



### Overview:

Proposal Hierarchy creates a Parent record that consolidates budgets with different F&A rates, lead units, and/or key personnel, to simplify the routing/approval process and allow for a complex proposal submission via s2s.

Proposal Hierarchy can consolidate two or more KR PD records and their budgets into one Parent record for routing/approval, s2s submission, and reference when separate 53 accounts are needed for one award.

### What is a Proposal Hierarchy?

A Proposal Hierarchy is a way to combine multiple KR proposal records and their separate budgets to be submitted as one proposal.

There are two levels of the hierarchy, *one parent proposal* and *one or more child proposals*. A hierarchy is created by using an initial child proposal to create a parent proposal. Then the other child proposals are created and linked to the parent.

**NOTE:** The child proposal that creates the parent should be from the lead unit for the submission if child proposals are in different units. If the hierarchy proposals are for the same unit but *different* investigators, the parent should be created from the child record for the Primary PI.

### Proposal Hierarchy Uses

Proposal Hierarchy can be used for the following reasons:

- F & A rate variations
- Multiple departments and/or multiple PIs
- Multiple tasks with separate budgets within one overall scope of work
- Reference for multiple post-award 53 accounts
- Delegate preparation of proposal components and their budgets to different users

### Requirements:

- Proposal type must be the same in each record. (Activity Type can be different);
- The period of performance and budget period(s) *Start and End dates must be the same* in all proposals within the hierarchy, not all budget periods need to be utilized in all child proposals;
- Titles should be the same, with CHILD added to the start of each child record title after hierarchy is created;
- Sponsor must be the same for each record in the hierarchy;
- Each child record must have Principal Investigator.
  - The PI for the initial child is the PI in the Parent.
  - The PI from each additional child record is added as co-Investigator to the parent.
- Only **Sub-Budget** Hierarchy Type should be used to create the hierarchy and link additional child records.
- Permissions:
  - Aggregator Document Level role is required to sync the hierarchy.
  - When the hierarchy includes records created/managed by different people, the Aggregator Document Level role must be assigned in each child proposal to the person managing the hierarchy.
  - Edit access must be given in the Parent for each person working on her/his child record
- Budget version(s) for each child must be 'detailed' type, NOT 'summary' type.

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## Basic Concepts:

- The Primary PI for the hierarchy is pulled from the proposal used to create the hierarchy, and will be the Principal Investigator of the parent proposal;
- The child proposals are used to add/modify personnel, with some caveats;
  - Changes to personnel details are made in the child proposals, *unless* a key person is listed in more than one of the child proposals;
  - If the PI is the same for all proposals in the hierarchy, personnel **attachments** must be added/managed in the parent proposal. (This has more impact for an s2s submission.)
  - If an investigator is synced to the parent proposal, you cannot delete the investigator in the parent; you must delete any key person from a child proposal, then sync the information to the parent proposal (unless the key person is in more than one child proposal);
- Attachments
  - If using a child, determine in advance which child will contain attachments that can only appear once in a proposal. (i.e., Do not add the same attachment to multiple child records.)
  - To avoid unintentional duplication of an attachment that can only appear once, Proposal section attachments should be added to the Parent record.
  - Attachments synced from a child record will need to be marked complete again in the Parent record.
  - Internal attachments, specific to the child, should be added in each child record.
  - Do not duplicate the same attachment or use duplicate file names in more than one child record.
- Budgets are created/modified in a child proposal:
  - If there is more than one budget version in a child proposal, the version that needs to be sync'd to the parent must be designated as 'complete' (otherwise the system will use the most recently created version for the sync action);
  - If more than one budget version is marked complete, the version to be sync'd must have the 'include for submission' indicator;
  - Changes to the budget cannot be made directly in the parent proposal;
- Answer the questionnaires in the parent proposal:
  - Child proposal questions answered **do not sync** to the parent proposal automatically and can cause system errors.
- Routing (approval) is done in the parent record;
- Investigator/Key Person certifications must take place in the parent proposal.
  - If you unlink a child proposal from a parent proposal, any investigators in that child proposal will be removed from the parent, along with any completed PI certifications;
- Relinking the child to the parent will require the PI to re-certify.

## Recommended best practices:

- For most hierarchies, enter the Deadline Date only in the Parent record.
  - **Exception:** if each proposal in the hierarchy has to be reviewed separately, by different OSP administrators, the deadline date must be in the child for the record to show up on the OSP Administrator report
  - **If you do not create the hierarchy right away:** Enter the deadline date in the lead child and communicate clearly with OSP so they know to expect a proposal hierarchy for review.



