



KUALI RESEARCH
COLORADO STATE UNIVERSITY

KUALI RESEARCH
PROPOSAL DEVELOPMENT
TRAINING GUIDE
OFFICE OF SPONSORED PROGRAMS

Proposal Development Training Guide

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Introduction to Proposal Development

Objectives

This training guide is designed to help Proposal and Budget Creators to

- Understanding Proposal Development functionality
- Create and Manage Proposal Development Documents
- Maintain Personnel, Attachments and Questionnaires from Proposal creation to completion.

Conventions Used

The following typographical conventions are used throughout this guide:


Item	Convention	Example
Navigation	Bold, separated by '→'	Central Adm link → Proposal Development menu group
Screen Elements (Field, Screen, Section, Window)	Bold	The Create Proposal Details window will
Clickable/selectable links	Bold in blue	Select Activity type from drop-down
User entered text and buttons	Bold in Red	In Description field, My Project Title
Numbered Exercises	Title in Red Background with White Letters	Searching for a Proposal – Exercise 1
Action Buttons	Button displayed	

Table 1 – Conventions Used

Prerequisites

There are no specific prerequisites for using this training guide. No prior experience is required. However, it will be helpful if participants have the following qualifications:

- Some experience with higher education research administration business rules and practices
- Working knowledge of web-based software application systems.

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Kuali Research Terminology

Kuali Research uses some terms interchangeably, both within Kuali Research screens and throughout the reference documentation.

Proposal Development document, Proposal document, Proposal e-doc, KR PD # all refer to the same type of record in the Proposal module

Document number, Doc number, Document ID are Kuali-wide system terms (used interchangeably) that refer to the underlying 'Rice' numbers assigned to multiple types of module documents.

Proposal Development - Getting Started

What is Kualu Research Proposal Development?

Kuali Research Proposal Development (KR PD) gives users the tools to construct and route proposals using a web-based application. Proposal Development is one of several “modules”¹ integrated with centrally stored data. The integrated data tables are accessed via searches and the data (sponsor name, for example) is then consistent in every proposal using that sponsor.

Proposal Development module allows a proposal creator (either a department administrator or PI) to create and manage proposal information, such as

- PI, co-Investigators, and other 'key' personnel
- Proposal Attachments (narrative, budget justification, biosketches, internal forms)
- Proposal Budget
- Questionnaires
- Subrecipient proposal documents
- Compliance-related Special Review items
- S2S Grants.Gov opportunity required and optional forms
- PI Certification
- Approval, Routing and Workflow signatures, date/timestamp

The Proposal Development Module is a way to create an electronic proposal development document, track the progress and status of the proposal, facilitate the collection and storage of proposal-related files, give multiple users access to proposal information, and facilitate approvals according to department, college/division, and University business requirements.

Business Process

The proposal development document is used for the following purposes:

- Creates an electronic record for proposals, budgets, and attachments that can be viewed, completed, and approved within one system
- Maintains and permanently stores the proposal information
- Associates a proposal development record with an institutional (submitted) proposal record for institutional reporting.

Proposal Development and Other Kualu Research Modules

The Kualu Research Proposal Development Module is one of several modules in the system. Proposal Development includes a proposal budget module, and the entire proposal record can be linked to records in the other modules: Institutional Proposals, Negotiations, Awards, and Subawards.²

² In software, a module is a defined application, usually within a related suite, with distinct functionality and purpose. For example, Kualu Budget Module is a group of features related to budget functionality.

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Figure 1 KR Module Relationships

Business Roles and Responsibilities

Below are the types of business roles used in Kualu Research Proposal Development:

Aggregator: Creates, edits and submits proposal and budget for signature approval. At CSU, this can be a Department Administrator or Principal Investigator

Viewer: Anyone with permissions can view the proposal. By default, PI, co-I(s), and Key persons can view the proposal.

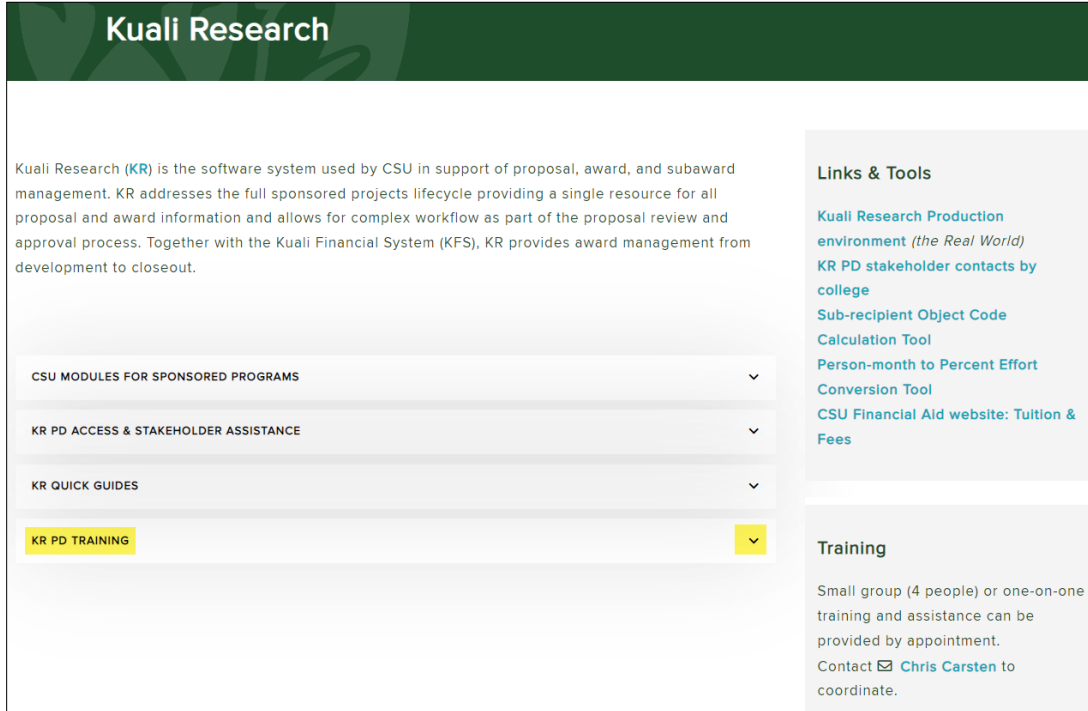
OSP Administrator: Reviews and manages proposals submitted to OSP and helps to facilitate data validation errors. OSP personnel have permission to submit via Grants.gov as part of their business role.

Approver: Persons in the approval, routing, and workflow for the unit or center

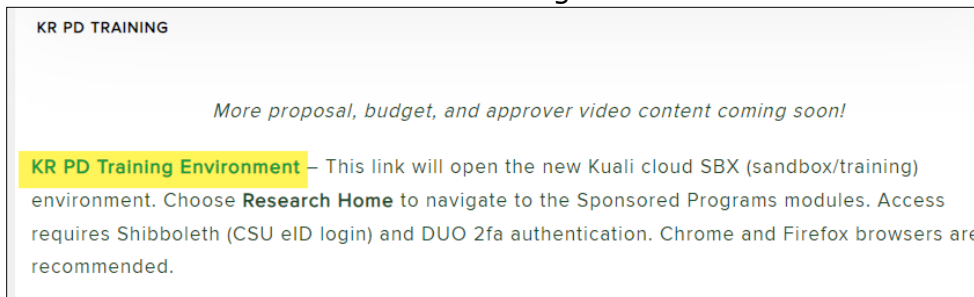
How to Login to Kuali Research Proposal Development Training site:

From the OSP Kuali Research website <https://www.research.colostate.edu/osp/kr/>

- Click the down arrow for KR PD Training to expand the section



- Click the link for KR PD Training Environment:



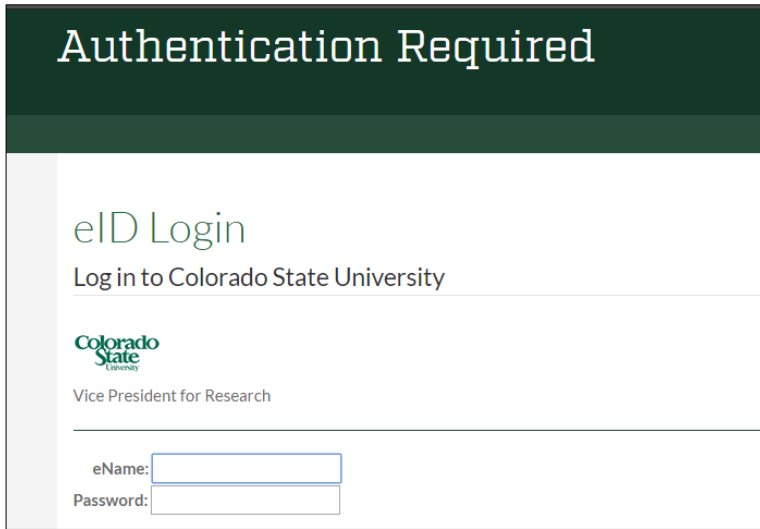
If you have not logged into another CSU Shibboleth site in the same browser you have open, you will need to login now:

1. Click the green Colorado State University logo or text

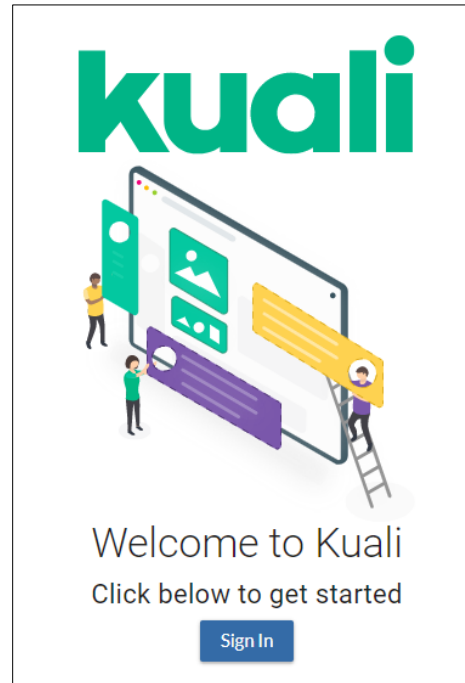


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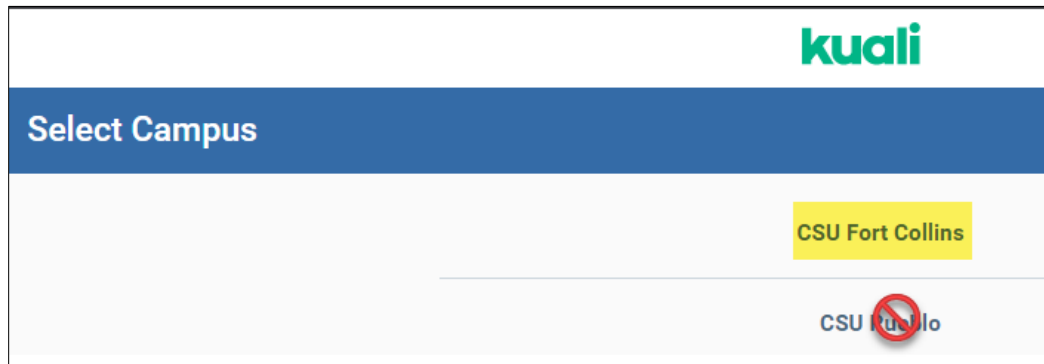
2. Use your NetID/password to login



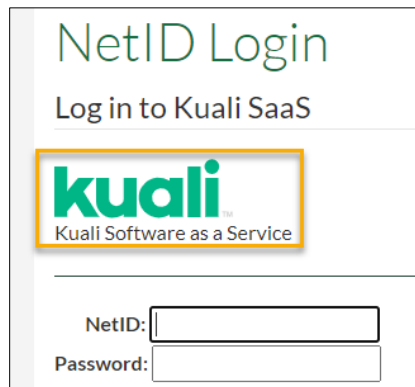
3. Click 'Sign In'



4. Select Fort Collins campus (only Fort Collins uses KR PD)



5. The SaaS model requires another authentication with NetID and password

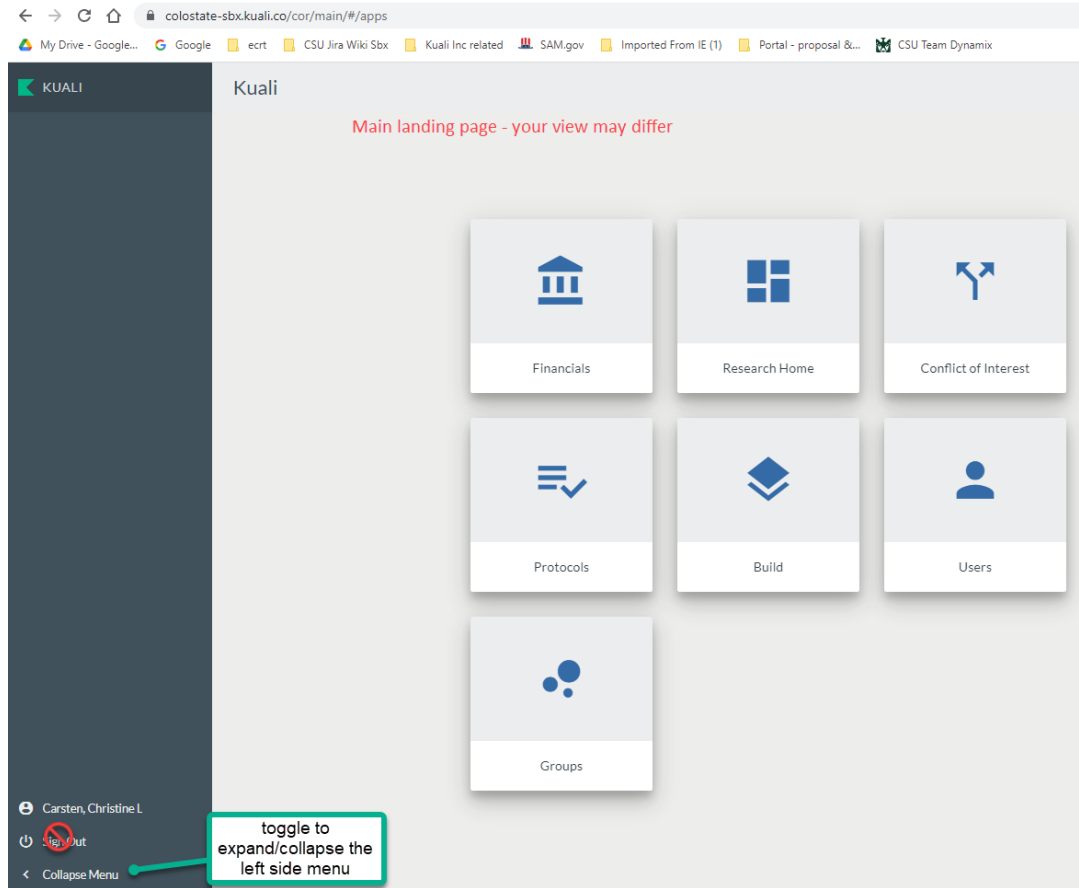


6. Choose an option for DUO prompt that appears if there is not already a multi-factor (2-fa) browser session in progress

Kuali Research Home

Navigation overview

The main Kuali landing page will have tiles for the applications your role/permissions give you access to. Choose **Research Home** to get to the Research Dashboard.

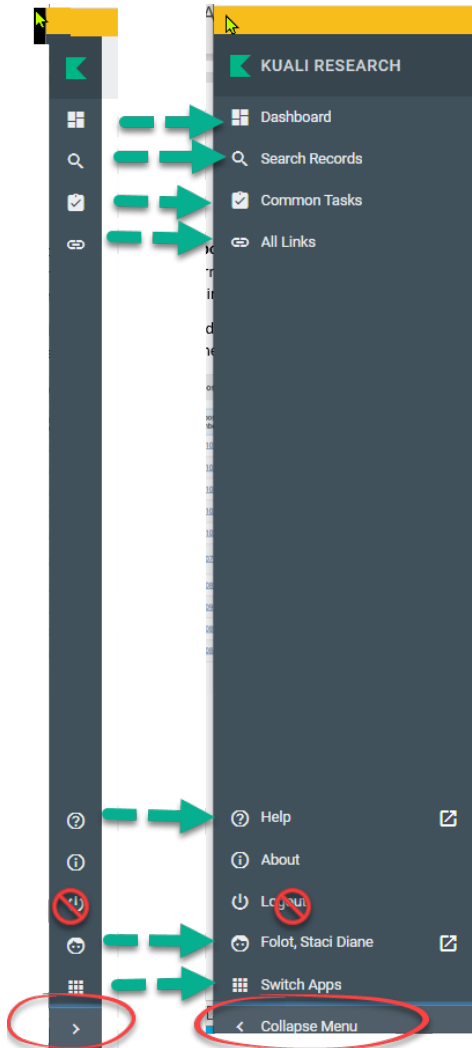


NOTE: To see the new dashboard and navigation in the test/training environment, use the Sandbox link:

- Kuali Inc Cloud SBX (sandbox) URL:
 - <https://colostate-sbx.kuali.co/cor/main/#/apps/>
- Login requires CSU NetID/password, but does NOT require a Global Protect (VPN) session

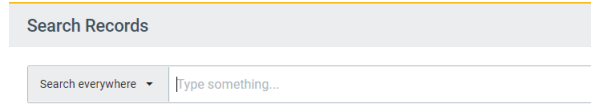
Proposal Development Training Guide

Left side navigation

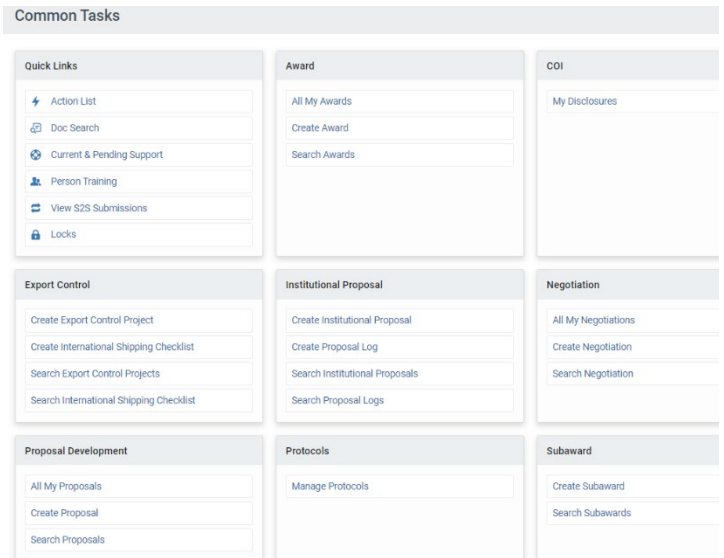


Use the toggle at the bottom of the menu to collapse and expand the left side navigation. When collapsed, all menu items are still available, but show only simple icons. The content of the menu does not change when collapsed.

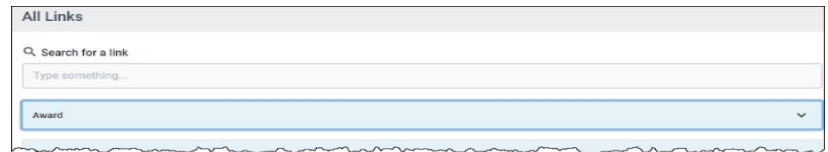
Search Records:



Common Tasks:



All



Links:

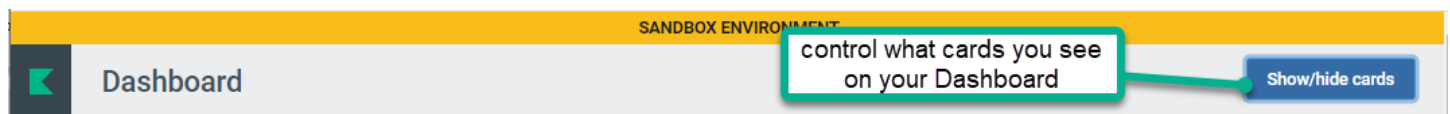
NOTE: the Logout button in SBX is very quirky (doesn't actually log you out of anything), so don't use.

Dashboard

Dashboard is the landing page for all Research users.

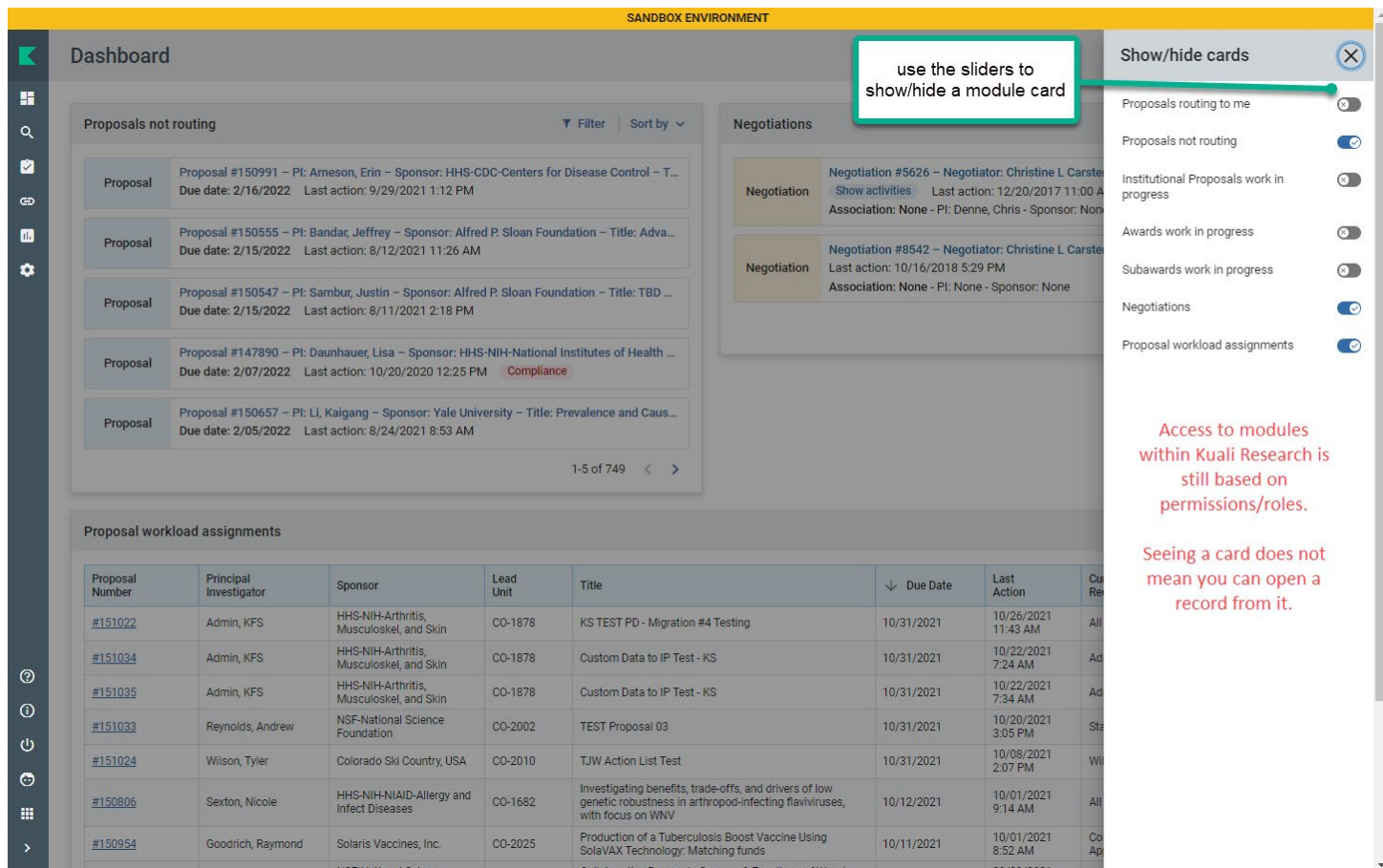
You can control what cards you see on the Dashboard to see only items or actions relevant to your role.

Click the **Show/hide cards** button to expand the right side card options.



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Use the sliders for each module to show or hide a card.



Who sees what on each card

Proposals routing to me –

- WHO: All named key personnel, members of the lead unit pre-approver group, the department approver group, the college approver group, the OSP administrator for the proposal lead unit and everyone in the OSP proposal approver group ('Alternate')
- WHAT: proposals in routing. The line item will display 'step' information, e.g., 'You're Up' or '3 steps away'.
 - There are 5 steps in 'normal' routing
 - "You're Up" means the proposal is ready for the logged-in user's action

Proposals not routing

- WHO: Logged-in user who created a PD record (initiator), key personnel, or department administrator with edit or view access; everyone in OSP
- WHAT: Proposal Development records that are 'in progress' (not yet routed), regardless of record content (e.g., there is no 'deadline date' requirement to see a record on this card).

