation to an existing project.
- **Revision**—A revision is an updated proposal record which has undergone substantial changes since completing review and approvals, and has not yet been awarded. Revisions should be related to the parent project (likely the original proposal), and routed for approvals when complete.
- **Pre-proposal**—Enter a proposal as a pre-proposal if this is a preliminary proposal (also called white paper, concept paper, preproposal) before submission of a full proposal, and if OSP involvement for submission and a budget is required. If the pre-proposal advances to a full-proposal, a new record should be created and related to the parent project (i.e. the pre-proposal).
- **RASP**—Routing as Proposal; used on any record created for a new proposal retroactively, after the subject proposal was already submitted to the sponsor (i.e. a retroactive proposal).