- The cleanest way to create a hierarchy is to create a very basic KR PD record, containing only a PI and a detailed budget version with no line items entered. Create the 'parent' from this basic 'child' record.
  - This establishes the parent record early in the process but requires more sync actions.
- Neither parent nor child proposal records can be open anywhere else by anyone else or locked (aka 'pessimistic lock') when a sync action is attempted.
- When working in each child budget, click 'save' before moving to another section (e.g., from Project Personnel to Assign Personnel, or from Personnel to Non-Personnel).
- For TBN personnel, consider using a Summary personnel line item for the salary object code, instead of adding multiple TBNs of the same type in different child records (esp. hourly salary object codes).

### Procedure:

- In the 'Basics' tab, create the initial KR PD record that will be used to generate the Parent (and thus create the hierarchy)
  - The Lead Unit of this record will be the lead unit for the entire hierarchy
  - The Start/End dates must be the same for ALL records in the hierarchy
  - The title of each child record can be modified later to add 'CHILD' to the start of the field
- In the 'Key Personnel' tab, add the Principal Investigator to the record – this person will be the PI for the entire hierarchy
- In the 'Budget' tab add a detailed budget version (*the summary budget version type cannot be used with hierarchy*)
  - Name the budget version normally (in whatever format you typically name budgets)
  - You don't need to add any line items
  - The start and end dates of each budget period must be the same in ALL records in the hierarchy
- Return to Proposal Development to create the Parent:
- In the horizontal menu, click the **Hierarchy** link
- In the Hierarchy lightbox,
  - Leave the Link Proposal Box blank
  - Choose **Sub-Budget** from the Hierarchy Budget Type dropdown menu
  - Click **Create Hierarchy** button

The Parent proposal will be generated but does not open. A yellow banner will appear across the page with the message < "Parent Proposal {number here} has been created" > **NOTE this number!**

The horizontal menu **Hierarchy** item will now have a **(C)** next to it (P = Parent; C = Child)

### Viewing a Hierarchy:

In the Summary/Submit section of a KR record, the Hierarchy tab displays the Parent/Child proposals linked together.

- It includes expandable panels for the parent and each child proposal.
- As more child proposals are added to the hierarchy, the tab will continue to update with more panels.
- The [View Document](#) link is available in the parent or child proposal(s) to open the proposals.



## Troubleshooting:

The Lead Unit cannot be changed after the hierarchy is created.

- If the wrong child was used to create the hierarchy, all child records can be unlinked to cancel the existing Parent.
- The child with the correct Lead Unit can then be used to create the new Parent.

The PI of the Parent record cannot be changed after the hierarchy is created.

- If the PI is not correct, all child records must be unlinked from the hierarchy, cancelling the existing Parent.
- The PI role should be corrected in the child to be used to create a new hierarchy, then the new Parent record can be created.

Key Personnel do not sync correctly.

- The PI cannot be deleted or changed in the child record that was used to create the hierarchy.
- Every additional child record must have a PI (not just a co-Investigator).

Budgets don't sync correctly:

- Does the child record have more than one budget version?
  - The budget to be used for sync must be marked complete and 'include for submission'
- Occasionally, budget information can become corrupted. This happens most often when users navigate repeatedly between sections and create multiple edits without saving in between. This also can happen when the system times out while a budget is open in 'edit' mode, or if the system goes down during budget data entry.
  - A new budget version should be created (do not copy). In this new budget version:
    - Save on each page before navigating to another page.
    - Save when a line item is modified, before editing another line item.
    - Don't leave a PD record or budget open in edit mode for longer than 1 hour.

Proposal Person (PI) Certification questions can't be answered in the Parent

- If the questions have been answered in the child records, the questions will not display properly and can't be answered in the Parent.
  - A person with Aggregator role can clear the PI questions in the child, and then the hierarchy should be sync'd again. If this does not correct the issue, the child should be unlinked from the hierarchy (unless it is the initial child).
  - If the questions have been answered in the initial child (the one used to create the hierarchy), and clearing the answers in the child does not fix the problem in the parent, the hierarchy may have to be re-created (unlink all child records and then create a new Parent record/hierarchy).

Sync action doesn't work, or generates an error report

- If the sync action is being done in a child record, the Parent record can't be open in another tab/window, or by another user.
- If the sync action is being done from the parent record, no child records should be open in another tab/window or by another user.
- Records cannot be locked (open or closed incorrectly ('pessimistic lock')) when the sync action is taken.