Institutional Proposals work in progress

- WHO: Logged-in user who has view or edit access (e.g., Unit Aggregator with IP view permission) for IP
- WHAT: IP (institutional proposal) records that are in the process of being edited – SAVED status

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- **NOTE:** CSU-Pueblo is using Institutional Proposal module, so their saved proposals will also show up on this card

Awards work in progress

- WHO: Logged-in user who has view or edit access to Award module
- WHAT: Award records in 'SAVED' status. (It is very rare to have records in this status for any length of time)

Subawards work in progress

- WHO: Logged-in user with view or edit access for Subaward module
- WHAT: Subaward records in 'SAVED' status

Negotiations

- WHO: Logged-in user with view or edit access for Negotiations module
 - Campus view: PI for an associated IP or Award or user with the View Negotiations role
- WHAT: 'in progress' records – full record if the link is clicked; Show Activities to see only the activity list

Proposal Workload Assignments

- WHO: everyone who can open Kualu Research applications
- WHAT: Proposals in routing

NOTE: All cards can be filtered to find groups of records or specific records. This is an example of a deadline date filter on the proposals routing card, which also shows the route log 'step' information:

Proposals routing to me

Filter Sort by

1 Filter Applied Sort by

Where Deadline Date is 09/30/2021

3 steps away Proposal #150357 – PI: Fischer, Emil
Due date: 9/30/2021 Last action: 9/30/2021 11:03 AM

3 steps away Proposal #150805 – PI: Bruegger, Ma...
Due date: 9/30/2021 Last action: 9/29/2021 1:06 PM

3 steps away Proposal #150868 – PI: Easley, Jeremiah – Sponsor: Rutg...
Due date: 9/30/2021 Last action: 9/29/2021 11:04 AM Compliance

1 step away Proposal #150526 – PI: Adams, Henry – Sponsor: NASA-N...
Due date: 9/30/2021 Last action: 9/30/2021 12:04 PM

You're up! Proposal #150594 – PI: Gao, Xinfeng – Sponsor: DOD-AR...
Due date: 9/30/2021 Last action: 9/30/2021 11:03 AM

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- Click 'Filter' to open the box of options.
- Click the x at the right side of the box to clear a filter
- Click the 'filter' button again to close the options box.

Cards can also be sorted by criteria applicable to the content of the card. This is an example of sort options for the Proposals routing card:

Proposals routing to me

Filter Sort by

Ascending Descending

Deadline Date

Last Action Taken Date

Principal Investigator

Proposal Number

Sponsor Name

Steps to Approve

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Proposal workload assignments will be 'read-only' but visible for all campus users. Having this card turned on will give you information about the current list of proposals in routing, what route stop the record is at, and if a specific OSP administrator has been assigned. (OSP SRAS and RAs will be discussing how best to use this tool.)

The default sort is by last action, in reverse date order. You can click on any column heading to sort by a different data element, e.g., Due Date

Proposal Number	Principal Investigator	Sponsor	Lead Unit	Title	Due Date	Last Action	Current Request(s)	Assigned Approver
#151022	Admin, KFS	HHS-NIH-Arthritis, Musculoskel, and Skin	CO-1878	KS TEST PD - Migration #4 Testing	10/31/2021	10/26/2021 11:43 AM	All Personnel	
#151035	Admin, KFS	HHS-NIH-Arthritis, Musculoskel, and Skin	CO-1878	Custom Data to IP Test - KS	10/31/2021	10/22/2021 7:34 AM	Admin, KFS	
#151034	Admin, KFS	HHS-NIH-Arthritis, Musculoskel, and Skin	CO-1878	Custom Data to IP Test - KS	10/31/2021	10/22/2021 7:24 AM	Admin, KFS	
#151033	Reynolds, Andrew	NSF-National Science Foundation	CO-2002	TEST Proposal 03	10/31/2021	10/20/2021 3:05 PM	Stahle, Ashley	
#151024	Wilson, Tyler	Colorado Ski Country, USA	CO-2010	TJW Action List Test	10/31/2021	10/08/2021 2:07 PM	Wilson, Tyler J	McIntyre, Emily
#150734	Herber, Daniel	University of Illinois	CO-1377	LEAP HI: GOALI: Scientific Foundations for 3D Spatial Packaging of Interconnected Systems with Physical Interactions (SP12)	09/13/2021	10/01/2021 9:47 AM	College Unit Approvers	
#150827	Schauer, Grant	HHS-NIH-Nat Inst of General Medical Sci	CO-1870	Bypass Mechanisms in Eukaryotic Replication	10/04/2021	10/01/2021 9:35 AM	Proposal OSP Approvers	McIntyre, Emily
#150916	Thamm, Douglas	University of Michigan	CO-1678	Circulating tumor cell capture with a wearable indwelling, intravascular apheretic device	09/24/2021	10/01/2021 9:32 AM	Proposal OSP Approvers	
#150899	Nishimura, Erin	Life Sciences Research Foundation	CO-1870	Caenorhabditis Elegans: a Model for Genetic Interaction between Gut Microbiota and Intestinal Cells	10/01/2021	10/01/2021 9:26 AM	All Personnel	
#150846	Hollinshead, Fiona	Grayson-Jockey Club Research Foundation	CO-1678	Evaluating extracellular vesicles from equine fetally-derived mesenchymal stem cells as an endometritis therapeutic	10/01/2021	10/01/2021 9:23 AM	Proposal OSP Approvers	

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Search Records

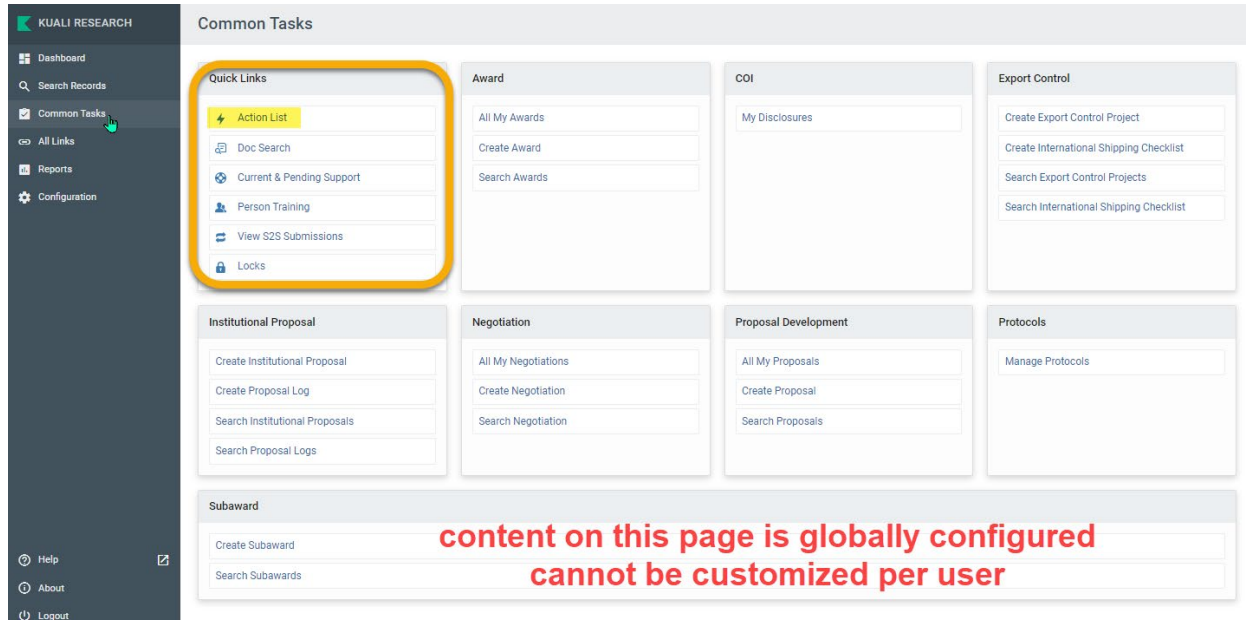
Searches across all Sponsored Programs modules (does not include Build, COI, or Protocols)

- Results and access controlled by permissions & roles
- Saved searches can be re-used and shared

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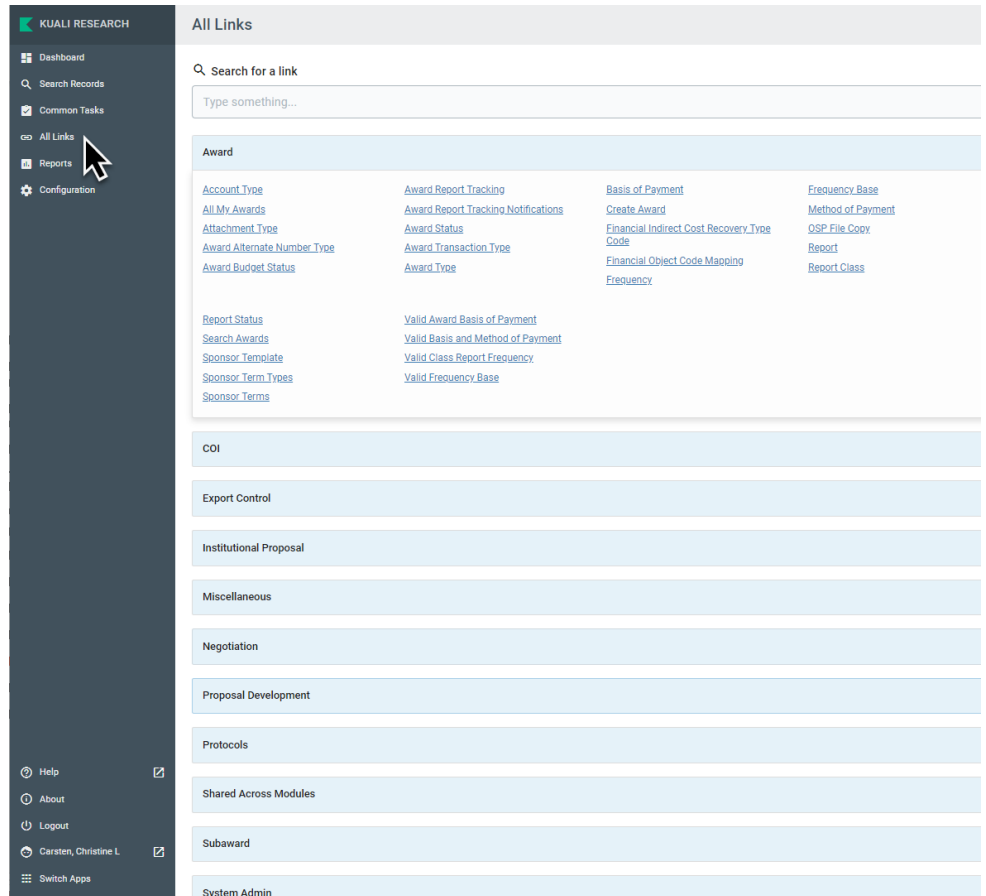
Common Tasks:

- Cards organized by 'Quick Links' and modules
- Most commonly used links for each module, not all links
- Action List, Doc Search, and Lock search on this page



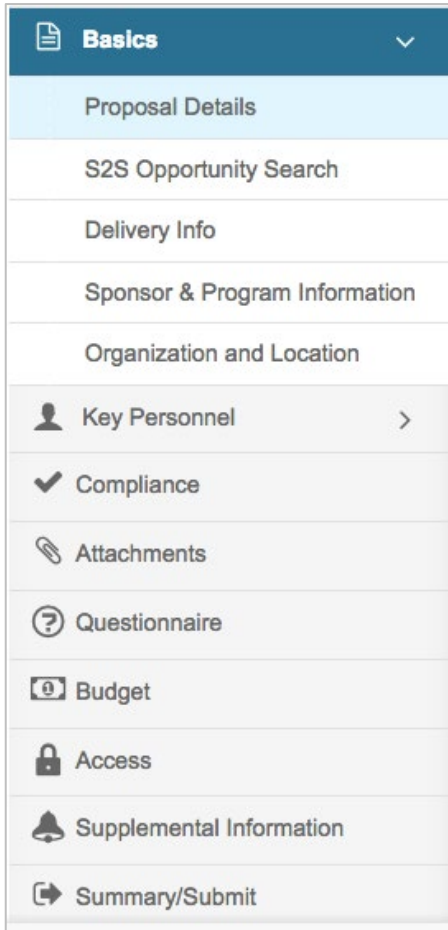
All Links - Module, maintenance, system admin links

- Searchable
- Commonly used links on this page:
 - Person lookup
 - Organization (subrecipient)
 - Unit Administrator



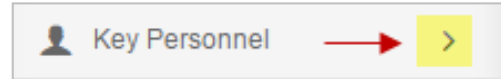
KR PD Navigation

Left Navigation panel:



Click on any of the listed options in the left navigation panel to open and view the desired screen.

- Some options act as category headers denoted by the triangle on the far right (ex. Basics, and Key Personnel)



- Clicking on the **category header** when the triangle faces to the right will open a sub-menu, where you can then click on one of the items in the sub-menu to open the working screen

- Click the downward-facing triangle will collapse the sub-menu

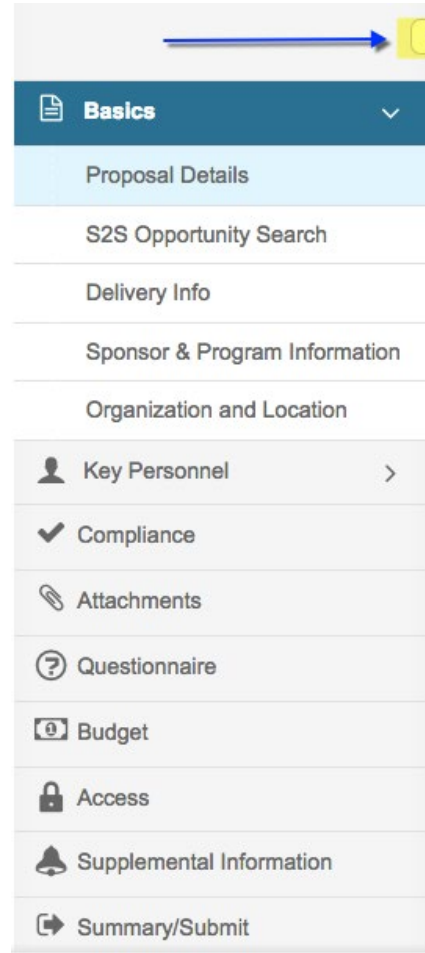
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Compressed Left Navigation Icon View:



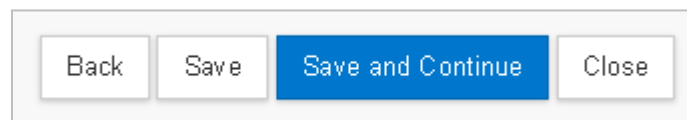
When screen space is at a premium, you can click on the **left-facing triangle** at the top of the navigation panel to compress the navigation panel to icon mode.

- When the panel is compressed, clicking on an icon will display a pop-up menu of the available options.



- To expand the navigation panel, simply click the right-facing triangle at the top of the icon panel

Proposal Action at Bottom of the Screen:



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Item	Description
	Click to navigate to the previous listing on the left navigation bar.
	Click to save any entered data and to stay on the same screen.
	Click the Save and Continue button to navigate to the next section of the Proposal/Budget as listed in the Navigation panel.
	Click to close and exit the proposal.

Table 2 – Proposal Footer Action Buttons

Keyboard Navigation:

Users may navigate in the Proposal using the keyboard keys:

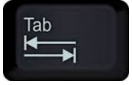



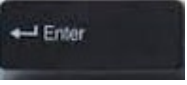
Key	Description
	Click the Tab button to navigate from one field to the next in the Proposal screen. The default tabbing sequence is left-to-right (across the first row, on to the second row, and so on). All editable fields for a given section are navigated to first, then all buttons.
 	Click the Down or Up arrows while in the drop-down field to view the selection(s) available.
	Click a letter key while in a drop-down field to view available selection(s) that begin with that specific letter.
	Click the Enter button to either make a selection in a field or when an action button is select to perform that action.

Table 3 – Navigating Using Computer Keyboard

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Icons







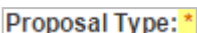

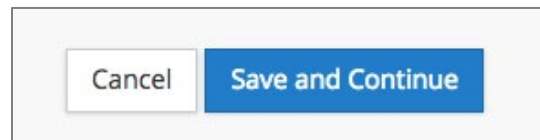
Icon	Description
	Calendar icon allows you to select a date from a calendar tool and populates the field.
	Direct Inquiry icon displays additional details about the information appearing in the field/screen. For example, clicking the icon next to the Sponsor Name/Sponsor Code will display the Sponsor's record.
	Lookup icon to search the reference table information to select from it and populate the field.
	Selection tools; Use the drop-down menus, checkboxes, and/or radio buttons to select options to specify information in the field.
	Expands the field and opens it as a pop-up window.
	Information icon appearing next to questions in a Proposal. It displays more information about the specific questions.
	Fields marked with asterisk are required fields for saving the Proposal Development document.
	Delete icon.

Table 4 – Icons

A Quick Word on Action Buttons

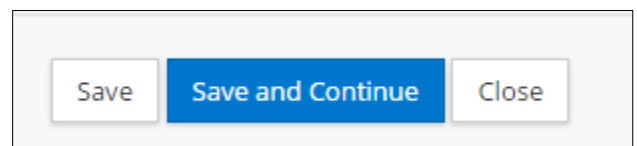
When a new proposal record is being created, the action buttons are:

- **Save and Continue** – Saves your work and automatically navigates to the next screen for additional data entry on a new proposal.
- **Cancel** – Takes the user back to the Main Menu and all data entered so far will not be accepted into the system.



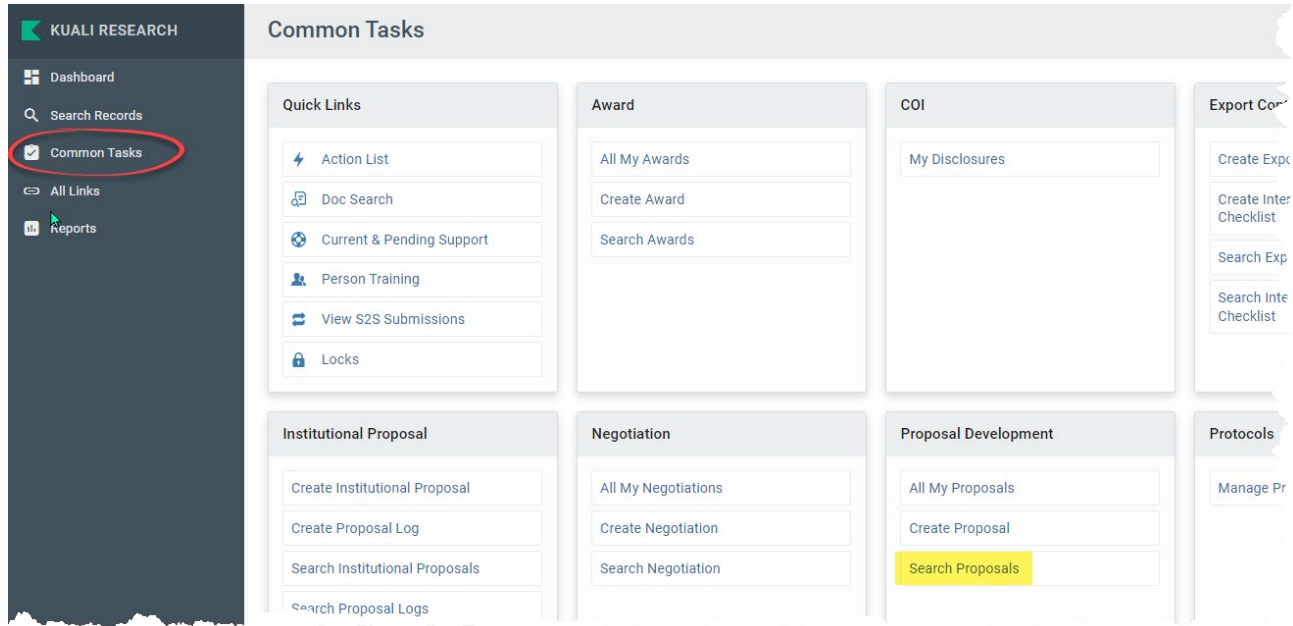
In an open proposal in edit mode, the bottom of the Proposal Development Screen, the Action buttons are:

- **Save** – Maintains your work, keeps you on the same screen.
- **Save and Continue** – Saves your work and navigates to the next screen (guided navigation).
- **Close** – Closes the record – the user will be prompted to save when closing.



Search for an existing Proposal

From the left navigation menu, choose **Common Tasks**
On the Proposal Development card, choose **Search Proposals**



- In the lookup window, use one or more fields to find a record.
- The optimal lookup is by specific Proposal Number (KR PD number); no other criteria should be used if you are using this field.

The screenshot shows a search lookup window titled 'Kuali Research'. The 'Proposal Number' field is highlighted in yellow. Below it are several search criteria: Proposal Type (select), Proposal State (select), Project Title (text), Proposal Person (lookup), Principal Investigator (lookup), Aggregator (lookup), Participant (lookup), Initiator Username (lookup), Sponsor Deadline Date (date range), Sponsor (lookup), Sponsor Name (lookup), Lead Unit (lookup), Lead Unit Name (lookup), Award ID (text), Opportunity ID (text), Hierarchy Status (select), and Proposal Create Date (date range). At the bottom are 'Cancel', 'Clear Values', and 'Search' buttons.

Proposal Development Training Guide

Note: Wildcards (* or % symbols) search criteria in place of one or more unknown characters. The asterisk (*) wildcard is especially helpful when searching names, titles, and organizations, etc. Since the data is entered in a very specific format, you must search using the same format to retrieve the desired results. Use of the wildcard(s) allows for more flexibility.

Operator	Used to Locate	Examples
* (Asterisk)	Use the wildcard * at the beginning or end of a text string, to indicate there may be any number of characters before or after the text.	Entering: 1589* in the Proposal Number field. <i>(This will display all Proposals with Proposal Number starting with 1589.)</i>

Additionally, the **Proposal Lookup** window is built with various data fields:


- **Drop-down:** some fields have lists associated with them. Values are selected from the provided list.
- **Lookup Icon:** Some fields have search icons associated by selecting a value from the results of a search (done in a lightbox).
- **Calendar:** calendar tool associated to select a date.
- **Text Fields:** Some fields, like proposal title, are **free-form text** fields.

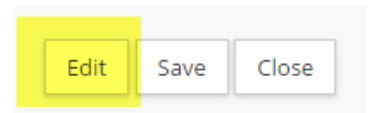
In the fields that do not contain a drop-down list or a search icon, enter all or part of the value you are searching for. If you do not use one of the wild card values -- * or % -- the system will only look for the text exactly as it was entered, which can return 'no results'.

1. The **search results** will appear at the bottom of the **Development Proposal Lookup** window and will display the proposals that match your search criteria. Sometimes you may need to scroll down to the bottom of the screen to view the full list.

Actions	Proposal Number	Proposal Document Number	Proposal Type	Proposal State	Project Title	Prev Grants.Gov Tracking ID	Opportunity ID	Opportunity Title	CFDA Number	Agency Routing Identifier	Sponsor Name	Principal Investigator	Lead Unit	Lead Unit Name
view copy medusa	14	10260601	New	Approval Pending	Testing Workflow - Mechanical						EPA-Environmental Protection Agency	Susan P James	CO-1374	Mechanical Engineering

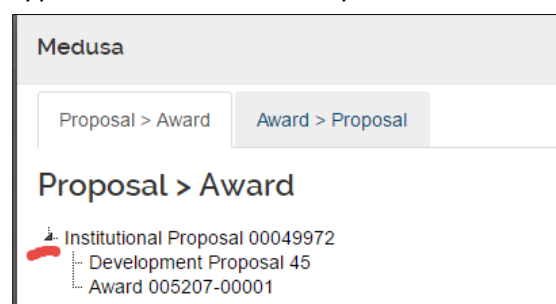
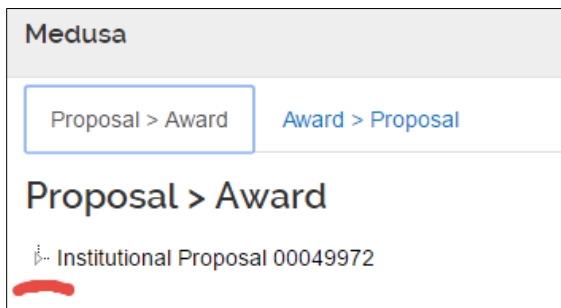
Action links to **View, Edit, Copy**, or access **Medusa** will display based on your role for the proposal. **Edit** access is allowed only for proposals in an editable state (In Progress or Revisions Requested).

 **Note:** If you open an editable proposal in View mode, but have Edit permission, you will see an action button for 'Edit', which must be clicked to put the document into edit mode:



Medusa Link

Medusa is populated as documents in the various modules become related to each other. The **medusa** link action button will show related document types and numbers if any exist.



Proposal Development Training Guide

The arrowhead icon changes from clear to black to show all documents associated with the proposal.

Click on the Proposal, Institutional Proposal, or Award number, which will expand a details panel and allow the user to open the documents based on permissions (e.g., currently only SP users can open the award document).

Proposal Development Screen Overview

Proposal Development Document screen is comprised of a document header, nine general panels – referred to as Navigation Headers/Buttons – located on the left side of the screen (with subpanels within each panel), a Proposal Tool Bar located at the top of the screen, and Proposal Footer with **Action Buttons** appearing at the bottom (some of which are unique to specific pages).

The **Proposal Development** creates an electronic version of the proposal, but it also includes access to the functionality of the **Budget** Document, a separate document used in conjunction with the proposal. These pages will accommodate all of the information required by the sponsor and the institution for a full proposal submission.

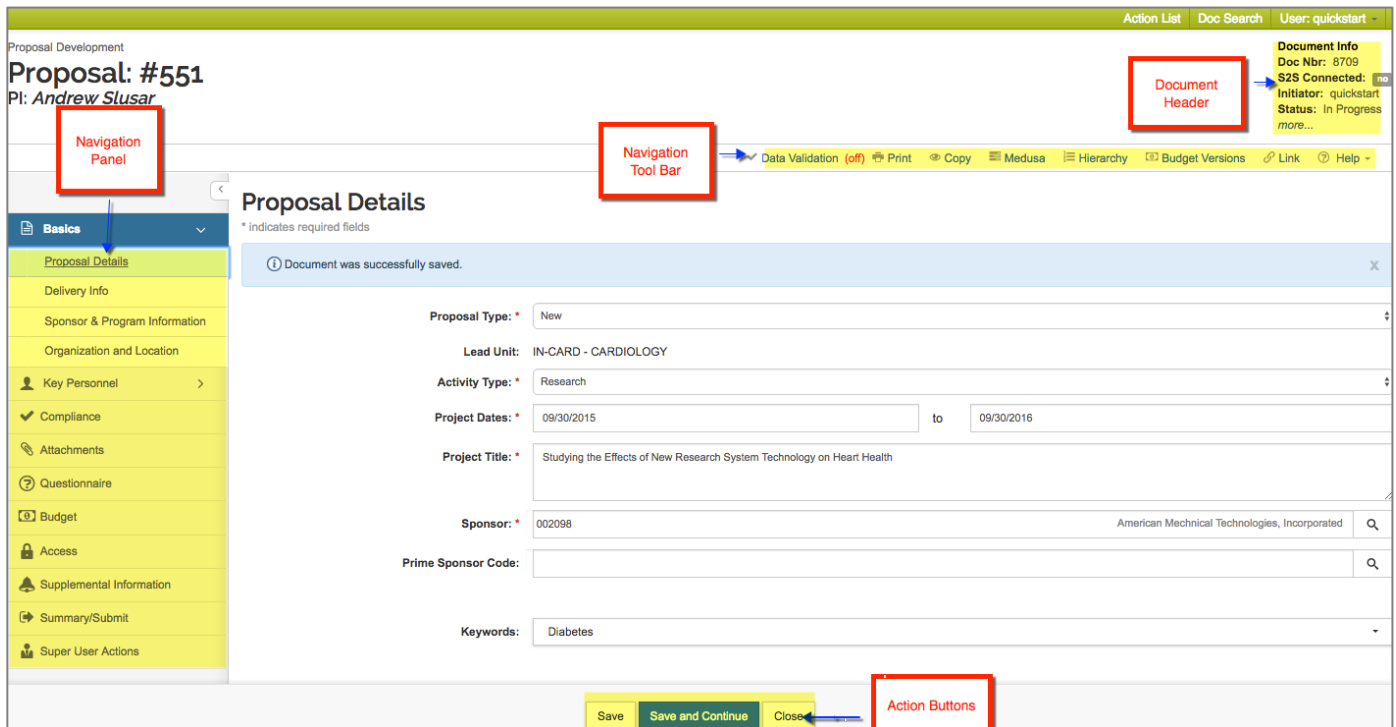


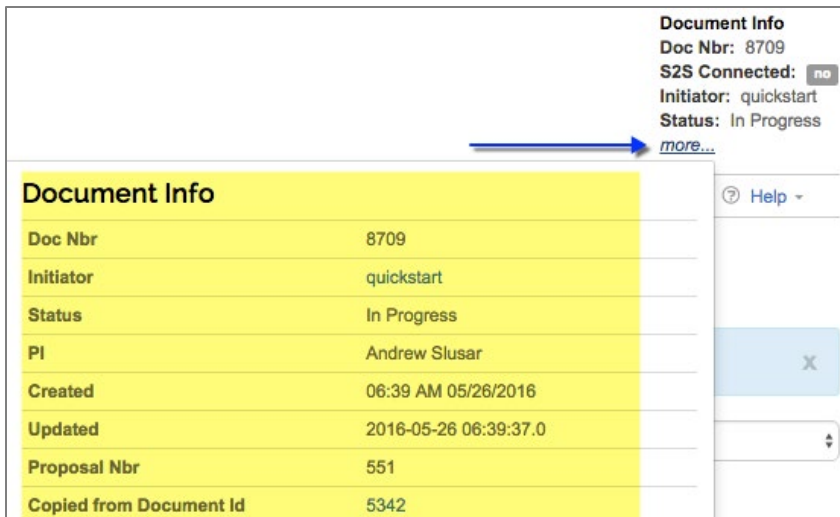
Figure 2 – Proposal Development Document

Document Header

The **Document Header** in the Proposal document (top, right corner of screen) displays system information about the proposal. The new Proposal Development document is automatically assigned a **Document Number** (Doc Nbr) by the system with a status of '**In Progress**'. This information is displayed in the upper, right corner of the screen.

The **Document Header** also includes a '**more...**' link that displays additional information about the Proposal.

Proposal Development Training Guide




As the **Proposal Development** document goes through various stages of preparation and then routing for approvals, the proposal **status** will be automatically changed by the system.

Figure 3 See More Document Details

Search for a Proposal – Exercise 1

In this exercise, use Kualu Research to search for and view a Proposal Development status using the information and steps outlined below:

- Please note that "___" in the exercise means a value to be provided during the in-session training.
- For those using this guide separately, in this exercise use the name of a researcher in your department.

Search for Proposal Development	
Step No.	Instructions
1	From the Research Home, Common Tasks link, click > Search Proposals .
2	<p>In the Proposal Development Lookup window For a search by PD number, use only the Proposal Number field.</p> <p>To find multiple records based on criteria, select/enter:</p> <p>Proposal Type: "NEW" Proposal State: "In Progress" Enter "___" in the Principal Investigator field (where "___" is the last name or any part of a principal investigator last name)</p> <p>- Use wildcard symbol * when searching a partial name.</p> <p>Click the search button. </p>
3	<p>See the search results at the bottom of the screen. You may need to page down to see all the proposals selected.</p> <p>In the displayed search results, click the view link to open the Proposal Development.</p>

Reading Sponsor Instructions/RFP Pre-Work

Before any work is done in a proposal system, the key to successful proposal preparation process is to read the RFP thoroughly no matter what type of solicitation you are responding to. Critical information needs to be reviewed, such as the following:

- Eligibility (both Institutional and Individual)
- Due Date
- Is a Letter of Intent/Pre-Application Required? If so, what is the due date? Has it already been submitted?
- Earliest/Anticipated Start Date
- Application Types Allowed (New, Resubmission, Revision, etc.)
- Project Period/Minimum and Maximum Number of Years for the Project
- Funds Available/Budget Restrictions/Cost Sharing Requirements
- Overhead/F&A/Indirect Costs limitations
- Content and Form of Application Submission/Required Attachments (including formatting and page limits)
- Special Requirements

Remember OSP will also be reading the Sponsor Instructions and may return the proposals for correction if requirements are not met. Identifying requirements in advance will reduce the corrections needed and may result in a faster submission.

Reading Sponsor Instructions/RFP – Exercise 2 (Pre-Work)

A research website has posted an announcement for a new grant, including details on forms, instructions and the application.

A researcher in your department has informed you that he will submit a proposal to the sponsor.

You print a copy of the announcement and highlight important details.

Identify the following information based on reviewing the sample announcement:

Data	Instructions
Due Date and Time	What is the date and time the proposal is due? _____
Attachments	What documents are required to be attached to this proposal (SOW, CV, Budget, etc.) and in what format? _____
Overhead	Are there exclusions, restrictions, or limits on overhead? _____
Project Period	What is the project period (start and end dates)? How many years? _____
Amount	How much funding can be requested? _____
PI & Co-PI Support	What is the limit on the PI and Co-PI Support?

Proposal Development Training Guide

Data	Instructions

Student Support	How much of the Budget should be used for Student Support? _____
Capital Equipment	What's encouraged when Capital Equipment is requested? _____

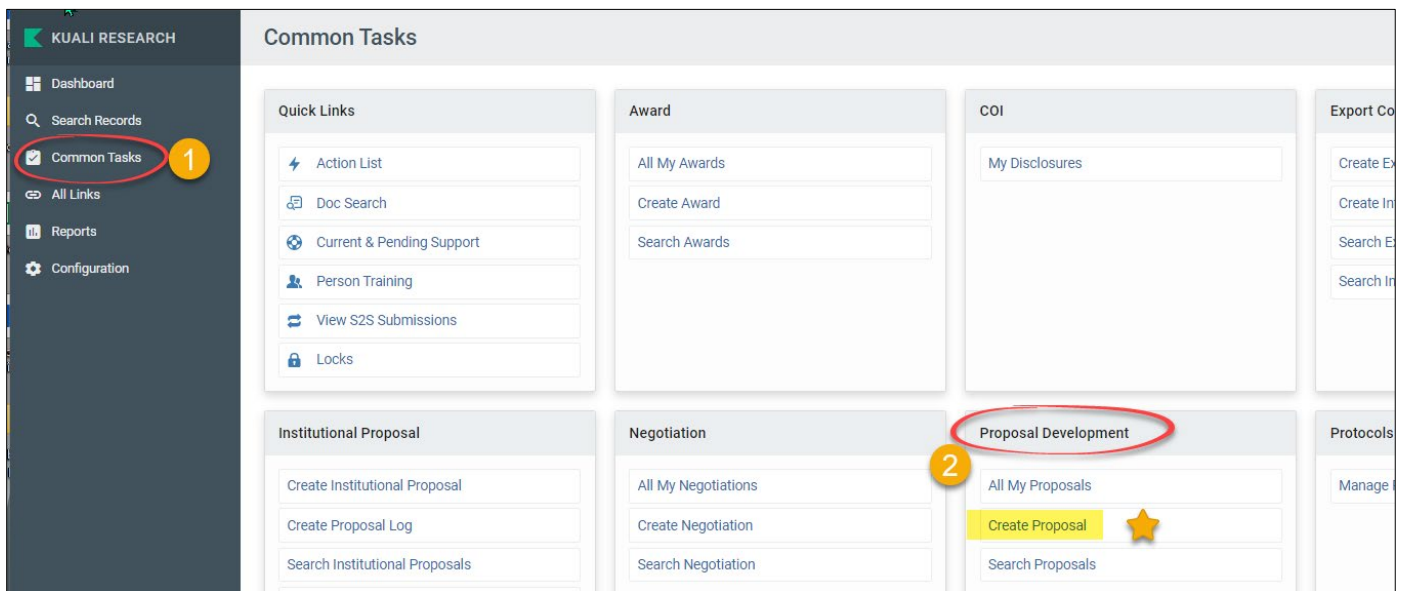
Creating a New Proposal

Initiating a Proposal in Kualu Research – Detailed Instructions

To start a new proposal, the following is required:

- Proposal Creator role in the unit where the proposal/award is being managed, usually determined by the principal investigator’s unit. (This will be the LEAD Unit, and is not editable once the record has been saved.)
- Sponsor
- RFP Number
- Sponsor’s Opportunity instructions

1. From the **Research Home** page, go to **Common Tasks** in the left navigation menu
2. On the *Proposal Development* card, choose **Create Proposal**



The **Create Proposal** window will open with six required fields for saving the Proposal Document displayed (marked with red asterisks).

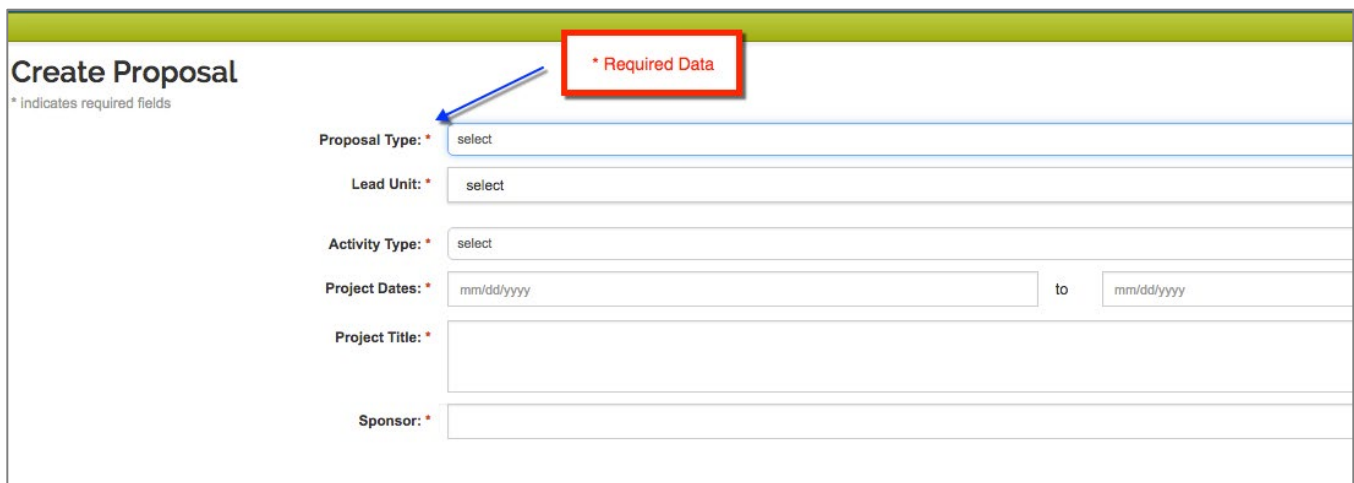




Figure 4 – Create Proposal Window

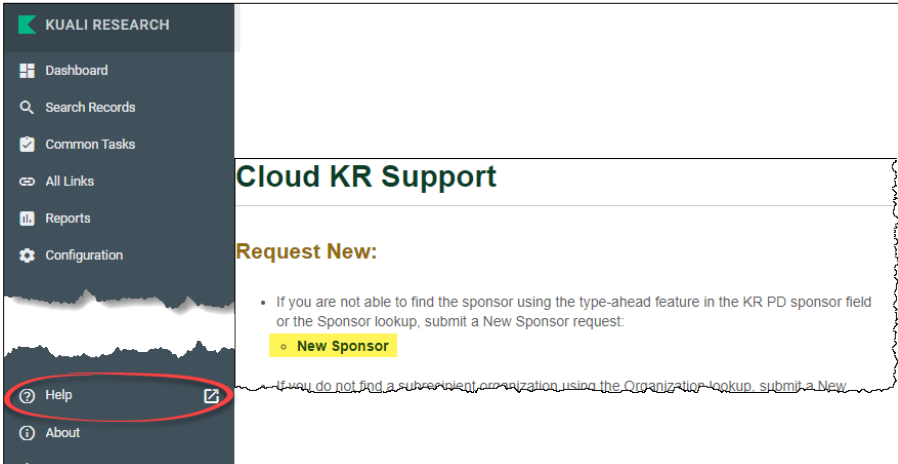
Proposal Development Training Guide

3. Use the information and steps below to complete the **Create Proposal** fields:
 - o Enter data in the following fields: **Proposal Type, Lead Unit, Activity Type, Project Dates, Project Title, and Sponsor:**

Field Name	Description
Proposal Type	Select the appropriate type from the drop-down list. A description of each type is available at the OSP website Kuali Research (KR) page: Proposal Types
Lead Unit	Select the applicable unit from the drop-down list. If your User Account has authorization for more than one unit, all of those units will be displayed in the drop-down list. If you have create authorization for one unit, only that until will be displayed. Please note: After clicking the Save and Continue button (the 'initial' save action), the Lead Unit field will become read-only and will not be editable.
Activity Type	Select the appropriate entry from the drop-down list. More information about each type is available at the KR website: Activity Types
Project Dates	The Project Start and End Date. Use date format or the Calendar tool that appears as you click in the fields to select the date.
Project Title	Enter Title (refer to the sponsor instructions). The field limit is 200-character maximum; individual sponsors may require shorter titles. Please note: For s2s submissions, there may be additional special character restrictions.
Sponsor	Sponsor field should be the name of the organization (federal agency, non-profit, or commercial entity) providing funds to Colorado State University. If CSU is a subrecipient (aka, subawardee or subcontractor) for the proposal, then the organization to which you are submitting your proposal is your Sponsor and the Prime Sponsor is the entity providing the funds to that organization. When applicable, the Prime Sponsor information is completed after the initial record is saved. Note – This field employs predictive typing functionality to generate suggestions.  To search for the sponsor value, click the magnifying glass to open a separate lookup window.

 **Note:** If Sponsor is *not found* in the suggestions or by search, **enter code 000000**. This will allow you to save the record. The sponsor code must be corrected to a real sponsor code before the proposal can be submitted to routing for internal approvals.

To request a new sponsor, use the left navigation menu to go to the **Help** page > choose New Sponsor item in the "Request New" section:



The screenshot shows the Kuali Research Cloud KR Support interface. On the left, a dark navigation menu lists: Dashboard, Search Records, Common Tasks, All Links, Reports, Configuration, and Help (circled in red). The main content area is titled 'Cloud KR Support' and contains a 'Request New:' section. A bullet point states: 'If you are not able to find the sponsor using the type-ahead feature in the KR PD sponsor field or the Sponsor lookup, submit a New Sponsor request.' Below this, a 'New Sponsor' button is highlighted in yellow. At the bottom of the content area, there is a link: 'If you do not find a subrecipient organization using the Organization lookup, submit a New'.

Proposal Development Training Guide



4. Click the **Save and Continue** button.



Note: Clicking the **Cancel** button will close the Create Proposal screen and return you to the **Kuali Research Home** screen.

Create Proposal
* Indicates required fields

Proposal Type: * New

Lead Unit: * 000001 - University

Activity Type: * Research

Project Dates: * 09/01/2016 to 08/26/2017

Project Title: * Very Important Project

Sponsor: * a

- 000100
Air Force
- 000101
Air Force - ASD

Figure 5 – Create Proposal Window Completing required fields

Quick Tip: start typing all of part of the sponsor name in the sponsor field, then scroll down for available sponsor name options. Example above “a” for all sponsors beginning with the letter “A”.

Proposal Details appears. System will assign the next available proposal number in sequence.

Additionally, the fields completed in the prior screen will be automatically populated with the entered information.

Proposal Development

Proposal: #552
PI: *Not yet assigned*

Document Info
Doc Nbr: 8722
S2S Connect
Initiator: quick
Status: In Pro
more...

Data Validation (off) Print Copy Medusa Hierarchy Budget Versions Link Help

Proposal Details
* Indicates required fields

Document was successfully saved.

Proposal Type: * New

Lead Unit: 000001 - University

Activity Type: * Research

Project Dates: * 09/01/2016 to 08/26/2017

Project Title: * Very Important Project

Sponsor: * 000100 Air Force

Figure 6 – Proposal Development Document View (Basics → Proposal Details Screen subpanel)

Proposal Development Training Guide


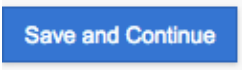
Special Instructions for non-New proposal types:

The following fields are conditionally required for proposal types *other than* New:

Field Name	Description
Award ID	** This is not the same as the KFS 53 account number. Required for the following proposal types: Continuation, Supplement/Additional Funding. <i>Suggested</i> for Renewal proposal type.
Original Institutional Proposal ID	Required for the Budget/SOW Update and Revision proposal types; <i>Suggested</i> for Resubmission type.

Creating a New Proposal – Exercise 3

In this exercise, create your Proposal Development Document. Enter the details below:

Creating a New Proposal	
Step No.	Instructions
1	From the Home Page, select Create Proposal (Researcher) or Proposal Development (Unit) 
2	In the Create Proposal Development window select/enter: Proposal Type: New Lead Unit: This field is restricted based on the logged-in user's home unit. Unit information will appear in a dropdown menu. Click to select. Activity Type: Research Project Dates: 01/01/2021 (start date) - 12/31/2022 (end date) Project Title: Equine Art Works Sponsor: Colorado Council on the Arts (Quick Tip: start entering the sponsor name and the available options will display in the dropdown).
3	Click Save and Continue button. 
4	The Proposal Development Document has now been created in the system. The proposal screen will open to display the Basics section, allowing the user to add additional information to the record.

Completing the Proposal Basics – Detailed Instructions

Once the proposal is initiated in the system, complete the remaining basic information about the project in the **Basics** panel in the following subpanels:

- Proposal Details (most fields have been completed in the Create Proposal screen)
- S2S Opportunity Search (**required ONLY for S2S Proposals**)
- Delivery Info (*optional*)
- Sponsor & Program Information (several **required** fields, others *optional*)
- Organization/Location (*optional* for non-s2s proposals)

Proposal Details Subpanel

This subpanel contains the basic information about the project. Most of the fields in this subpanel have already been completed in the Create Proposal screen. However, if any of those fields must be updated/modified, then the function can be performed in this section.

1. Use the information and steps below to complete/modify the fields in the **Proposal Details** subpanel:

Figure 7 – Proposal Details Subpanel – New proposal type

2. If needed, modify data in the following fields: **Proposal Type**, **Activity Type**, **Project Dates**, **Project Title**, and **Sponsor**. Also, if applicable add the **Prime Sponsor**.

Field Name	Description
Prime Sponsor Code	The Prime Sponsor is a Federal agency providing funds to CSU’s sponsor. This is used to capture only FEDERAL flow-through funding. If not applicable, leave this field blank. (<i>Quick Tip:</i> you can also start typing the prime sponsor name in the prime sponsor field and the available options for selection will display.)

3. Click the **Save** or the **Save and Continue** button.

Proposal Development Training Guide



Note: Lead Unit cannot be modified. This is because the lead unit number drives other system functionality, such as roles and permissions.

- How to correct for an inaccurate Lead Unit:
 - For users with permission to create proposals for multiple units, a proposal can be copied, and the correct unit selected for the new proposal. The proposal with the incorrect lead unit can be cancelled or re-purposed for another opportunity.

Proposal Delivery information -- *Optional, but helpful*

Delivery Info Subpanel – Detailed Instructions

The **Delivery Info** subpanel is where Proposal delivery instructions are given: submission by, submission type, number of copies, etc.

Figure 8 – Delivery Info Subpanel

To Complete the Delivery Info Subpanel:

1. Click the **Delivery Info** subpanel.
2. Complete the following optional fields:


Field Name	Description
Submission By	Select OSP if this is an S2S submission or if the Sponsor requires OSP submission.
Submission Type	Method of delivery of the proposal (e.g. Delivery Service, Electronic, or Postal Service).
Submission Account	DO NOT USE ... CSU does not mail or ship proposals
Submission Name & Address	DO NOT USE ... CSU does not keep a database of proposal addresses. .
Number of Copies	Indicates the number of copies for the proposal that must be submitted to the sponsor. (2 digit restriction)
Submission description	Use this field to enter sponsor information (email address, website), if needed for OSP to submit the proposal.

Proposal Development Training Guide

3. Click the **Save** or the **Save and Continue** button.

Delivery Information – Exercise 4

In this exercise, we will review and make modifications to the delivery information.

Delivery Information	
Step No.	Instructions
1	While in the Proposal click Delivery Info panel.
2	In the Delivery Info screen: Submission by: Department Submission Type: Electronic
3	Click Save and Continue button. 

Sponsor & Program Information – Detailed Instructions

The Sponsor and Program information subpanel is used to enter deadline and proposal delivery information. Additional sponsor information can be identified in the panel as well.

Figure 9 – Sponsor & Program Information



Note: If the sponsor requires a proposal submission by a specific date, enter it in the **Sponsor deadline** field and choose **Receipt** for **Deadline Type**. A deadline date is required to submit the proposal to routing (for approvals). A deadline date should be entered right away if the proposal is intended for submission (i.e., the record is not a template), so that the OSP tracking report will include it.

To complete the Sponsor & Program Information section:

1. Click **Sponsor & Program Information** in the left navigation menu.
2. Complete the following fields (based on proposal requirements):

Field Name	Description
Sponsor Deadline	Date field – Required. A text field or users can utilize the calendar lookup functionality to specify the deadline date for the proposal. Time field – Optional. A text field that allows users to specify the deadline time for the proposal.
Sponsor Deadline Type	Required before the proposal is submitted to review (routing). Options specifying the type of deadline required by the sponsor. The available selections are: <ul style="list-style-type: none"> • <u>Award Received</u> – OSP has received an award for which there is no proposal record; • <u>Postmark</u> – a physical proposal is being shipped, or an email sent date is sufficient for meeting a deadline; • <u>Receipt</u> – the sponsor must have the proposal completed in a system, or physically delivered; • <u>Target</u> – there is no fixed deadline date
Notice of Opportunity	Select an entry from the drop-down list to identify how this funding opportunity was announced.
Opportunity ID	This is a text field that allows you to enter the Funding Opportunity (FOA) Number of the announcement that the proposal is being submitted in response to
CFDA Number	Federal & Federal flow-through proposals only. <ul style="list-style-type: none"> - Helpful reference for non-s2s proposals. Enter if provided in sponsor guidelines. - If the proposal is being submitted S2S, an opportunity has been attached to the record, and the opportunity references a CFDA number, the field will be automatically populated.

Proposal Development Training Guide

Field Name	Description
Subawards	Required if the PI plans to contract out any portion of work. If there are no subcontracts, leave it unchecked.
Sponsor Proposal ID	Enter specific identifier used by the Funding Agency, <i>if applicable</i> . - This field is where to enter the NIH program & proposal number for Resubmission, Renewal, Revision proposal types (e.g, CA123456).
Field of Research	Required. Select code from the drop-down list for all proposals , not just NSF submissions. Used for federal and institutional annual reporting requirements.
Anticipated Award Type	Optional. Choose if known because the proposal is being created after an award is already received.
Agency Routing Identifier	This only applies to S2S submission. Enter specific identifier used by the Funding Agency, if applicable. The Funding Agency will specify what they want to see in this field. Typically used by DoD agencies that route proposals to specific program officers.
Prev. Grants.gov Tracking ID	This only applies to S2S submission. Enter the Previous Grants.gov Tracking ID of the previous proposal that was submitted and received errors/warnings at the Agency. At this time, this field is only required to be completed for Changed/Corrected applications being submitted S2S.
Opportunity Title	Enter the sponsor assigned title of funding opportunity, if applicable. If the proposal is being submitted S2S and it is connected to Grants.gov, the Opportunity Title will be automatically completed by the system.

Table 5 – Sponsor & Program Information Fields

- Click the **Save** or the **Save and Continue** button.

Managed Sponsors

CSU's Foundation Relations and Corporate Relations offices have established relationships with some organizations that prompt additional review before a proposal is submitted. These sponsors are identified in specific groups in the KR sponsor table, and the Route Log will include a stop for either FYI or approval based on how the sponsor is managed.

The following groups have been identified:

Managed Sponsor Category	Description
Priority	These opportunities are not limited, but are priorities for the Advancement and Research divisions, who can help with strategy, alignment, and contacts. <i>Next step:</i> Please check with Foundation Relations for current status and next steps.
Limited Submission	Applications are limited and CSU runs an internal selection process. Announcements are made approximately 2-3 months before each external deadline. <i>Next step:</i> Please check current limited submission announcements (URL).
Do Not Solicit	Proposal cannot be submitted without approval from Foundation or Corporate Relations group. CSU leadership determines funding priorities and leads outreach.

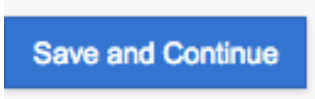
Proposal Development Training Guide

Managed Sponsor Category	Description
	Next step: Contact Advancement staff for current status and opportunities.
Commercial	For-profit entities can have existing agreements that need to be used in connection with a proposal for a new project. <u>Next step:</u> Contact Corporate Relations office to determine how to proceed.



Note: Even if the sponsor is not categorized as 'managed', when there is a formal RFP (request for proposal) or a competitive funding opportunity that requires the applicant to be a 501(c)(3) entity, Foundation Relations must be involved in the submission process.

Sponsor & Program Information – Exercise 5

Sponsor and Program Information	
Step No.	Instructions
1	While in the Proposal click the Sponsor & Program Information panel.
2	In the Sponsor & Program Information screen select/enter: Sponsor Deadline: 11/30/2021 Sponsor Deadline Time: 5:00pm Sponsor Deadline Type and select: Receipt Notice of Opportunity: Non-Federal Solicitation Check the Subawards Check Box: Field of Research: Humanities- Non-Science and Engineering Fields: J.03 Opportunity Title: Equine Art Works
3	Click Save and Continue button. 

Organization and Location – *Optional* for non-s2s proposals

The **Organization & Location** subpanel contains the official contacts for CSU and other sites involved in the project. The panel is comprised of the following four tabs:

- Applicant Organization
- Performing Organization
- Performance Site Locations
- Other Organizations

The **Applicant Organization** and **Performing Organization** default to Colorado State, and are not changed.

The **Performance Site Locations** and **Other Organization** tabs should be used to add other locations where the project will take place.

Organizations & Locations	
Applicant Organization	
1	000001
Organization Name	Colorado State University
Address Line 1	200 W. Lake St.
Address Line 2	
Address Line 3	
City	Fort Collins
State	CO

Figure 10 – Organizations & Locations Subpanel

Adding Performance Site Locations



Note: This is used *only* when there are CSU performance locations in Congressional Districts different from CSU Main Campus (CO-002) (e.g., Western Slope, Extension regional locations).

To add Performance Site where work will be performed:

1. In the **Organization & Location** subpanel, click **Performance Site Locations** tab.

The **Performance Site Locations** screen will open.

2. Click the **Add Performance Site** button.

Proposal Development Training Guide

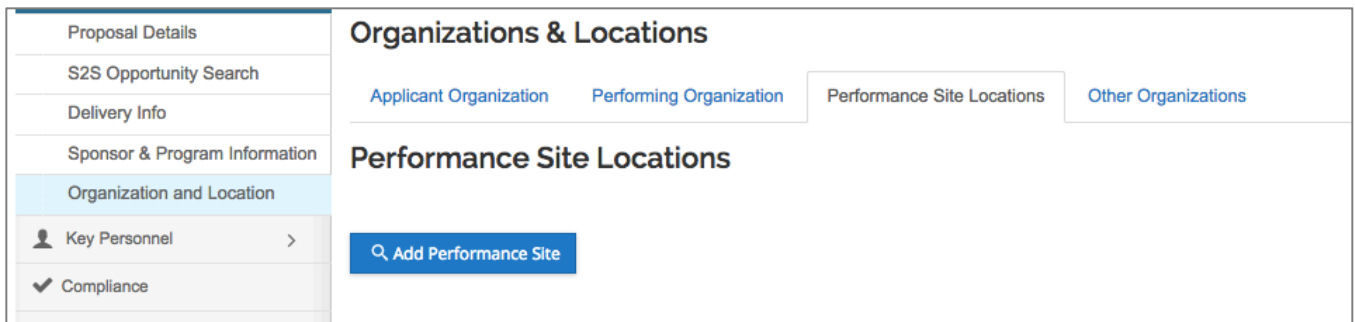


Figure 11 Performance Site Screen

The **Address Book Lookup** window will open. See below.

3. In the **Address Book Lookup** window, enter the search criteria for the Organization/Address of the **Performance Site** and click the **Search** button.

Figure 12 - Address Book Lookup

4. Select the address book entry from the results list by selecting the **checkbox** next to the **Address Book Id** and clicking the **return selected** button.
 - If the location is not in the Address Book, it must be added to the system by Sponsored Programs.

Proposal Development Training Guide

Address Book Id	Organization	Last Name	First Name	Middle Name	Address Line 1	Address Line 2	Address Line 3	City	County	State	Country Code
<input checked="" type="checkbox"/> 34404	University of Pittsburgh	Smith	Clayton		University of Pittsburgh Medical Center, Canc	Div of Hematology/Oncology, 5150 Centre Avenue		Pittsburgh		PA	USA

Showing 1 to 1 of 1 entries

First Previous **1** Next Last

[return selected](#)

Figure 13 – Selecting Address Book Entry

5. The **name** and **address** of the organization will display.

Organizations & Locations

Applicant Organization Performing Organization Performance Site Locations Other Organizations

Performance Site Locations

[Add Performance Site](#)

Organization:	University of Pittsburgh	<input type="checkbox"/>
City:	Pittsburgh	
State:	PA	
Address Line 1:	University of Pittsburgh Medical Center, Canc	
Address Line 2:	Div of Hematology/Oncology, 5150 Centre Avenue	
Postal Code:	15232	

Figure 14– Added Performance Site Location

To remove a **Performance Site** from this section, click the next to the **Name**.

Organizations & Locations

Applicant Organization Performing Organization Performance Site Locations Other Organizations

Performance Site Locations

[Add Performance Site](#)

Organization:	University of Pittsburgh	<input type="checkbox"/>
---------------	--------------------------	--------------------------

Figure 15 – Deleting Performance Site

Click the **Save** or the **Save and Continue** button.

Adding Other Organizations

To add an Organization where Subaward work will be performed:

1. In the **Organization & Location** subpanel, click **Other Organizations** tab.

Proposal Development Training Guide

The **Other Organizations** section will open.

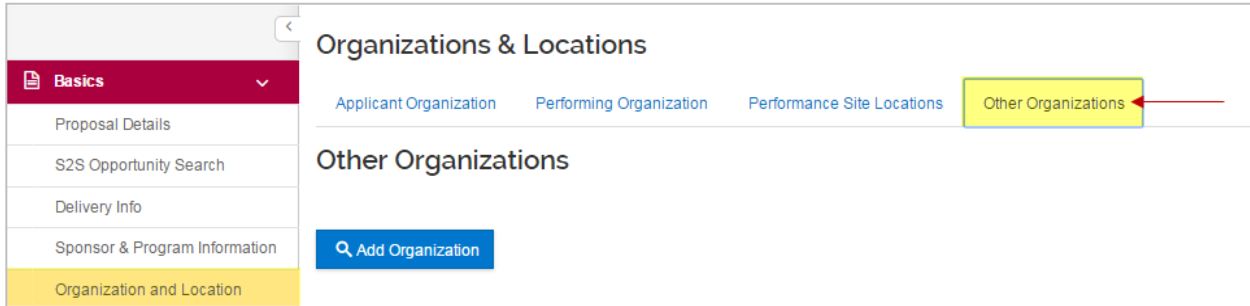


Figure 16 – Other Organizations Tab

2. Click the **Add Organization** button. The **Organization Lookup** window will open.
3. In the **Organization Lookup** window, enter all or part of the name of the Organization in the **Organization Name** field (e.g. *Harvard*) and click the **Search** button.

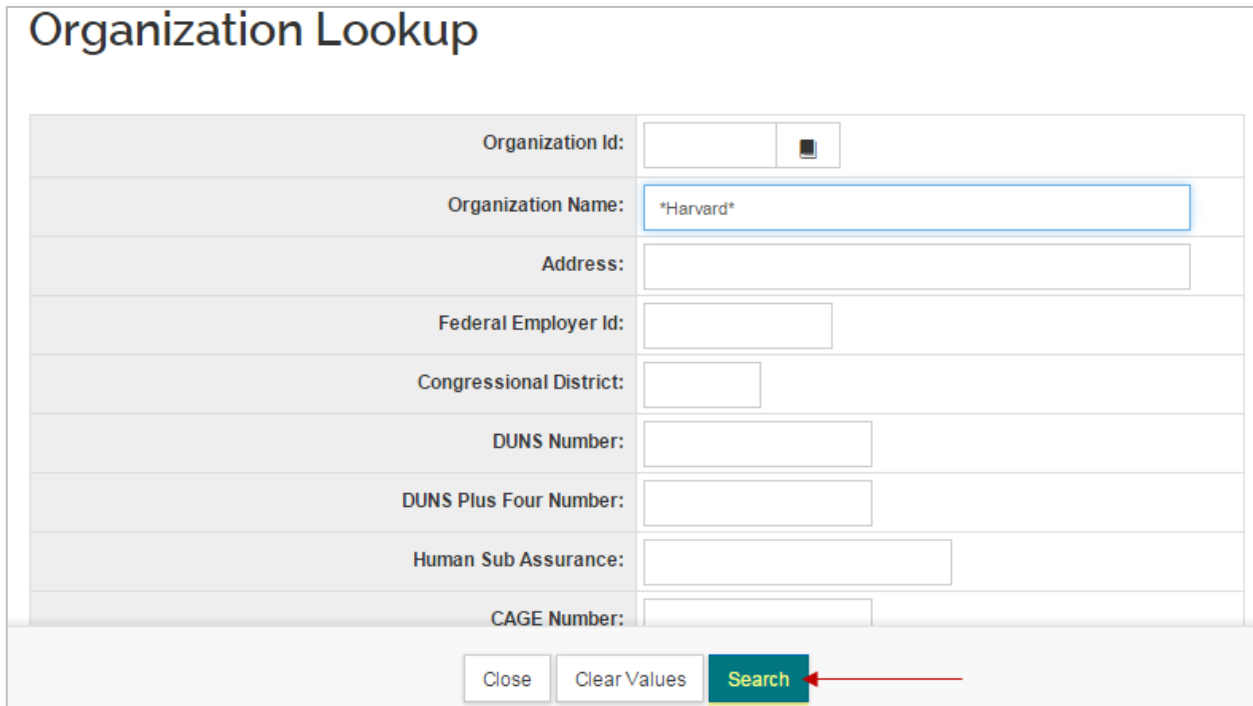
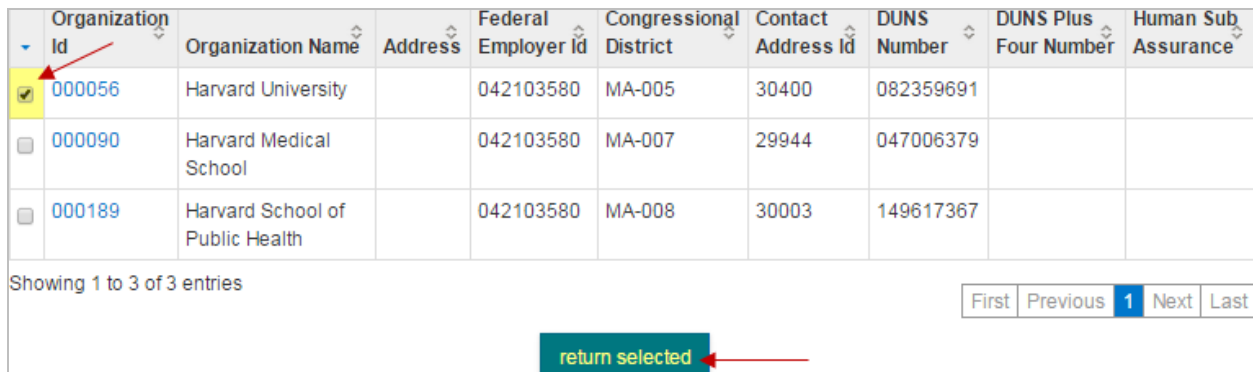


Figure 17 - Organization Lookup

4. Select the organization from the results list by selecting the checkbox next to the **Organization Id** and clicking the **return selected** button.



Proposal Development Training Guide

Figure 18 – Selecting Organization

5. The **name**, **address**, and the **Congressional District** of the organization will display.

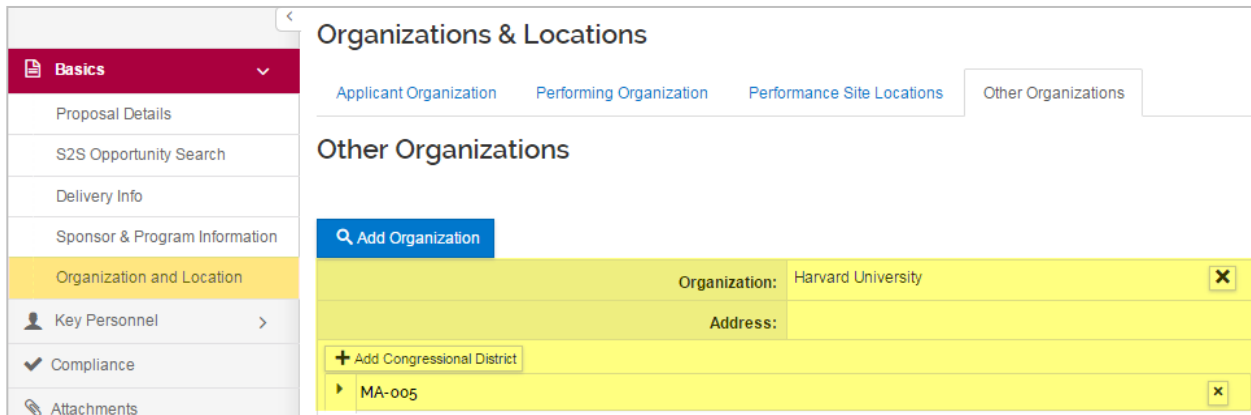



Figure 19 – Added Organization

6. To remove an **Organization** from this section, click the  next to the **Organization Name**.

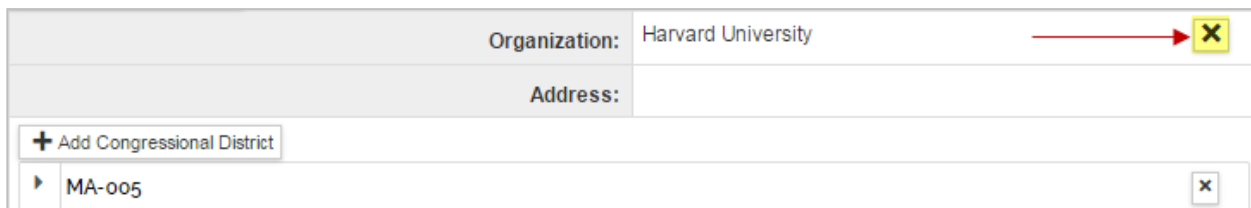




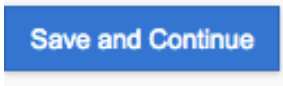
Figure 20 – Deleting Organization

7. Click the **Save** or the **Save and Continue** button.

 **Note:** If Organization is not found in the search, use the **HELP** icon in the left navigation column to open the KR Support Page (it should open in a new browser tab automatically). On this page, click **New Organization Request**. This will open an online form that must be completed and submitted. Once processed, you will receive a notification from OSP that the organization record has been created, and you can then add it to the proposal.

 **Note:** Clicking the **Save and Continue** button will automatically bring you to the next section/screen of the proposal (Key Personnel).

Organization & Location Information – Exercise 6

Organization & Location Information	
Step No.	Instructions
1	While in the Proposal click the Organization and Location panel
2	In the Organization and Location click the Other Organizations section heading
3	In the Other Organizations Tab: Click the Add Organization button.
4	Lookup up Other Organization: <ul style="list-style-type: none"> - Search for "Physical *". This will return all Organizations beginning with the word Physical. - Check the box in the left select column for "Physical Science Inc." - Click 'return selected' button.
5	Click the Save and Continue button. 


Remember to use the wild-card search, and place the text in between * for best results.

Adding PI and Key Personnel – Instructions

The **Key Personnel** panel contains the **Personnel** subpanel where the Principal Investigator, Co-Investigators, and Key Personnel are specified. These individuals contribute in a substantive way to the scientific development or execution of the project, *whether or not they receive compensation* from the grant supporting the project.


Investigator role descriptions	
PI	Principal Investigator is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations. For CSU purposes, this person is the primary administrative point of contact for managing the project in CSU’s research and financial systems.
Co-I	A Co-Investigator is an individual making a significant contribution to a project. The Co-I can be equally responsible for completion of part or all of a project’s objectives. For CSU purposes, this is the equivalent of the co-PI role.
Key Person	A person who contributes to the development or execution of a project both substantively and measurably. A text field is required that identifies the person’s role in the project. E.g., collaborator, subrecipient co-investigator, consultant, other significant contributor (NIH), mentor, sponsor. For CSU purposes, this is a person whose involvement in the project requires her/him to complete the PI certification questions and be included in the routing for internal approvals of the proposal information.
PI/Contact	<i>NIH/PHS only:</i> The investigator who will be responsible for communication between the NIH and the rest of the leadership team. For CSU purposes, this person should be the same as the PI for the Kualu Research proposal record. This person’s department will be responsible for the fiscal oversight of the award and associated account.
PI/Multiple	<i>NIH/PHS only:</i> If allowed by a funding opportunity, multiple individuals can be designated in an application as PD/PIs who share the responsibility and authority for leading and directing the project. The goal is to encourage collaboration among equals when that is the most appropriate way to address a scientific problem.

Table 6 Key Personnel role definitions

 **Note:** Only one individual may be designated as the PI. Co-I is considered the equivalent of a co-PI. Currently, the Multi-PI option is used only for NIH; for NIH proposals, one individual must be assigned a role of PI/Contact. This is considered the proposal’s lead investigator.

Add people to your proposal in one of two ways:

- **Person Table:** Click the **Employee** radio button to search for CSU faculty and staff.
- **Address Book:** Click the **Non Employee** radio button to search for investigators who are not CSU faculty and staff (system-to-system (S2S) only)

 **Note:** Adding non-employees is used only for S2S proposal submissions. In the rare instance an Address Book is needed, use the HELP icon in the left navigation menu to open the KR Support Page. On this page, click NEW ADDRESS BOOK, which will open an online form that needs to be completed and submitted.

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To Add a Principal Investigator (PI) to your proposal:

1. Click the **Key Personnel** → **Personnel** subpanel on the **Navigation** panel.

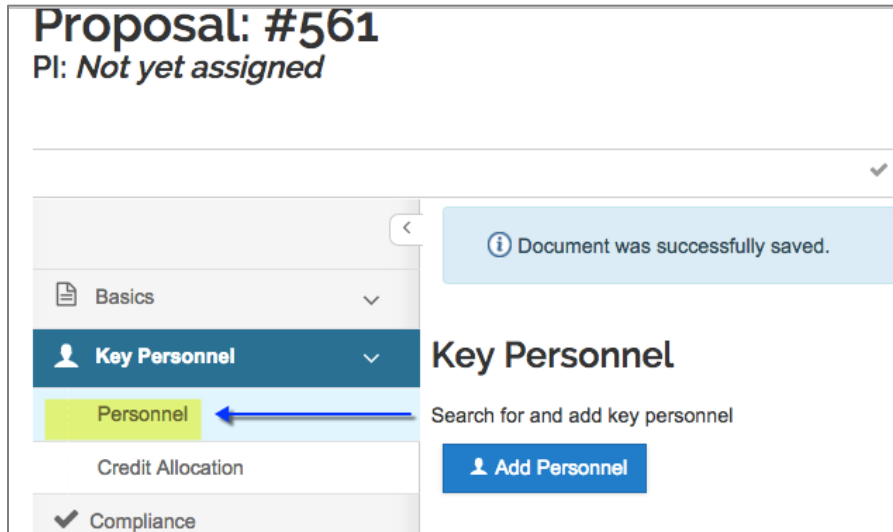


Figure 21 Add Personnel

Key Personnel screen will open.

2. Click the **Add Personnel** button. An **Add Personnel** window will open.
3. In the **Add Personnel** window, in the **Search for** section, select the **Employee** radio button.

A screenshot of a modal window titled "Add Personnel". It has a close button (X) in the top right corner. The "Search for" section has two radio buttons: "Employee" (selected) and "Non Employee". Below this are several input fields: "Last Name", "First Name", "User Name", "Email Address" (with "user@domain.com" pre-filled), "Office Phone", "Home Unit" (with a search icon), and "Campus Code" (with a search icon). At the bottom, there are two buttons: "Continue..." and "Cancel".

Figure 22 Personnel search fields

4. Enter the search criteria for the PI and click the **Continue** button. (Using the 'Enter' keyboard key will also work.)

NOTE: The Person table includes both Fort Collins and CSU-Pueblo personnel. Enter **MC** in the **Campus Code** field to restrict search to only Fort Collins employees.

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Only the top 200 results were returned. If you cannot find what you are looking for, please refine the search criteria

Full Name:	User ID:	Email Address:	Unit Number:	Unit Name:	Organization:	City:
Christine L Carsten	ccarsten@colostate.edu	Chris.Carsten@ColoState.EDUCO-2002		Sponsored Programs	Sponsored Programs	Ft. Collins

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

Continue... Go back Cancel

Figure 23 Return Search for Personnel

5. Select the **PI** from the search results by clicking the **radio button** next to the Full Name and click the **continue** button.
6. In the **Assign a role** window, select the radio button next to the role that you want to assign, in the case of adding Principal Investigator, select the **Principal Investigator** and then click the **Add Person** button.

Assign a role: *

Principal Investigator

Co-Investigator

Key Person

Add Person Go back Cancel

Figure 24 – Assigning Role

- Two things to note in a Key Personnel line item – **Role** (in this case, **Principal Investigator**), and **Certification Status Incomplete**. This will be important when the proposal is submitted for approvals:

Document was successfully saved.

Basics

Key Personnel

Personnel

Credit Allocation

Compliance

Attachments

Questionnaire

Budget

Key Personnel

Search for and add key personnel

Add Personnel

Notify All


ALTHEA BURD (Principal Investigator) 0 (Certification Incomplete)

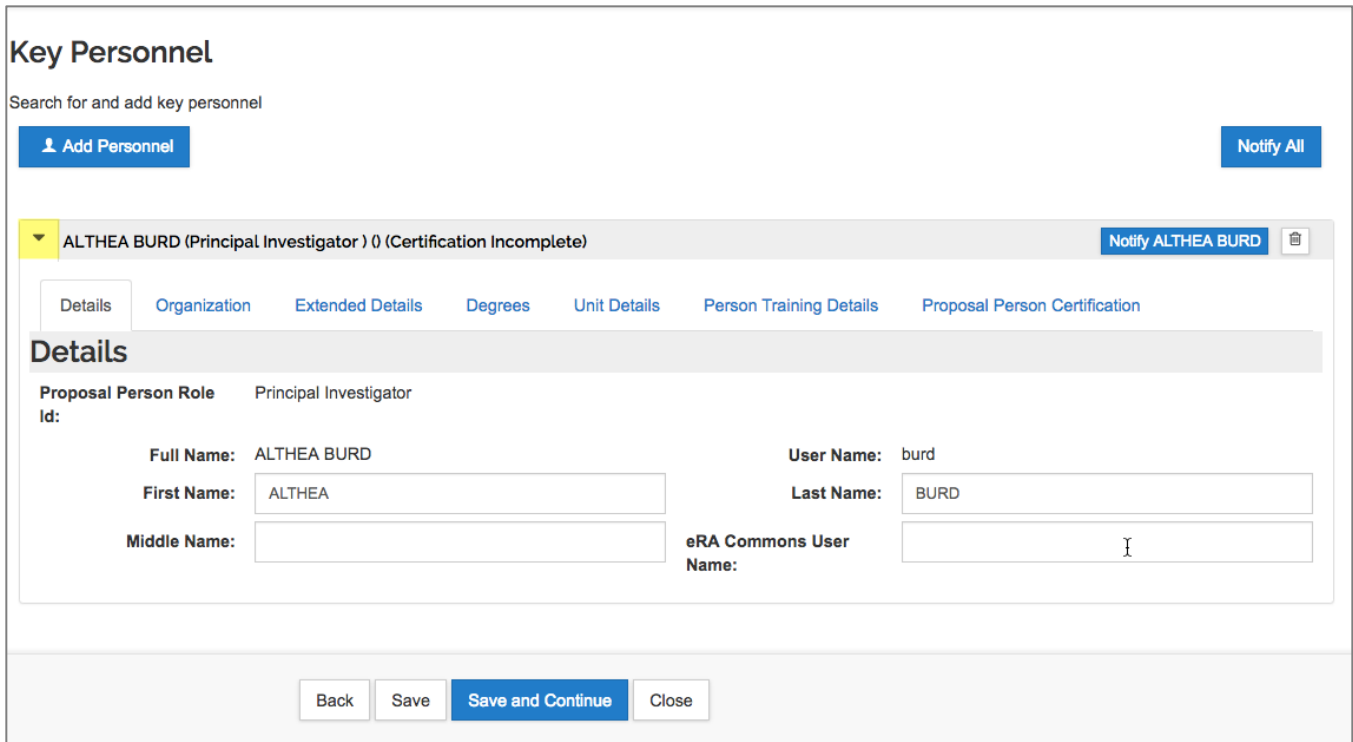
Notify ALTHEA BURD

6. The selected individual is added to the **Key Personnel** screen with seven tabs across the top (**Details, Organization, Extended Details, Degrees, Unit Details, Person Training Details** and **Proposal Person Certification**) that displays additional information about the individual.

Proposal Development Training Guide



Note: Click the  next to the **Person's** name to display the **Person Details** information.



The screenshot shows the 'Key Personnel' interface. At the top, there is a search bar and an 'Add Personnel' button. Below this, a list of personnel is shown, with one entry for 'ALTHEA BURD (Principal Investigator) 0 (Certification Incomplete)'. A 'Notify ALTHEA BURD' button is next to the name. Below the list, there are tabs for 'Details', 'Organization', 'Extended Details', 'Degrees', 'Unit Details', 'Person Training Details', and 'Proposal Person Certification'. The 'Details' tab is selected, showing the following information:


Proposal Person Role	Principal Investigator
Id:	
Full Name:	ALTHEA BURD
First Name:	ALTHEA
Middle Name:	
User Name:	burd
Last Name:	BURD
eRA Commons User Name:	

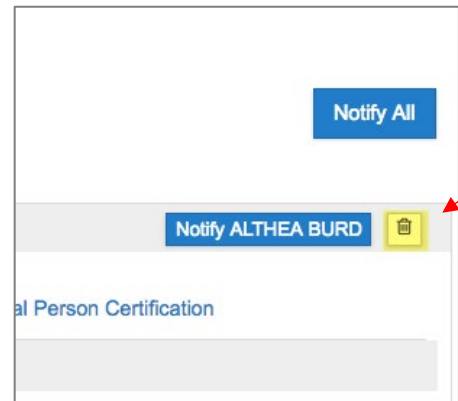
At the bottom of the form, there are buttons for 'Back', 'Save', 'Save and Continue', and 'Close'.

Figure 25 – Added Key Personnel

7. Click the **Save** button.



Note: To remove added **Key Personnel**, click the  located in the name header of the individuals.

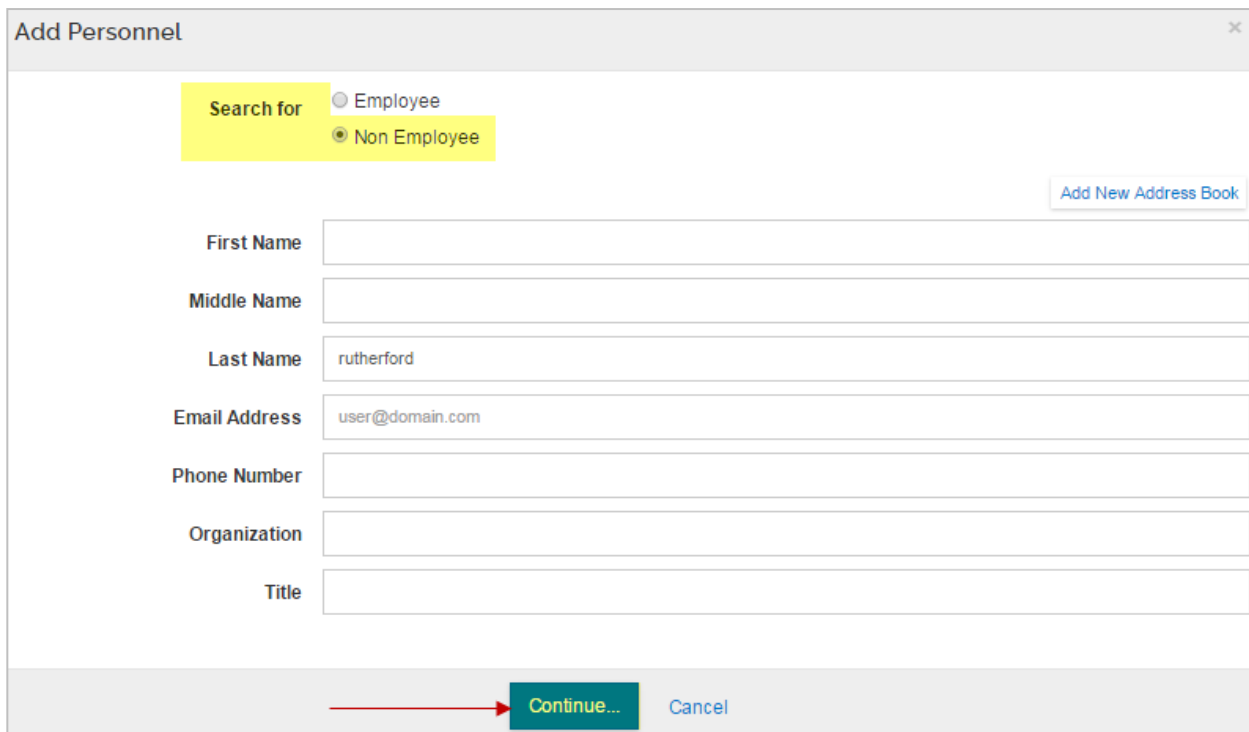


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The following section is for S2S (system-to-system) ONLY:

To add Key Project Person (non-CSU person; e.g. Subaward Investigator):

1. While in the **Personnel** subpanel, click the **Add Personnel** button. An **Add Personnel** window will open.
2. In the **Add Personnel** window, in the **Search for** section, select the **Non Employee** radio button.
3. Enter the search criteria for the Non-CSU person and click the **Continue** button.



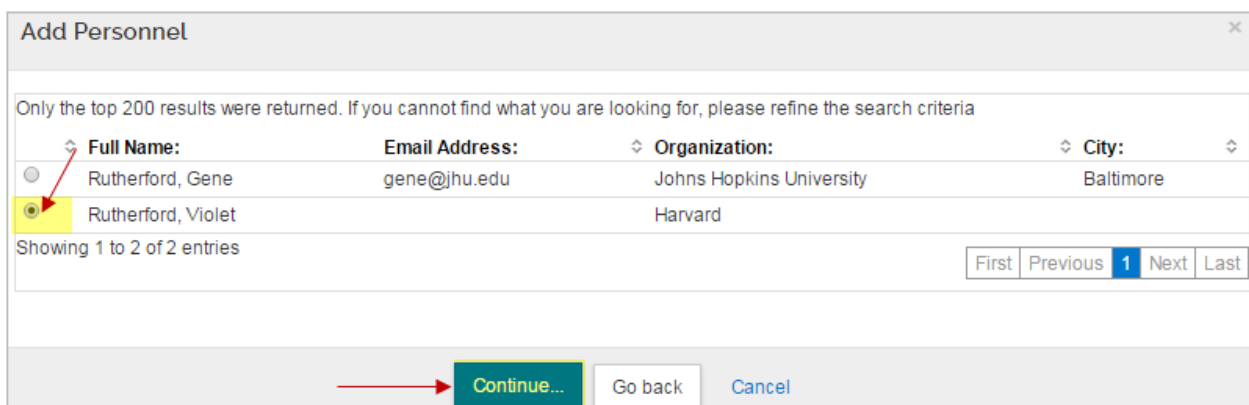
The screenshot shows the 'Add Personnel' window with the following fields and values:

- Search for:** Employee (unselected), Non Employee (selected)
- First Name:** (empty)
- Middle Name:** (empty)
- Last Name:** rutherford
- Email Address:** user@domain.com
- Phone Number:** (empty)
- Organization:** (empty)
- Title:** (empty)

Buttons: Add New Address Book, Continue..., Cancel. A red arrow points to the Continue... button.

Figure 26 – Adding Personnel Window

4. Select the **Non-CSU Person** from the search results by clicking the **radio button** next to the Full Name and click the **Continue** button.



The screenshot shows the 'Add Personnel' window with search results. The search criteria are: Full Name: Rutherford, Gene; Email Address: gene@jhu.edu; Organization: Johns Hopkins University; City: Baltimore. The search results table is as follows:

Full Name:	Email Address:	Organization:	City:
<input type="radio"/> Rutherford, Gene	gene@jhu.edu	Johns Hopkins University	Baltimore
<input checked="" type="radio"/> Rutherford, Violet		Harvard	

Showing 1 to 2 of 2 entries. Buttons: Continue..., Go back, Cancel. A red arrow points to the Continue... button.

Figure 27 – Search Results

5. In the **Assign a role** window, select the radio button next to the role you want to assign. In the case of adding Subaward Investigator, you should select the **Key Person** radio button,

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enter **Subaward Investigator** in the '**Key Person's role will be**' field, and click the **Add Person** button.



Figure 28 – Assigning Role

The selected individual is added to the **Key Personnel** screen with six tabs across the top (**Details, Organization, Extended Details, Degrees, Unit Details, and Person Training Details**) that displays the additional information about the individual.

6. Click on the **Extended Details** section heading. Find the **Directory Department** field, and enter the correct information for the non-employee (provided by the person, or found on his/her biosketch).
7. Click the **Save** button.

-- end s2s instructions for non-CSU person --



Note: For two or more Key Persons, use the **Up** and **Down** arrows   to sort. Kualu Research will print the names listed on the forms in the order in which they appear on this panel.

Adding Principal Investigator – Exercise 7

Now let's practice adding personnel – the principal investigator.

Adding PI and Key Personnel Information	
Step No.	Instructions
1	While in the Proposal, click Key Personnel → Personnel subpanel.
2	<p>Add the PI in the Key Personnel screen:</p> <p style="padding-left: 40px;">Click the Add Personnel button</p> <p style="padding-left: 40px;">In the Add Personnel window:</p> <p style="padding-left: 80px;">Select Employee radio button</p> <p style="padding-left: 80px;">Last Name: "____" your PI last name or portion of last name</p>

Adding PI and Key Personnel Information	
Step No.	Instructions
	<p>Click the Continue button</p> <p>In the Search Results window: Select the radio button for your PI name Click the Continue button</p> <p>In the Assign a role window: Select the radio button for Principal Investigator Click the Add Person button.</p>
3	Click the Save button at the bottom of the page.

Update Details for Key Personnel – Instructions

Sometimes it is necessary to update the unit details that automatically pull in when the Investigators and Key Persons are added.

The unit(s) associated with the Investigators and Key Persons will determine which approvers the proposal will route to. For the PI, the proposal lead unit is listed by default, and cannot be deleted, but additional units can be added. For co-Is and Key Persons, unit information is fully editable.

To update the details for your **Key Personnel**:

1. While in the **Key Personnel** screen, click the arrow to expand the person details.

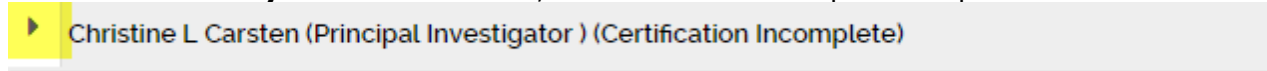


Figure 29 Person line item (collapsed)

2. Click on one of the tabs (**Details**, **Organization**, **Extended Details**, **Degrees**, **Unit Details**, **Person Training Details**) for individuals added, which display additional information about the person.
 - a. For example, to modify the **Unit Information** (e.g. if the proposal should route to additional units for approval), click the **Unit Details** tab.

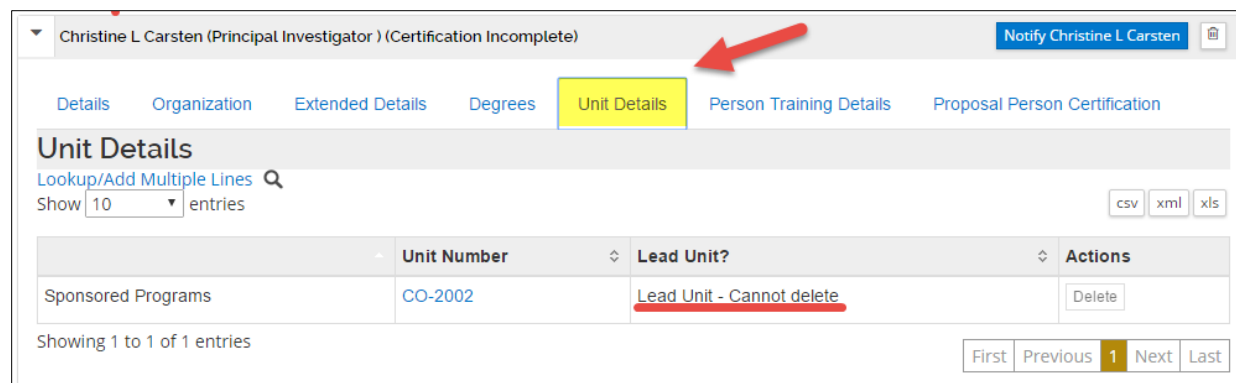


Figure 30– PI **Unit** Details

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Note: The default unit for the individual will be listed.

- If the proposal should route to additional units for approval, click the **Lookup/Add Multiple Lines** link and search for and return the Unit(s) you want to add.

Figure 31 – Adding Unit(s)

- Alternatively, if a Unit is listed that should not be included in the routing for approval, click the **Delete** button in the **Actions** column for the Unit to remove.
- Click the **Save** button.



Note: Unit details are not automatically enabled for Key Person role. They must be manually added in order for the Key Person’s unit approvers to be added to the route log.

- Use the lookup to find and return the applicable department for a Key Person.

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The information in the **Details, Organization, Extended Details, Degrees, and Person Training Details** tabs can also be updated (as needed for each individual listed).



Note: Adjustments made to the information in these tabs are applicable **only** to this proposal.

Updating Key Personnel Details – Exercise 8

Updating Key Personnel Details	
Step No.	Instructions
1	Open the Personnel for the PI , click the Unit Details tab.
2	In the Unit Details tab: Click the Lookup/Add Multiple Lines link In the Unit Lookup window enter: Unit Number: (enter a unit here) Click the Search button In the Search Results window: Select the checkbox for the unit that was selected Click the return selected button
3	Click the Save button.

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Proposal Person Certification

CSU requires all key personnel to answer the certification questions. All CSU employees will automatically have the Proposal Person Certification section in their key person line item.

Sending Certification Request – Detailed Instructions

The Key Personnel listed in your proposal can complete the self-certification in Quali Research before the proposal is submitted for review, but if it not completed before the proposal is routed for approvals, it **MUST** be completed at the PI/co-I/Key Person approval stop.

To send Certification Request:

1. While in the **Key Personnel** screen, click the **Notify (PI Name)** button, to send an email notification to an individual Investigator regarding required certification.

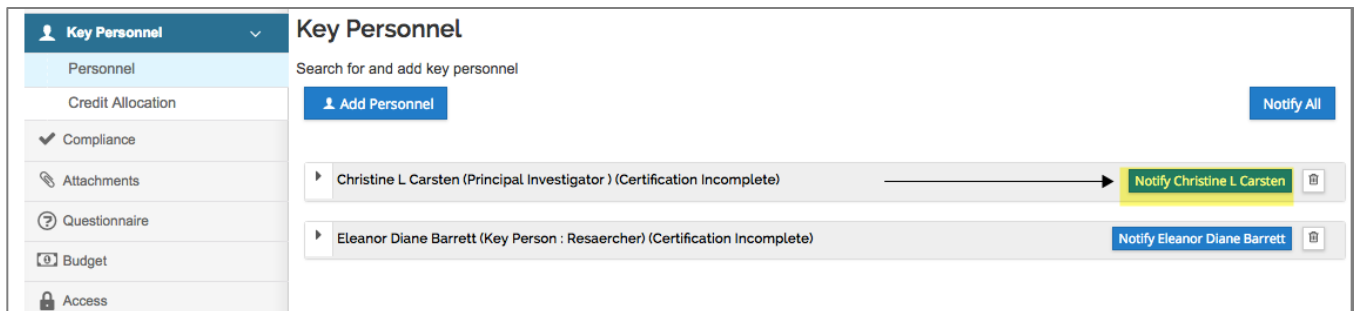


Figure 32 – Notify Specific Individual

2. The **Notify All** button will notify all individuals who are required to be certified. An email will appear in the PI’s mailbox. Select the individuals to whom you want to send the Certification Notification to, by selecting the appropriate **checkbox** next to the person’s name, and then click the **Notify** button.

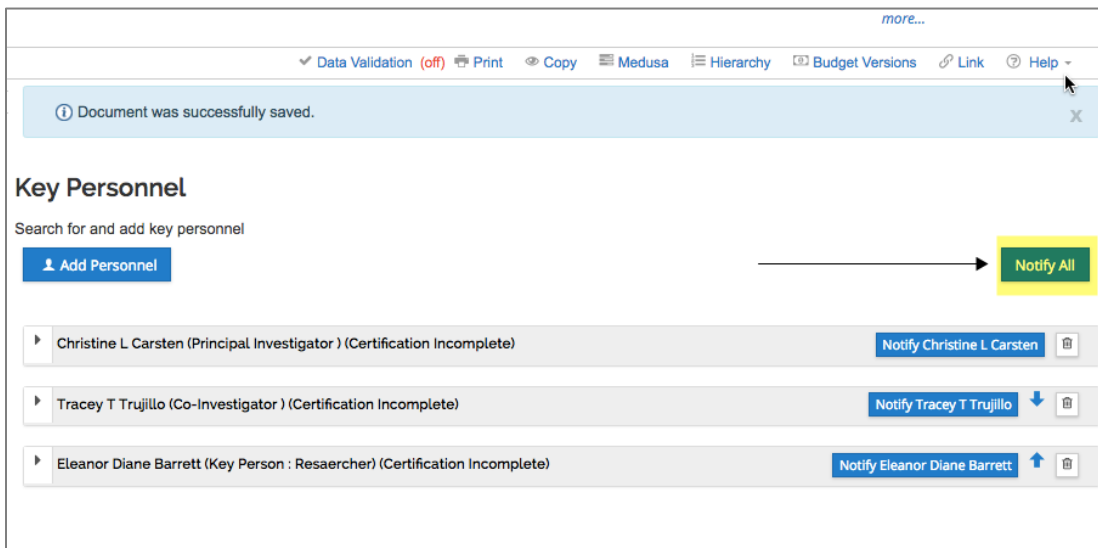


Figure 33 – Notify All Personnel

Investigators selected for notification will receive an email requesting they complete the certification for the proposal. The email contains a direct link to certify the proposal in KC.

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- All required Certifications **must** be completed either prior to routing or at the PI/co-I/Key Person approval stop. Return to the **Key Personnel** screen to monitor progress, and send repeated notifications if necessary.

A **Certification Complete** message next to the person's name indicates the Investigator/Key Person has completed the Certification.

The screenshot shows the 'Key Personnel' section of a software interface. At the top, there is a search bar with the text 'Search for and add key personnel'. Below the search bar are two buttons: 'Add Personnel' (with a person icon) and 'Notify All'. A dropdown menu is open, showing a list of personnel. The first entry is 'Christine L Carsten (PI/Contact)' with a yellow highlight and a message: '(Certification Completed and Answered By ccarsten@colostate.edu - 03/21/2017 04:06 PM)'. To the right of this entry is a 'Notify Christine L Carsten' button and a small icon.

Figure 34 – Certification Complete

Sending PI Certification Request – Exercise 9

Sending PI Certification Request	
Step No.	Instructions
1	While in the Key Personnel panel, click the Notify All Button
2	In Notify All window: Click the checkbox for the PI Click the Notify Button
3	If this were a production system, the PI would get both an email and an action in the action list instructing he or she to certify the proposal.

NOTE: The **Notifications History** section will show a table of all notifications sent from within the proposal record (e.g., notify key person, ad hoc).

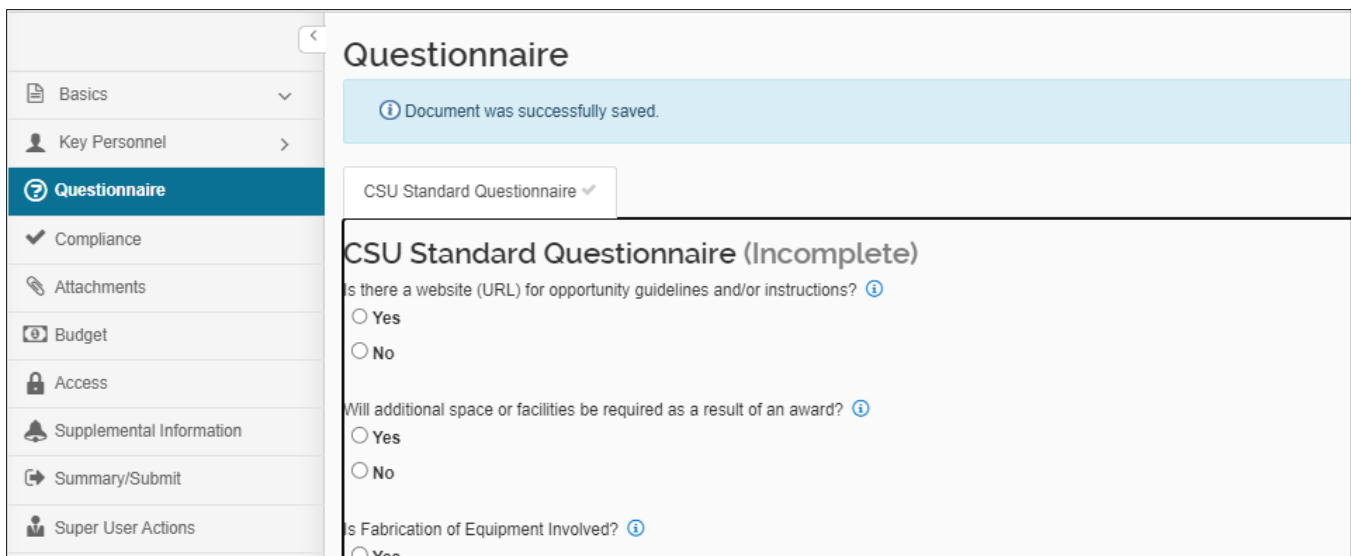
Completing the Questionnaire(s) – Detailed Instructions

The CSU Standard Questionnaire must be completed for all proposals. For S2S proposals, additional questionnaires may display.

To complete the Questionnaire:

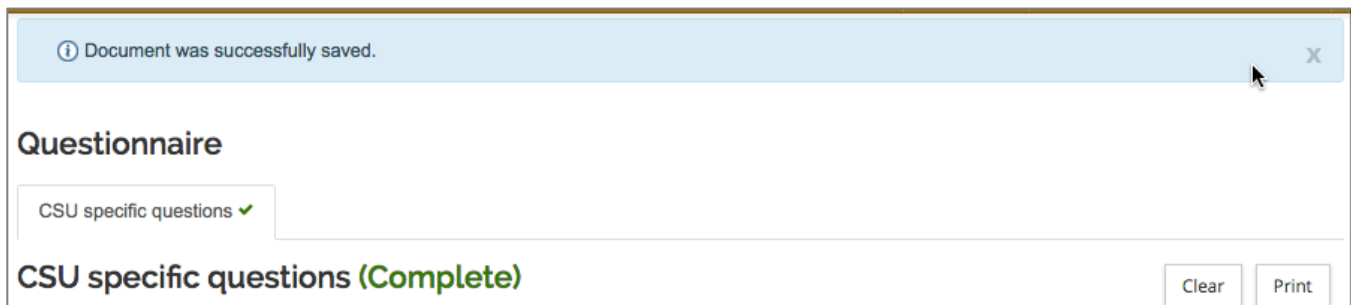
- Click on the **Questionnaire** panel on the **Navigation** panel.
- The **Questionnaire** screen will display.

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The screenshot shows a web interface for a questionnaire. On the left is a navigation sidebar with items: Basics, Key Personnel, Questionnaire (highlighted), Compliance, Attachments, Budget, Access, Supplemental Information, Summary/Submit, and Super User Actions. The main content area is titled 'Questionnaire' and shows a dropdown menu for 'CSU Standard Questionnaire'. Below this, the title 'CSU Standard Questionnaire (Incomplete)' is displayed. The form contains several questions with radio button options: 'Is there a website (URL) for opportunity guidelines and/or instructions?' (Yes/No), 'Will additional space or facilities be required as a result of an award?' (Yes/No), and 'Is Fabrication of Equipment Involved?' (Yes/No). A blue notification bar at the top says 'Document was successfully saved.'

3. Answer all the required questions, and click the **Save** or the **Save and Continue** button.



This screenshot shows the completed questionnaire. A blue notification bar at the top says 'Document was successfully saved.' The main content area is titled 'Questionnaire' and shows a dropdown menu for 'CSU specific questions'. Below this, the title 'CSU specific questions (Complete)' is displayed in green. At the bottom right, there are two buttons: 'Clear' and 'Print'.

Figure 35 Completed Questionnaire

At this point the questionnaire can be printed or save as a PDF file.

Clicking the **Save and Continue** button will navigate to the next section/screen of the proposal (Budget).

If there are multiple questionnaires present, click the **Save** button and then navigate to the next questionnaire by clicking the appropriate Questionnaire Tab to answer those questions before proceeding to the next proposal section.

Adding Animal, Human, Biosafety Information - Detailed Instructions

The Compliance section is used to identify research that requires special review and approval, and records approvable status and information. **Discuss the statement of work with the PI to determine if any special reviews apply to this project.** A table listing the possible **Review Types** can be found in the table below. If applicable, choose a special review category (Human Subjects, Vertebrate Animals, etc.) as well as an approval option for that selection.

To add Special Review:

1. Click on **Compliance** in the left **Navigation** panel.

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2. Click the **Add compliance entry** button. The **Add Compliance Entry** window will open.

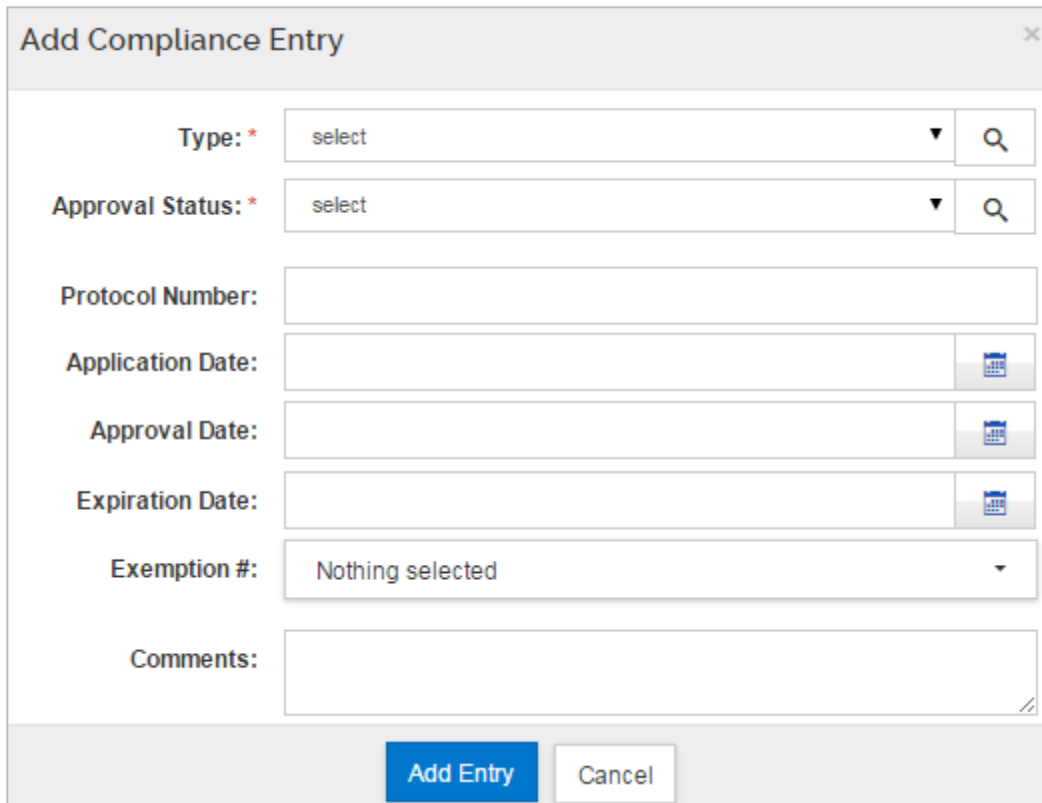



Figure 36 – Add Compliance Entry Window

3. From the **Type** drop-down, select the appropriate review category (e.g., Animal Subjects).

The available **Review Types** are:

Review Type	Description
Human Subjects	Projects that involve the use of Human Subjects must be registered and reviewed by the RICRO Institutional Review Board. (IRB)
Animal Subjects	Projects that involve the use of vertebrate animals, must be registered and reviewed by the RICRO's Animal Care and Use Committee. (IACUC)
Infectious Agents	Projects that involve the use of infectious agents, must be registered and reviewed by the Institutional Biosafety Committee. (IBC)
Human Tissue/Fluids	Projects that involve Human Tissue and/or Fluids need review by the RICRO IRB Office.
Controlled Substances	Project, that involve the use of Controlled substances be registered and reviewed by the Institutional Biosafety Committee. (IBC)

4. From the **Approval Status** drop-down, select the appropriate approval status (e.g. **Pending**).

 **Note:** At the proposal stage, most applicable compliance items (particularly Animal Subjects and Human Subjects) should be listed in **Pending** or **Not yet applied** status. Approvals and protocols are usually not required until the Award stage for the project. **Approved** status indicates that the protocol has been approved for this specific proposal.

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- Complete the **Protocol Number**, **Application Date**, **Approval Date**, and **Expiration Date** fields as appropriate.
- Select the **Exemption #** as appropriate. This number must be verified by the CSU IRB office.



Note: To add multiple Exemption numbers, select all the Exemption numbers that apply from the drop-down by simply clicking on them.

Figure 37 – Selecting Multiple Exemption Numbers

- Enter **Comments** as needed.
- Click the **Add Entry** button.
- To remove the added compliance entry, click the  next to the entry you want to delete.
- Click **Save** or the **Save and Continue** button.

Adding Compliance Information – Exercise 10

Step No.	Instructions
1	While in the Proposal, click Compliance in the left navigation column
2	Click the Add compliance entry button In the compliance entry window: Select: Human Subjects Approval Status: Pending Click the Add Entry Button
3	Click the Save Button

Adding Attachments & Abstracts – Detailed Instructions

The **Attachments** panel is an important part of the proposal preparation process. Here is where to upload files, such as proposal, personnel, and internal attachments, from your computer and attach to your electronic proposal.

Additionally, Abstracts and Notes (if needed) can be captured here. The **Attachments** panel is comprised of five tabs located at the top of the screen:

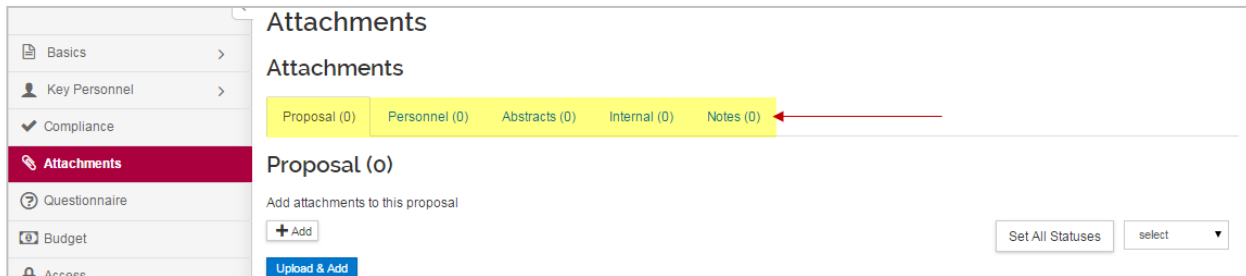


Figure 38 – Attachments Panel

Note: Read the sponsor instructions carefully for attachments’ guidelines, including the file format and length. Please follow sponsor or system specifications for filenames.

Note: Special characters in filenames will cause a warning to appear. This is related to s2s validations. The warning *does not* prevent the user from attaching a file, and *does not* affect routing or approval for non-s2s proposals.

The Attachments section provides two methods of uploading attachments:

- Via the **+Add** button that opens the attachment upload to add *one attachment*
- Via the **Upload & Add** button to upload *multiple attachments* at once.

Uploading Proposal Attachments

Generally, a **Proposal** attachment is information that is required to be submitted to the sponsor. Requirements are more strict for s2s proposals. Non-s2s proposals should have proposal attachments sufficient for the internal CSU review and approval processes.

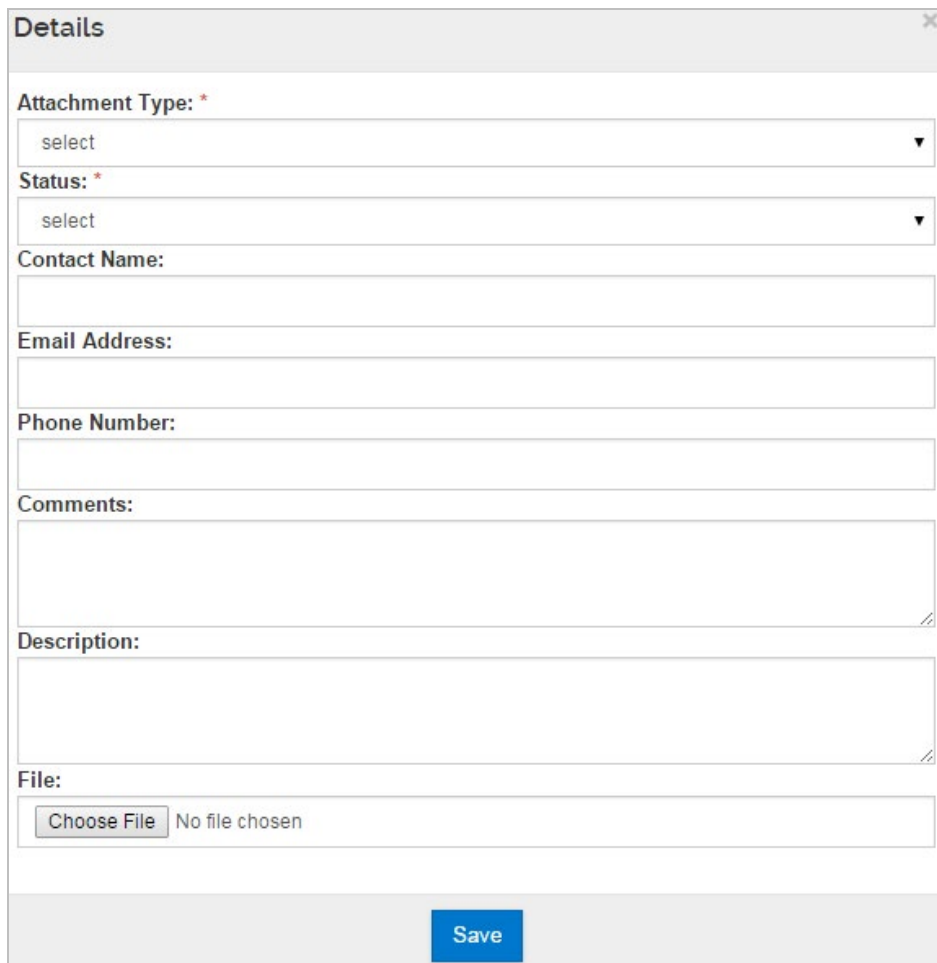
If information is for CSU reference or use only, use the **Internal** attachments section.

Upload and attach in the file format specified in the sponsor instructions for your opportunity. To avoid the validation warning, do not use special characters in filenames.

To upload Proposal Attachments utilizing the **+ Add** button:

1. Click on the **Attachments** panel on the **Navigation** panel.
2. In the **Proposal** tab, click the **+ Add** button. The **Details** window will open.

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The screenshot shows a 'Details' window for proposal attachments. It includes the following fields and controls:

- Attachment Type: ***: A dropdown menu with 'select' as the current value.
- Status: ***: A dropdown menu with 'select' as the current value.
- Contact Name:**: A text input field.
- Email Address:**: A text input field.
- Phone Number:**: A text input field.
- Comments:**: A text area.
- Description:**: A text area.
- File:**: A file upload control with a 'Choose File' button and the text 'No file chosen'.
- Save**: A blue button at the bottom center.

Figure 39 – Proposal Attachments Details Window

3. In the **Details** window, from the **Attachment Type** drop-down, select the attachment type being uploaded.



Note: For non-S2S Proposals, a standard set of attachment types will be listed. For S2S proposals, the dropdown list will contain the list of attachments required by the opportunity that has been attached to the proposal record.

4. From the **Status** drop-down, select whether the attachment is **Complete** or **Incomplete**.
5. Complete **Contact Name**, **Email Address**, **Phone Number**, and **Comments** fields as needed.
6. In the **Description** field, enter a brief description of the attachment being uploaded (e.g., Narrative with Scope and Budget).
7. Click the **Choose File** (Chrome) or **Browse** (Firefox) button. Your computer search window will open, locate the proposal attachment you want to upload and click the **Open** button.
8. Click the **Save** button to save the attachment and close out of the **Details** window.
9. The file will be added to the **Proposal** screen.

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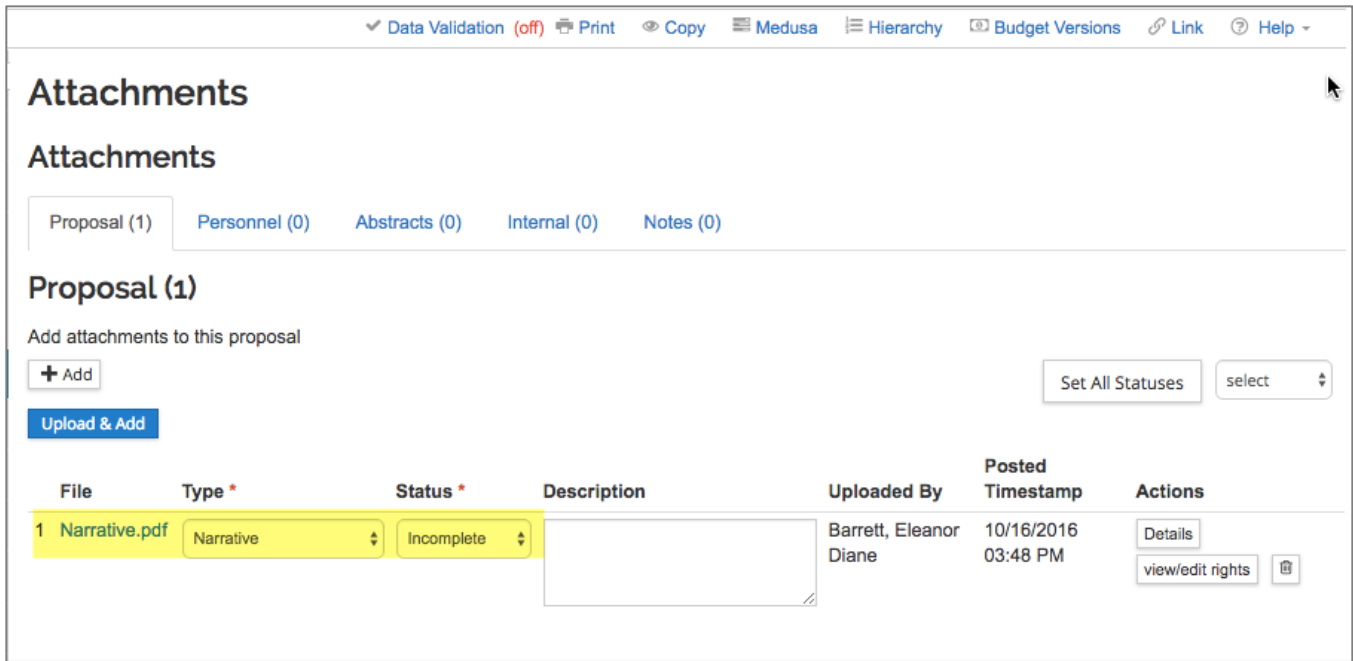


Figure 40 – Proposal Attachment

10. Click the [Save](#) button.
11. Repeat these steps to add more proposal attachments.



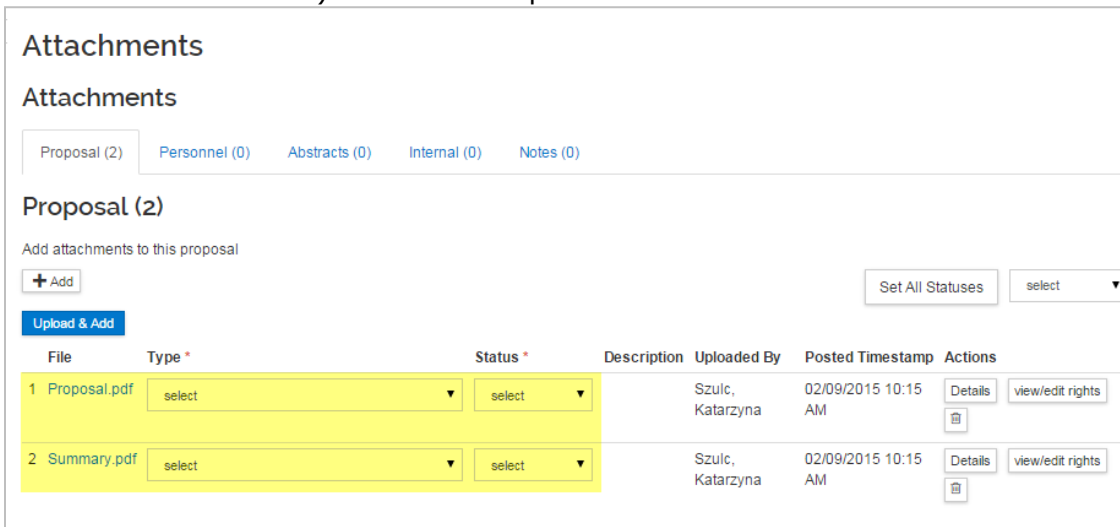
Note: Use the **Description** field to provide helpful reference information about the attachment. This is especially important when using a Type more than once.

To upload Proposal Attachments utilizing the [Upload & Add](#) button:

1. In the **Proposal** tab, click the [Upload & Add](#) button.
2. Locate/select the proposal attachment(s) you want to upload and click the [Open](#) button. The file(s) will be added to the **Proposal** screen.



Note: Use the appropriate multi-click option for your computer (ex. Ctrl-click for PC vs. Command-click for Mac) to select multiple files at one time.



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3. From the **Type** drop-down, select the attachment type being uploaded.
4. From the **Status** drop-down, select whether the attachment is Complete or Incomplete.



Note: If Attachment Type is allowed to be used multiple times (e.g., "Other") you must enter information in the **Description** field, either typing directly into the field, or clicking on the **Details** button in the Actions column for the attachment to open a lightbox for easier editing of multiple fields.

5. Click the **Save** button.
6. Repeat these steps to add more Proposal attachments.
7. For items uploaded in groups, the status can be set for all items at the same time:
 - o Click the **select** dropdown button
 - o Choose one of the status options
 - o Click the **Set All Statuses** button

Uploading Personnel Attachments

For submitting proposals using s2s functionality, some sponsors require **Personnel** Attachments, such as a Biosketch (aka CV) and/or Current & Pending documents. Please make sure to check the instructions for your opportunity. These attachments may be required for non-S2S proposals based on sponsor instructions that require additional OSP due diligence.

To upload Personnel Attachments utilizing the + Add button:

1. While in the **Attachments** panel, click the **Personnel** tab.
2. In the **Personnel** tab, click the + **Add** button. The **Details** window will open.

The screenshot shows a 'Details' window for adding personnel attachments. It includes a 'Person' dropdown, a 'Type' dropdown, a 'Description' text area, and a 'File' section with a 'Choose File' button. A 'Save' button is located at the bottom.

Figure 41 – Personnel Attachments Details Window

3. In the **Details** window, from the **Person** drop-down, select the individual for whom you are uploading the attachment.

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- From the **Type** drop-down, select the attachment type being uploaded (e.g. Biosketch, Current pending, etc.).
- In the **Description** field, enter a brief description of the attachment being uploaded (e.g. PI Biosketch).
- Click the **Choose File** button. Locate the personnel attachment to upload and click the **Open** button.
- Click the **Save** button to save the attachment and close out of the **Details** window.

The file will be added to the **Personnel** screen.



Note: The individuals available in this drop-down list are the individuals listed in the **Key Personnel** panel.

The screenshot shows the 'Attachments' panel with the 'Personnel' tab selected. A table lists one attachment:

File	Person *	Type *	Description	Uploaded By	Posted Timestamp	Actions
1 Biosketch.pdf	Christine L. Carsten	Biosketch		Carsten, Christine L	11/03/2016 04:13 PM	Details

- Click the **Save** button.

Repeat these steps to add more Personnel attachments. Remember that personnel attachments also identify which person the attachment is related to.

Alternatively, you can click the **Upload & Add** button to upload personnel attachments (multiple at a time).

To upload Personnel Attachments utilizing the **Upload & Add** button:

- While in the **Attachments** panel, click the **Personnel** tab.
- In the **Personnel** tab, click the **Upload & Add** button.
- Locate/select the personnel attachment(s) you want to upload and click the **Open** button.

The screenshot shows the 'Attachments' panel with the 'Personnel' tab selected. A table lists two attachments:

File	Added By	Person *	Type *	Description	Uploaded By	Posted Timestamp	Actions
1 BiosketchPI.pdf	kszulc (02/09/2015 10:23 AM)		select		Szulc, Katarzyna	02/09/2015 10:23 AM	Details
2 CurrentPendingSupport.pdf	kszulc (02/09/2015 10:23 AM)		select		Szulc, Katarzyna	02/09/2015 10:23 AM	Details

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Note: Use the appropriate multi-click option for your computer (ex. Ctrl-click for PC vs. Command-click for Mac) to select multiple files at a time.

4. From the **Person** drop-down, select the individual for whom you are uploading the attachment.
5. From the **Type** drop-down, select the attachment type being uploaded (e.g. Biosketch, Current pending, etc.).
6. Click the **Save** button.

Repeat these steps to add more personnel attachments.



Note: The individuals available in this drop-down list are the individuals listed in the **Key Personnel** panel.

Adding Abstracts – *Optional* for non-S2S Submissions

Abstracts are required for S2S submissions to certain agencies such as NSF. You may copy and paste text into this screen (copy from a text-only editor to avoid hidden special characters). Abstracts include: Relevance, Reviewers Not to Include, Deviation Authorization, Project Summary, Technical Abstract, Layman Abstract, Labs, Clinical, Animal, Computer, Office, Other Facilities, Equipment, Other Resources, Suggested Reviewers, Publications, and Areas of Research.

To add Abstracts:

1. While in the **Attachments** panel, click the **Abstracts** tab.
2. Click the **Add Abstract** button. The **Add Line** window will open.
3. Select the **Abstract Type** from the **Abstract Type** drop-down and enter the abstract text in the **Abstract Details** field.
4. Click the **Add** button to add the **Abstract** to your proposal.
5. The Abstract will be added to the **Abstracts** screen.

Attachments				
Proposal (2)	Personnel (1)	Abstracts (1)	Internal (1)	Notes (0)
Abstracts (1)				
	Author	Abstract Type	Abstract Details	Actions
1	kszulc (01/19/2015 07:21 PM)	Layman Abstract	Proposal Development	Details

Figure 42 – Added Abstract

6. Click the **Save** button.

Repeat these steps to add more Abstracts as needed.

Replace Attachments – Detailed Instructions

Attachments can be replaced while the proposal is still being developed or while the proposal is routing, by users with either Aggregator or Narrative Writer roles.

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1. Choose the attachment that needs to be replaced.
2. Click the **Details** button.

Figure 43 - Attachment line item

3. In the lightbox that opens, in the **New File** field (very bottom) click the **Choose File** button.

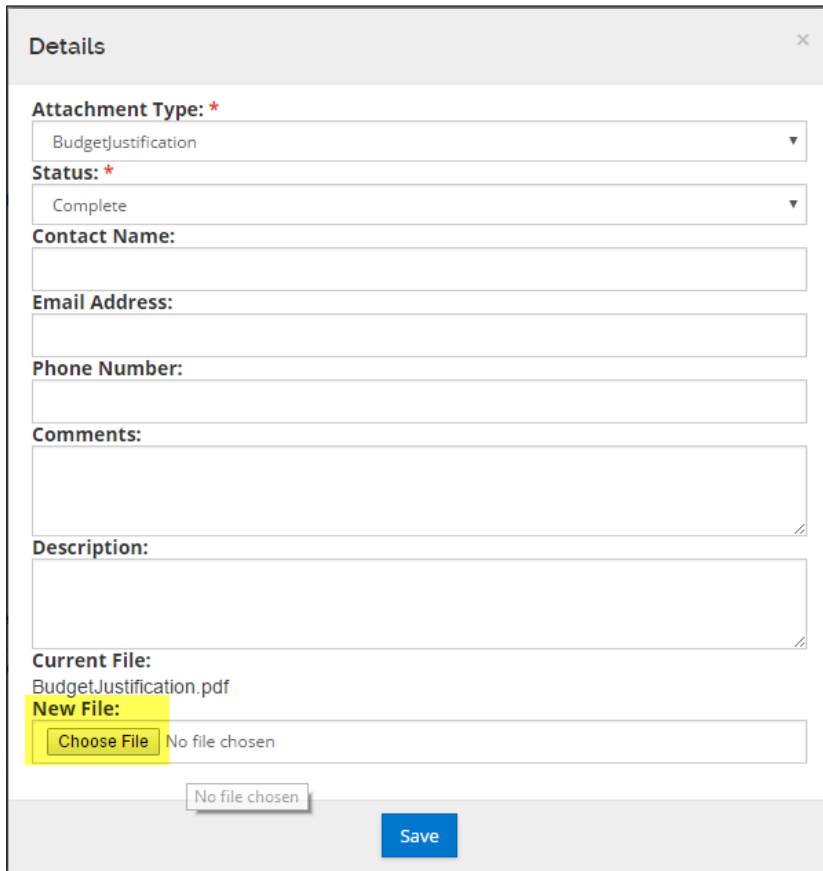
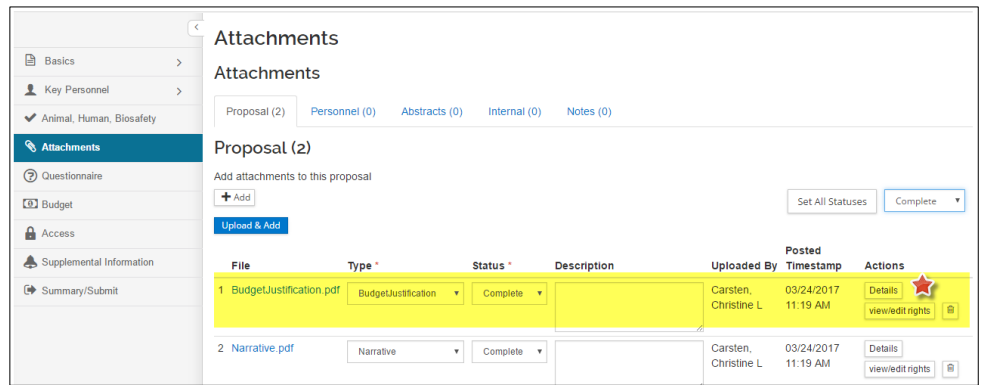


Figure 44 - Attachment Details

4. This opens a dialog box on your computer. Navigate to the location of the replacement file.
5. Click the filename, then click **Open** to choose the file. (Double-click also works).
6. The dialog box will close, and the name of the new file will now appear in the **New File** field.

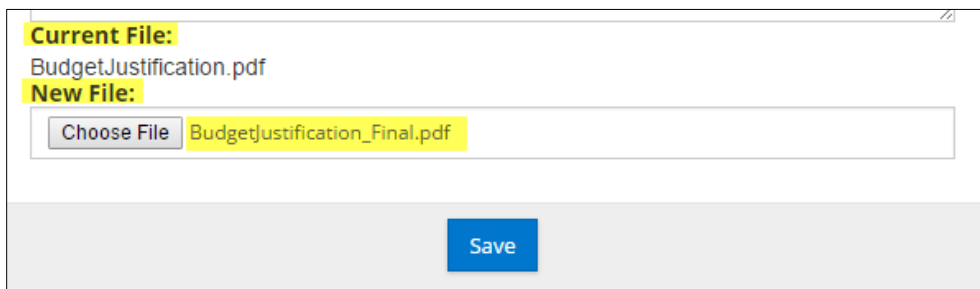


Figure 45 - New File field after replacement file chosen

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7. Click **Save** to close the lightbox.
8. Click **Save** at the bottom of the Attachments window to confirm the change.

Adding Attachments – Exercise 11

In this scenario, add the Proposal (PDF of the Application) and Internal Attachments (Cost Sharing form, Subaward documents, and copy of RFP) to your proposal. If you are doing this exercise outside of a classroom training, practice with any files you have available on your computer.

Enter the information, as exemplified below:

Step No.	Instructions
1	While in the Proposal, click the Attachments panel.
2	In the Attachments screen → Proposal tab: Click the + Add button In the Details window: Type: Narrative Status: Complete Description: Narrative with Scope and Budget Click the Choose File from your computer and upload Click the Save button.
3	In the Attachments screen → Internal tab: Click the Upload & Add button In your computer search window: Locate the appropriate PDF files: Click the Open button Add to Internal screen: List the names of each document type Click the Save button.

Assigning Access – Detailed Instructions

Other qualified users can assist you with the preparation of your proposal. Once the Proposal is initiated in Kualu Research, you give others full access to edit all sections of your proposal, limit their role to edit the budget, narrative, or to view the proposal.

To add users to your proposal, they must have access to the Kualu Research application.

To assign Access Roles:

1. While in the Proposal, click the **Access** panel from the left navigation panel.

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- To add a user, click the **Add User** button. The **Add Permission** window will open, this is where you should enter the search criteria for the individual and then click the **Continue** button.



Note: Search for the user by last name in the **Last Name** field i.e., *Johnson* (to search for all users with the last name Johnson). If the person cannot be found, contact your OSP System Administrator.

- From the search results displayed, select the individual you want to grant a role on this proposal by clicking the radio button next to the person's name.
- Then, in the **Assign a role** screen, select the proposal role you want to assign to the user selected in the prior step.

Click the **Add Permission** button.

Add Permission

Assign a role

- Aggregator Only Document Level
- Budget Creator Only Document Level
- approver Document Level
- Viewer Document Level
- Budget Creator Document Level
- Narrative Writer Document Level
- Aggregator Document Level
- Access_Proposal_Person_Institutional_Salaries Document Level
- Delete Proposal Document Level
- View Institutionally Maintained Salaries Document Level

Add Permission Go back Cancel

Figure 46 – Adding User

- The user will be added with **edit** and **delete** buttons available in the **Actions** column.
- To modify user's assigned role, click the **edit** button and make the necessary changes. Make sure to click the **Save** button in the **Actions** column once you are finished making the change.

Permissions

Add User

User Name	Roles	Actions
ccarsten@colostate.edu	Aggregator Document Level	Edit Delete
astahle@colostate.edu	Budget Creator Document Level	Edit Delete

Figure 47 Modify user buttons

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7. To remove a person from an assigned role/permission section, click the [delete](#) button.



Note: A proposal document must have at least one aggregator.

8. Repeat these steps to add assigned proposal roles to other users.

9. Click the [Save](#) button or the [Save and Continue](#) button at the bottom of the screen.

Proposal Access roles	Use Case
Access_Proposal_Person_Institutional_Salaries Document Level	DO NOT USE
Aggregator Document Level	Full edit permissions, including budget rates, plus submit to review permission
Aggregator Only Document Level	Full edit permissions, except for budget rates, plus submit to review permission
approver Document Level	DO NOT USE
Budget Creator Document Level	Permission to create and edit budget versions, plus view proposal data
Budget Creator Only Document Level	Permission to create and edit budget versions, except for rates, plus view proposal data
Delete Proposal Document Level	DO NOT USE
Narrative Writer Document Level	Permission to add/replace/delete attachments, plus view proposal data
View Institutionally Maintained Salaries Document Level	N/A to public institutions of higher education
Viewer Document Level	Permission to view all sections of a proposal

Assigning Access (role-based permissions) – Exercise 12

In this scenario, assign the Budget Creator role on your proposal to another CSU Employee. Use the following information:

Step No.	Instructions
1	While in the Proposal, click the Access panel.
2	In the Permission screen: Click the Add User button In the Add Permission window, search for and return a user Assign a role: Budget Creator Document Level Click the Add Permission button
3	Click the Save button at the bottom of the Permissions screen.

Supplemental Information

Brief Synopsis

The **Brief Synopsis** field replaces keywords as part of proposal development and data collection.

The University will use data in support of the VPR's data analytics initiative to understand the research portfolio, identify areas of current and potential collaboration, and target opportunities for researchers.

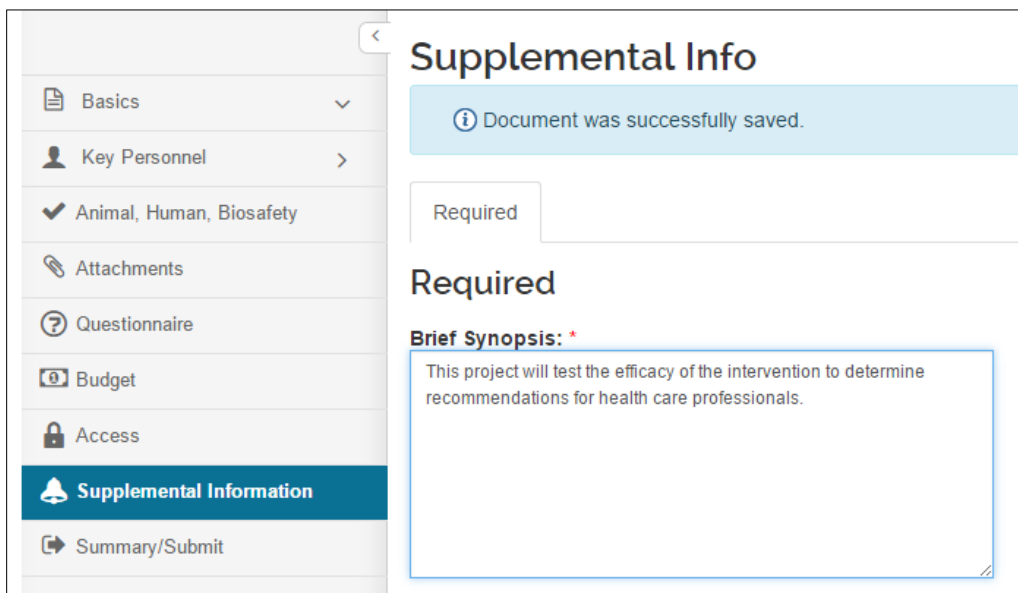


Figure 48 - Brief Synopsis with sample text

This field has a 500-character limit, which is usually sufficient space for a 30-word description of the project.

This field can also be used to capture keywords for the project not already included in the title.

Examples include:

- Strategic initiatives (e.g., infectious disease, clean energy, etc.)
- International aspects of the project (e.g., collaborators, geographic locations)
- Key words or phrases that provide additional context for the proposal (e.g., vector-borne, smart grid, diagnostic test, photovoltaic, etc.)
- Subject-matter-related terms facilitating collaboration outside of college/department boundaries

Sources of information for this field can include any documents already being developed for the proposal, like a project summary or abstract, scope of work, or simplified project description that will be submitted to the sponsor.

Research Type

The Research Type must be consistent with the Proposal Activity Type (i.e., Research Activity Type must correspond to one of the research types in the dropdown).

- **Basic** = research that fills in the knowledge we don't have; it tries to learn things that aren't always directly applicable or useful immediately.

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- **Applied** = research that seeks to answer a question in the real world and to solve a problem.
- **Developmental** = systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

For non-Research activity types (e.g., Other (Public Service)), choose 'Not Research'.

Notifications History

When system notifications are sent, the Notification History section populates with details of each message. This is a way to check/confirm that key personnel have been notified to complete the proposal person certification questions.

Document was successfully saved.

Notifications History

Date Created	Recipients	Subject	Message
05/20/2020 09:47 AM	ccarsten@colostate.edu	All Proposal Persons Certification Completed for 146372	All of the Proposal Person Certifications are completed. Follows: Document Number: 22522230 Proposal Number: 146372 Proposal Title: CLC.17May2020 PRD upgrade testing Principal Investigator: Christine L Carsten Lead Unit: CO-2002 - Sponsored Programs Sponsor: 001777 - HHS-NIH-National Institutes of Health Deadline Date:
05/17/2020 09:05 AM	aakers@colostate.edu	Regarding your involvement in Development Proposal CLC.17May2020 PRD upgrade testing	Please review the following proposal by clicking on Proposal answer the certification questions if you agree to participate Proposal Details as follows: Document Number: 22522230 Proposal Number: 146372 Proposal Title: CLC.17May2020 PRD upgrade testing Principal Investigator: Roy Allen Akers Jr Lead Unit: CO-2002 - Sponsored Programs Sponsor: 000000 - Sponsor Not Found - Contact OSP Deadline Date:

The proposal number is a hyperlink that can be copied/pasted into a browser tab or window by the applicable Recipient to complete Proposal Person Certification questions

Figure 49 Notifications History page

TIP: To complete the Proposal Person Certification questions for an 'in progress' (editable) proposal, the link to the specific Key Person's questions can be copied from the notification history entry and pasted into a secure browser tab or window.

Validating Proposal – Detailed Instructions

Using data validation at any point in the proposal development process will identify errors or warnings. Errors will prevent the proposal from being submitted to routing.

- If the proposal contains a budget, mark your budget as **Complete** and **'Include for Submission'**
- **Validate** for any issues and review for proposal completeness
- **Submit for Review.**

To run the Proposal Validation checks:

1. While in the **Proposal** screen, click the **Data Validation** link located at the top of the screen.

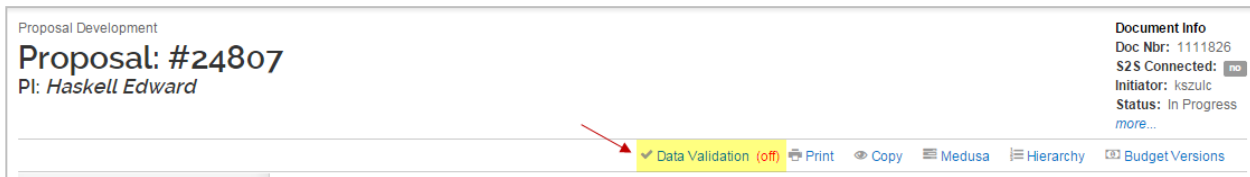


Figure 50 – Data Validation

2. The **Data Validation** window will open. If you see a message in the window that states, **"Data Validation is currently off"** click the **Turn On** button.



Figure 51 – Turning on Data Validation

3. If Errors and/or Warnings on the proposal, they will be displayed.

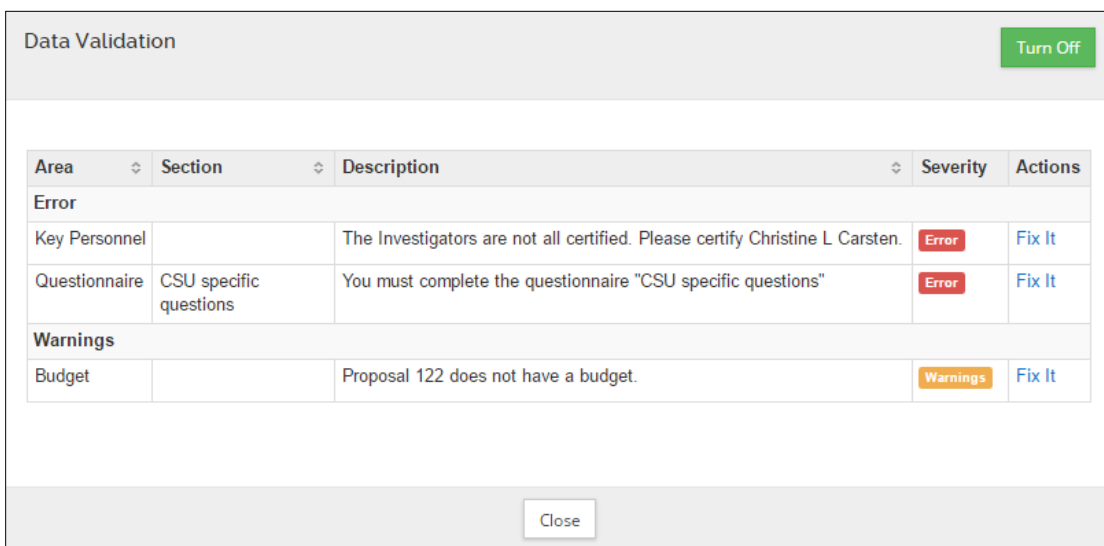


Figure 52 – Validation Errors/Warnings

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Next to each Error/Warning you will see a **Fix It** link that appears in the **Actions** column. When you click **Fix It**, it will bring you to the section of the Proposal where the error/warning is appearing.

If you receive **Error(s)**, user **must make corrections** and validate again to confirm the error has been fixed. You will not be allowed to submit a proposal with an error.

If you receive **Warning(s)**, review to see if there are corrections that can be made. The system will allow a proposal to be submitted with a warning, but a budget is required for all full proposals being reviewed by CSU Sponsored Programs.



Note: Validations also take place when you click the **Submit to Routing** button.

Validating the Proposal – Exercise 13

In this scenario, set data validation to “on” for your proposal. Enter the information as show below:

Step No.	Instructions
1	While in the proposal screen, click Data Validation located on top of the screen in the menu bar
2	In the Data Validation link: Click the Turn On button
3	Review the displayed errors/warnings, if any.
4	Click the Fix It button link for one of the errors/warnings

Reviewing Proposal Summary – Detailed Instructions

The Proposal Summary is used by Approvers during the approval process for an overview of essential proposal data.

To review Proposal Summary:


1. Click on the **Summary/Submit** panel on the **Navigation** panel. The **Submit/Proposal Summary** screen will display with tabs at the top of the screen. Each tab stores a summary of information that was entered in the various parts of the KC Proposal.
2. Click each tab to view the information in that particular tab.

The screenshot shows the 'Submit' screen with a navigation sidebar on the left and a main content area. The sidebar includes options like Basics, Key Personnel, Animal, Human, Biosafety, Attachments, Questionnaire, Budget, Access, Supplemental Information, and Summary/Submit (which is highlighted). The main content area has a status bar at the top indicating 'Document was successfully saved.' Below this is a progress bar with three stages: 'Saved' (active), 'Routing', and 'Approved'. A tabbed interface is visible with tabs for 'Proposal Summary', 'Personnel', 'Animal, Human, Biosafety', 'Attachments', 'Questionnaire', 'Supplemental Info', and 'Budget Summary'. The 'Proposal Summary' tab is active, displaying a table of proposal details:

Title	Subaward
Principal Investigator	Jeffrey Robert Pierce
Lead Unit	CO-1371 - Atmospheric Science
Activity Type	Research
Proposal Number	135118
Project Start Date	07/01/2017
Project End Date	06/30/2020
Include Subaward(s)?	Yes
Sponsor Name	NSF-National Science Foundation
Sponsor Deadline Date	04/30/2017
Sponsor Deadline Type	Receipt

At the bottom of the screen, there are several action buttons: 'Submit to Routing', 'Ad Hoc Recipients', 'View Route Log', 'Cancel proposal', 'More Actions', and 'Close'.

Figure 53 – Proposal Summary Screen

 **Note:** For proposal approvers, the answers to the PI Certification questions appear only in the **Summary/Submit Personnel** section. (i.e., The questions/answers are not viewable by approvers in the proposal Key Personnel section.)

Submitting Proposal for Review – Detailed Instructions

When you are ready to submit your proposal for approvals,

- OSP should have already reviewed the budget that was marked **Complete**, and marked it **'include for submission'**
- Review Data Validation to insure issues have been resolved
- click **Submit for Review**



Note: A proposal cannot be submitted to routing if there are validation errors. Once the proposal is submitted into routing, the proposal is locked -- no edits to data fields are allowed by the system. For budget issues or missing attachments found during the routing process, the proposal must be returned to the aggregator for edits, updates, and/or corrections. OSP Administrators have permission to make data overrides (corrections) for a limited set of fields.

To submit proposal to routing:

1. Click on the **Summary/Submit** panel on the **Navigation** panel. The **Submit/Proposal Summary** screen will display with tabs at the top of the screen. Each tab stores a summary of information that was entered in the various parts of the Proposal. Other action buttons will also appear at bottom of the screen.
2. Click the **Submit for Review** button.

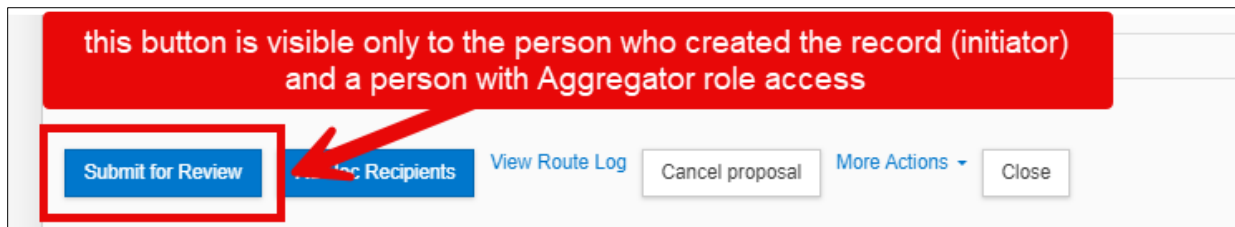


Figure 54 – Submit for Approvals



Note: When you click the **Submit for Review** button, the validations will be performed on the proposal and if any errors or warnings are present, they will be displayed. As mentioned previously, all errors will need to be fixed before a proposal can be routed for approval. Warnings should be evaluated on a per-proposal basis. A budget is required for a full proposal.

The following action buttons are displayed in the Summary/Submit screen:

Action Button	Description
Submit for Review	Starts the proposal into workflow for review and approval.
View Route Log	Displays the routing log/map.
Cancel Proposal	Only works when the Proposal is 'In Progress' status. Will take the proposal out of "In Progress" and moves to "Cancelled" status. A cancelled proposal cannot be edited.
More Actions	<i>Send Notifications:</i> can be used to communicate with other proposal aggregators, PIs, department and college personnel, or OSP regarding the proposal. <i>Reload Proposal:</i> when a recall or return for edit action is taken, the system may generate an error 'KR locked document' message. Reload will clear this error.
Close	Closes the proposal and brings the user back to the Home screen.

Checking Proposal Status (Internal Routing) – Detailed Instructions

Kuali Research tracks the status of proposals that are in the electronic approval process.

Users can check when a proposal has been approved, where it is awaiting approval, and see the entire approval route as determined by the key personnel, questionnaire answers, and sponsor.

1. Search for proposal in routing and open it.
2. Click on the **Summary/Submit** panel on the **Navigation** panel. The **Submit/Proposal Summary** screen will display.
3. Click the **View Route Log** link located at the bottom of the screen. The **Route Log** window for the proposal will open.

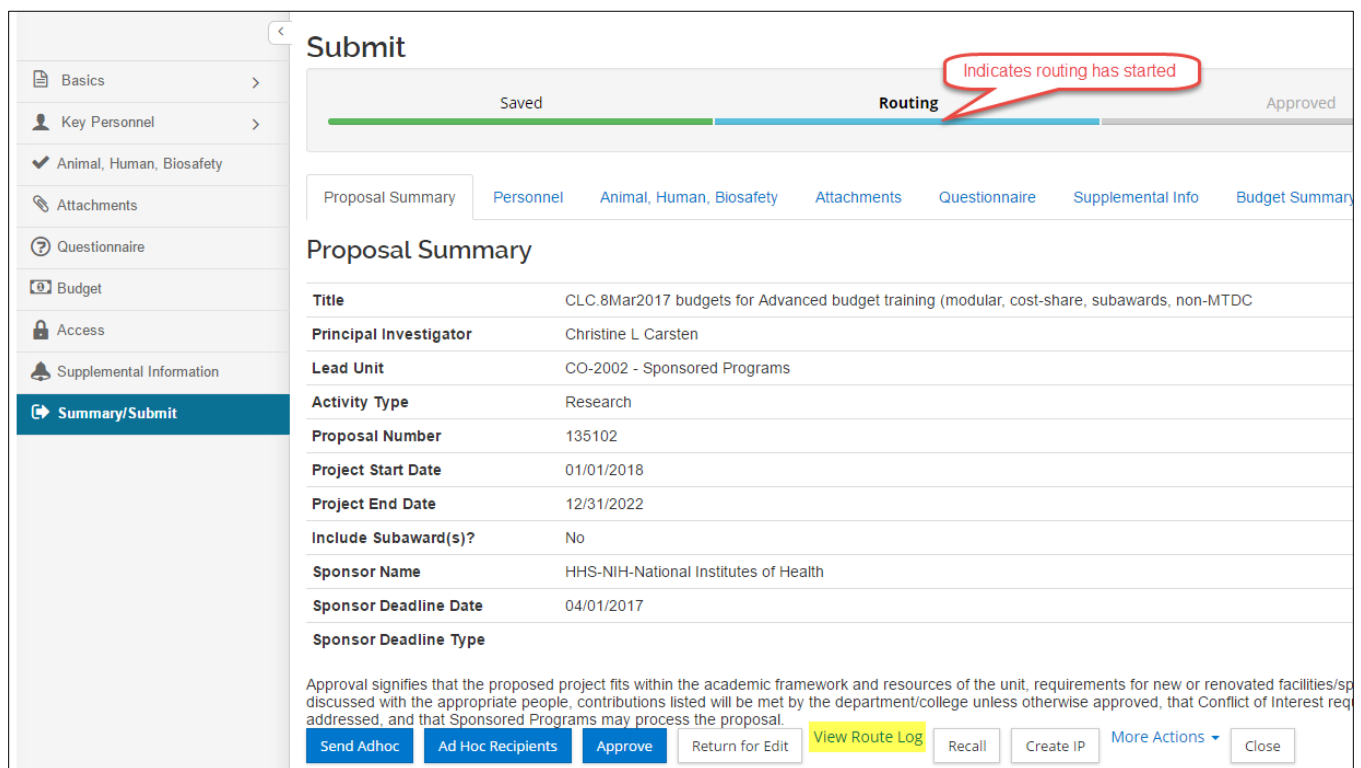


Figure 55 - Summary/Submit when routing

Route Log terminology:

Route Log indicator	Proposal status
Completed	The proposal has been submitted to routing.
In Action List	<p>Approvers at this level have received an email notification, and the item is in his/her action list.</p> <p><i>Investigators:</i> All people in this group must approve before the proposal goes to the next route level.</p> <p><i>Pre-approvers:</i> One person in this group must approve before the proposal goes to the department level.</p>

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		<p><i>Department:</i> One person in this group must approve before the proposal goes to the College level.</p> <p><i>College:</i> One person in this group must approve before any OSP approver can take action.</p>
	Approve	The action is required. Approval happens within the proposal record.
	Acknowledge	Action is requested, but does not hold up future approvals. Action can be taken from within the Action List.
	FYI	No action required. Generated for recall and return for edit actions; managed sponsors; export control, international, or classified research based on questionnaire responses.
Pending		Future action levels. Once approval is completed at the 'In Action List' level, the person/group at the next level will get the item in their Action List.

The roles in KR do not allow delegation for an individual user. Investigators must approve for themselves using their unique CSU eid/password to access the system and open the proposal.

The Pre-Approver, Department, College, and OSP groups can include multiple people with the permission to approve.

Route Log
refresh

ID: 11030893
hide

Title CLC.8Mar2017 budget; Proposal No: 135102; PI: Christine L Carsten; Sponsor: HHS-NIH-National Institutes of Health; Due Date: 04/01/2017			
Type	Proposal Development Document	Created	02:19 PM 03/08/2017
Initiator	Carsten, Christine L	Last Modified	04:07 PM 03/22/2017
Route Status	ENROUTE	Last Approved	
Document Status		Document Status Modified	
Node(s)	PeopleFlows	Finalized	

Actions Taken
hide

	Action	Taken By	For Delegator	Time/Date	Annotation
▶ show	SAVED	Carsten, Christine L		02:20 PM 03/08/2017	
▶ show	COMPLETED	Carsten, Christine L		02:58 PM 03/22/2017	

Pending Action Requests
hide

	Action	Requested Of	Time/Date	Annotation
▶ show	IN ACTION LIST APPROVE	Carsten, Christine L	02:58 PM 03/22/2017	Role: KC-PD Investigators from PeopleFlow Name: Investigator Approval People Flow
▶ show	PENDING APPROVE	Leavell, Douglas W	02:58 PM 03/22/2017	Role: KC-PD Department Unit Approvers from PeopleFlow Name: CO2002 Approval People Flow
▶ show	PENDING APPROVE	Harrington, Pamela S (College Unit Approvers) Gardner Jr, Henry S (College Unit Approvers) Rudolph, Alan S (College Unit Approvers) Johnson, Christa Caroline (College Unit Approvers)	02:58 PM 03/22/2017	Role: KC-PD College Unit Approvers from PeopleFlow Name: CO2002 Approval People Flow
▶ show	PENDING APPROVE	Anaya Esquibel, Lisa Maria (Proposal OSP Approvers) Krause, Christine M (Proposal OSP Approvers)	02:58 PM 03/22/2017	Role: KC-PD Proposal OSP Approvers from PeopleFlow Name: OSP Approval People Flow

Figure 56 - Sample Route Log

Accessing Proposal Returned for Corrections – Detailed Instructions

When the Proposal that is in workflow has to be substantially edited, an approver must click the **'Return for Edit'** button to take the proposal out of workflow and make it editable by a proposal aggregator. The new status is **Revisions Requested**, which allows the proposal to be modified. The proposal is sent back to the aggregator(s), not to the previous approval stop. The proposal should be corrected accordingly, and resubmitted for approval.

When the proposal is 'Returned for Revisions':

- The Approver returning it must enter comments/reasons why the proposal is being returned and they can also upload an attachment (e.g. Reject Comments):
- **Those rejection comments** can be retrieved in the proposal **Route Log** (in **Annotation** field next to the individual that returned the proposal).

Actions Taken ▼ hide					
	Action	Taken By	For Delegator	Time/Date	Annotation
	SAVED	McGregor, Geoff		06:42 PM 02/15/2015	
▶ show	COMPLETED	McGregor, Geoff		06:47 PM 02/15/2015	
▶ show	RETURNED TO PREVIOUS ROUTE LEVEL	Rabbit, Roger		06:50 PM 02/15/2015	DOCUMENT REJECTED: Please correct based on the comments in the attached document.

Figure 57 – Rejection Comments

Accessing Proposal Returned for Corrections – Exercise 14

In this scenario, search for a proposal that was returned to you for corrections. Follow the steps outlined below:

Step No.	Instructions
1	From the Home screen select Search Proposals .
2	In the Development Proposal Lookup window: Proposal State: Revisions Requested Principal Investigator: Use the lookup to search for and return the PI's ename Sponsor: Optional, if known Click the search button
3	In the displayed search results, click the view link to open the proposal.
4	Navigate to the Summary/Submit screen and click the View Route Log link Note the rejection comments included in the Annotation field next to the Approver that returned the proposal for correction: _____

Copying a Proposal – Detailed Instructions

To expedite proposal creation, Kualu Research has a copy function that allows a user to copy existing proposal records, with the option to copy budgets, questionnaires, and attachments. As a safeguard, attachments in the copy will need to be reviewed and marked complete before the copied proposal can be submitted for review (routing). PI certification questions are *not* copied.

To copy a proposal:

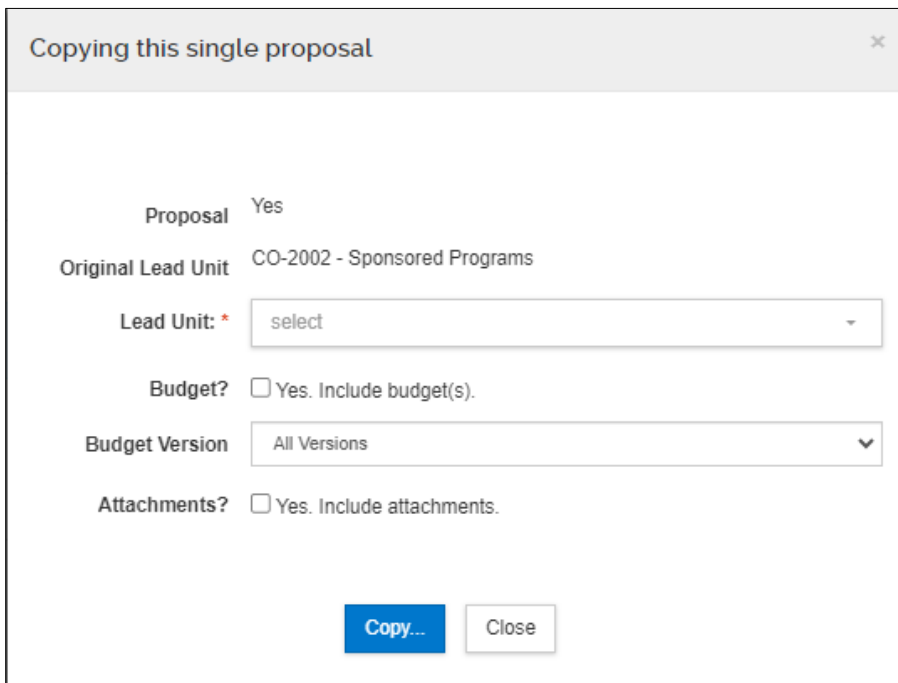
1. Search for a Proposal that you want to copy.
2. In the **Search Results** window, click the **copy** link in the **Actions** column for the Proposal.



view	24807	1111826	New	In Progress	Theobromine and its effect of Dopamine production					V Foundation	Haskell Edward	150001	Center for Coeus Training	05/01/2015
edit														
copy														
medusa														

Figure 58 – Copy Link

3. The **Copy** window will open.
 - a. For proposals that are NOT in a hierarchy, you will see 'single proposal'.
 - b. Proposals in a hierarchy will give you the option to copy only the open proposal or the entire hierarchy.



Copying this single proposal

Proposal Yes

Original Lead Unit CO-2002 - Sponsored Programs

Lead Unit: *

Budget? Yes. Include budget(s).

Budget Version

Attachments? Yes. Include attachments.

Figure 59 – Copy Window

4. Complete the fields as needed to indicate what information you want to copy over to the new proposal and click the **Copy** button.
5. A copy of your proposal will automatically open in the active window; notice a new proposal number has been created.

**** End of Training ****

Appendices

Appendix A - Proposal Development System and Concept Definitions

TERM	DESCRIPTION
A-21	<p>An OMB (Office of Management and Budget) Circular that defines what costs can be associated with grants and whether they normally fall into an F&A or direct category.</p> <p>Has been superseded by and incorporated into Uniform Guidance (UG) at 2 CFR 200.</p>
Account	<p>Ledger ID assigned by institution (based on an institution's chart of accounts) to identify the account in the institution's financial system</p>
Account Type	<p>An attribute of account that categorizes (or groups) accounts for reporting purposes. Used in the KC Award Creation.</p>
Action buttons	<p>Allows the user to manage their document, such as "Save" their work or "Close" the document. Then the document may be retrieved from the initiator's action list for completion and routing at a later time. Other Actions are "Cancel", "Reload", or "Submit" (into the approval process) or "Submit to Sponsor". Action buttons are dependent on the user's permission and the type of document being displayed.</p>
Action List	<p>Also referred to as the user's notification list. A list that displays e-docs routed to a person for some action (approval, acknowledgment, FYI). E-docs appear in the person's action list only when the action is requested, and disappear after the action has been completed.</p>
Activity Type	<p>Refers to the major functions of an institution based on Uniform Guidance (2 CFR 200) (aka UG). Per UG, the major functions of a "university" are instruction, sponsored instruction and teaching, departmental research, organized research, sponsored research, university research, other sponsored activities, and other institutional activities. Each account in an institution's financial system must be identified by its activity type. Activity Type is a required data element and populated in the Proposal Development Overview Panel.</p>
Ad-hoc Recipients	<p>Request an FYI, Approve, and Review actions of persons or groups that are not part of the usual routing chain.</p>
Address Book	<p>This is the Maintenance Master Data File that contains the physical location information for each performing site. The information is also called the Rolodex Table. Non-employees are identified in the Address Book.</p>
Agency Tracking ID	<p>A unique identifier assigned to a proposal by an agency, after a proposal is submitted to Grants.gov, which is used to identify and track the submission at the agency level. Note: Not presently utilized by all agencies.</p>
Agenda - KRMS	<p>A collection of rules in a defined plan, KRMS is short for Kuali Rules Management System, which supports the creation, maintenance, storage and retrieval of business rules and agendas (ordered sets of business rules) within business contexts (e.g., for a particular department or for a particular university-wide process).</p>

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TERM	DESCRIPTION
Aggregator	An assigned user role in the Proposal Development & Budget module that allows the user to modify any part of the proposal document; this includes any data element in the proposal area, modifying narrative documents, and modifying the budget. This also allows the user to submit the proposal for internal approvals.
Annual Disclosure	An internal disclosure made by a Reporter or Researcher, for all Disclosable Interest(s) for a determined period of time.
Anticipated Total	The anticipated sponsor funding for the entire project period - current obligation plus anticipated incremental funding and future year funding, including possible option years. This does not include cost share.
Applicant Organization	The organization, or grantee, that submits the proposal and receives the award assuming legal and financial responsibility and accountability both for the awarded funds and for the performance of the grant-supported activity.
Appointment Type	The duration of the appointment for the individual(s) named in the Person column of the Project Personnel panel in the Proposal Development & Budget Module (e.g. 9-month, 12-month, summer, temporary). Appointment type helps identify how personnel rates are calculated for the budget.
Approver	A user role that allows for document approval at any route level (including Ad Hoc Routing). As a document moves through Workflow, it moves one route level at a time. An approver operates at a particular route level of the document. The screen view and available action options of a document may vary, depending on whether the document is at that approver's route level, or at some other route level.
Argument Value	Maintenance document used to establish and maintain numeric codes and textual description values which are stored in the database tables.
Assigned Roles	A set of users designated for e-doc routing who share a common functional business responsibility.
Attachment	Refers to the document type selection for a proposal or a protocol. Use the 'Browse...' button to open the file dialog, select the file and automatically fill in the pathname.
Attributes	Used to type or categorize the values that can be stored in the system (e.g., the value of the arbitrary key/value pairs that can be defined and associated with the data object.)
Authorized Representative Name and Address	The administrative official who, on behalf of the proposing organization, is empowered to make certifications and assurances and can commit the organization to the conduct of a project that the sponsor is being asked to support as well as adhere to various sponsor policies and grant or contract requirements. The address is the institution contact information for the administrative official.
Authorized Institutional Official	An officer of an institution with the authority to speak for and legally commit the institution to adherence to the requirements of the federal regulations regarding the involvement of human participants, animals, biological agents, scientific misconduct and/or other regulations.

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TERM	DESCRIPTION
Award	If an outside agency/sponsor decides a proposal has merit and worth, an agreement is drawn between the funding agency and Institution. This agreement is called an award. An award is a legal, binding document that describes the terms and conditions under which the sponsor will provide funding for a project.
Award Instrument	The legal document in which the conditions of a sponsored award are communicated to an award recipient. Some examples of an award instrument are a grant, contract, or cooperative agreement.
Biohazard	Infectious agents or hazardous biological materials that present a risk or potential risk to the health of humans, animals or the environment. The risk can be direct through infection or indirect through damage to the environment. They include certain types of recombinant DNA; organisms and viruses infectious to humans, animals or plants (e.g. parasites, viruses, bacteria, fungi, prions, rickettsia); and biologically active agents (i.e. toxins, allergens, venoms) that may cause disease in other living organisms or cause significant impact to the environment or community.
Biosketch	A biosketch, also known as a biographical sketch, is a document that briefly summarizes the professional experience, publication record and accomplishments of an individual. It is a general term used by the NIH, and other sponsors. It is required as part of a grant proposal for each PI and other key personnel.
Blanket Approve	An user action that gives the ability to override or "bypass" the defined workflow approvals of a proposal or award.
Bootstrap data	Basic data that comes with the "Out of the Box" Kualu Research application and is necessary to be resident for the system to be installed and run in any environment.
Branching	Answers to particular questions can cause additional questions to appear.
Budget	An estimate of expenditures proposed to be incurred in the performance of a proposed sponsored project.
CAS	Pronounced "CAZ" – the cost accounting standards that govern grants
CFDA	Catalog of Federal Domestic Assistance – every grant opportunity has a CFDA number. You can go to the CFDA and find the information behind the opportunity if you wish. Usually nobody does.
Child Proposal	The descendant or sub-proposal in a proposal hierarchy. Child proposal are created when it is necessary to separate tasks, units, locations, or rates. Each child proposal can only link to one parent proposal.
COGR	"Coe-grrr" Council on Governmental Relations.
Committee ID	Refers to the label or code given to one of the compliance related committees. For example "IRB 001". Committee ID's are arbitrary are set up by the Committee IRB or IACUC Administrator.
Community Source	(1) A model for the purposeful coordination of work in a community. It is based on many of the principles of open source development efforts, but community source efforts rely more explicitly on defined roles, responsibilities, and funded commitments by community members than some general open source efforts. (2) A hybrid model of a community like 'The Pub between the Cathedral and the Bazaar' where higher education can really solve its application software challenges"-B. Wheeler.

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TERM	DESCRIPTION
Conditional Branching	In reference to KRMS Rules, logical actions taken based on a compound set of business rules. Also refers to questionnaire logic, where a question will appear on the questionnaire, based on the answer to a previous question.
Configure	To arrange or prepare (something) so that it can be used. In Kualu Research, to set up the master data or parameters during the implementation of the system, which will have an impact on how the system behaves at the institution.
COI Administrator	Conflict of Interest (COI) Administrator is a designated system user who shall have the highest level of access to the COI system and is responsible for high level maintenance of Internal Disclosure and will use the system to review any/all Internal Disclosures and determine what actions should be taken.
COI Reviewer	Any individual(s) that an institution has authorized to view and search for Internal Disclosures assigned to them, return the Internal Disclosure to the Reporter for additional information, and recommend a disposition for the Internal Disclosure.
Conflict of Interest	A situation in which an individual's private interests (such as outside professional or financial relationships) might interfere with his/her professional obligations to the university (such as objectivity in research, education of students).
Contacts	This is inconsistently named - 'Non-employee Lookup,' 'Non-Organizational Address Book,' 'Address Book,' or 'Rolodex' are among the variations depending on the user interface element label and software version. See Also "Address"
Continuation	A type of award in which the sponsoring agency agrees to provide a specific level of support for a specified period of time, with a statement of intent to provide additional support for the project for additional periods, provided funds are available and the results achieved warrant further support.
Continuation Protocol	A report submitted to the IRB or IACUC by the Principal Investigator before the protocol expires that, after approval by the IRB or IACUC, allows the research to continue for another specified period of time, not to exceed 364 days. See Renewal for de novo review.
Contract	NOT a grant. A contract has specific obligations and can sometimes be viewed almost as a vendor agreement. The word covers a lot of territory, though. It is commonly used in Kualu Research to indicate a variety of proposal or award types with regards to sponsored research programs.
Correspondence	In the IRB Module, is used by Committees as a part of Meeting Actions and generated information for each protocol under review. Examples include agendas and protocol review reminders.
Cost Share	The portion of total project costs that are paid from sources other than the sponsor.
Credit Split	A place to identify a shared intellectual, financial or other credit between researchers and or departments determined by your institution. The person (Investigator) or unit must add up to one hundred percent. Note - this is not cost share and will not have an effect on the budget calculations.

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TERM	DESCRIPTION
CSV	Comma-Separated Value – a file format for export of search results and reports in KC.
Custom Attribute	A data element needed by an institution that is not available out of the box from the application.
Custom Data	Institution-specific data. The institution may have specific data elements that are not included in Quali Research. These data can be created in the Custom Data Tab in the system.
Data Validation	In the document "Actions" Tab, a way for the user to validate all the data in the document. The Data Validation can be turned "on" or "off" during the data entry. Note, the system will validate the data either way and permit only validated data to be submitted into routing or to the sponsor.
Direct Costs	Clearly identifiable costs related to a specific project. General categories of direct costs include but are not limited to salaries and wages, fringe benefits, supplies, contractual services, travel and communication, equipment, etc.
Document	An electronic document containing information for a business transaction that is routed for actions. It includes information such as Document ID, Type, Title, Route Status, Initiator, Date Created, etc.
Document Header	Information available to the user on the top of each document. Header information is also the source for much of the search criteria on the document search screens, such as PI or Sponsor.
Document ID	Also called Document Number, it is a unique, for a document.
E-Doc	Short for "electronic document," e-doc represents an online business transaction or maintenance action initiated in a Web-based form and routed electronically through a prescribed sequence of approvers. When the e-doc has been through its entire approval process, it is maintained in a database for future reference.
Entity	An Entity record houses identity information for a given Person, Process, System, etc. Each Entity is categorized by its association with an Entity Type.
ERA	Electronic Research Administration
eRA Commons	The electronic Research Administration (eRA) Commons is the NIH infrastructure that provides for the secure receipt, review and administration of electronic grants. https://commons.era.nih.gov/commons/index.jsp
Event Based Disclosure	Internal disclosing of financial interests and outside commitments upon submission of a proposal, contract, protocol, or other covered transaction.
Expand/Collapse	A way to open or close data panels to either view or hide the data.
Expire Date	The date on which the Principal Investigator and key personnel would be out of compliance for enrolling new participants, continuing with research with existing research participants, or analyzing data. For IRB, the expired date is no longer than 365 days after the previous approval date and for the IACUC, the expired date would be no longer than 3 years from the approval date.
F&A	Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with indirect costs and, if you are really old, overhead.

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TERM	DESCRIPTION
FAR	Federal Acquisition Regulation. The body of laws that govern the U.S. federal government's procurement process. A series of regulations that define requirements for contractors selling to the federal government, the terms under which the government obtains ownership, title and control of the goods or services purchased, and rules on specifications, payments and actions regarding the solicitation of proposals or bids and payment of invoices.
FDP	A cooperative initiative among federal agencies and institutional recipients of federal funds who work together to improve the national research enterprise. Its purpose is to reduce the administrative burdens associated with research grants and contracts.
Financial Entity	In COI module: A reporter's personal financial relationship information with entities outside the institution.
Funding Number	Uniquely identifies the funding source.
Funding Source	Implementing institutions have the ability to configure the system to determine if funding sources identified in the Protocol document will create linkages to Award, Proposal Development and Institutional Proposal records. If enabled, the system provides the ability to create and manage such linkages between protocols and sponsor/sponsored funding.
Grant	A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. A grant, as opposed to a cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.
Groups	A way to organize persons and relationships within logical categories. Typically, in Kuali Research, the manner in which the system allows for roles and permissions to be organized for document approvals.
IACUC	Institutional Animal Care and Use Committee. A committee qualified through the experience and expertise of its members that oversees its institution's animal program, facilities, and procedures.
IBC	Institutional Biosafety Committees (IBCs) were established under the NIH Guidelines for Research Involving Recombinant DNA Molecules to provide local review and oversight of nearly all forms of research utilizing recombinant DNA.
IDC	An acronym used for Indirect Costs. Also called F&A or overhead
Inactivate	To make a record inactive or not available to be seen or used by the end user.
Initiator	The user who created the document.
IP	When used in the proposal sense, this stands for Institutional Proposal. When used in technology transfer, it stands for Intellectual Property.
IRB	Human subjects Institutional Review Board. A specially constituted review body established or designated by an entity to protect the welfare of human participants subjects recruited to participate in biomedical or behavioral research.
IRIS	Illinois Researcher Information Service – an online search system for finding funding opportunities. There is a cost to have this service. Others are SPIN and COS

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TERM	DESCRIPTION
Key Person	A named contributor (other than the PI) who is integral to the proposed sponsored project, or who makes a significant contribution to the scientific development or execution of the project, including Consultants (if applicable) and mentors on Career awards. This includes Key Personnel and Other Significant Contributors as defined by NIH and Grants.gov.
KR	Kuali Research
KFS	Kuali Financial System
KIM	A Kuali Rice module, Kuali Identity Management or KIM, provides a standard API for persons, groups, roles and permissions that can be implemented by an institution.
KRMS	Kuali Rules Management System
Kuali	1) kitchen wok - humble utensil which plays an important role in a successful kitchen 2) Community sourced development effort for distributed services in higher-education.
Lead Unit	1) The primary tenure or payroll department of a Principal Investigator or other Key Person; 2) The department responsible for the development of a proposal and ultimately for the administration of a sponsored project account. May or may not be the same as the PI's lead unit.
Maintenance Table	A Kuali master table record, initiated from the Menu for a large variety of attributes, e.g., Agency, Proposal Type, etc. Most are accessible from the Maintenance menu or the Administration Menu.
Mapping	Typically refers to a one-for-one correspondence between data values between Kuali Research and Grants.Gov system to system functionality.
Medusa	A hierarchical tree that shows the relationship of e-docs from multiple Kuali Research modules that are associated with each other (e.g., PD with IP, IP with Award, Award with Subaward).
Membership Roles	Refers to the system permissions and responsibilities given to a user or person in the Kuali Identity Management.
Modules	Distinct functional areas within the Kuali Research application, such as Proposal Development, Awards, or Protocols
MTDC	Modified Total Direct Costs – the basis of calculating indirect costs on a subset of direct costs, normally excluding equipment, patient care, space rental, tuition remission, alterations and renovations, and subcontract costs in excess of the first \$25,000.
Navigation Path	The way the user moves from one screen to another in the system.
NCE or No-cost Extension	An extension of the period of performance beyond the expiration data to allow the principal investigator to finish a project. Usually, no additional costs are provided.
Nodes	A term used to identify the approval stops in the workflow or routing of a document.
Non-employee	A person not working for the institution. Person is not in the KIM Person table.

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TERM	DESCRIPTION
Notifications	The way the system identifies that an approval, acknowledgement or FYI is given to a person in the routing chain. Also can be an ad-hoc email notification to any person.
OMB	Office of Management and Budget
OMB Circulars	Regulatory circulars, most important to educational institutions are A-21, A-110, and A-133. Hospitals and others are guided by other circulars. Superseded by and incorporated into Uniform Guidance (UG) at 2 CFR 200 December 2014.
Online Reviewer	A person, usually a committee member, identified in the IRB Committee review process who can make notes on the protocol. Also can be a person who is designated to review the researcher Conflict of Interest information.
Organization Document Number	A Legacy system document number. Not used logic in Kuali Research but may be helpful for a historical reference.
Organization Type	The options are 'Performing Organization' or 'External.'
Organization	Collects identification information about performing and other organizations associated with the proposal, award, or protocol. Also known as subrecipients.
Panels	Screen data entry areas on a Kuali Research Tab. Panels can be expanded to view or hide the data entry areas.
PeopleFlow	A prioritized list of people to send requests to; a "mini" people-based workflow that is not in the normal workflow or is in additional to the regular processing, based on a certain set of circumstances. You can define multiple "stops" in a PeopleFlow, where everything in the same stop proceeds in parallel, but all must be done within the stop before proceeding to the next stop.
Permissions	The actions that are mapped to functionality within the system.
Person Table	The data table for Kuali Identity Management where details about persons are stored. Basic information is imported from the HR system, with available extended table in the Kuali Coeus namespace. Location where an administrator can maintain roles and access. Person Data is maintained in the System Administration section.
Pessimistic Lock	A type of lock placed on a record to prevent other processes from reading or updating any data fields until the first process is finished.
PI	Principal Investigator, also referred to as a project director or researcher, who is the lead on a project. In Kuali this person has certain roles and permissions when named on a proposal, award or protocol.
Process Flow	The navigation and completion sequence for preparation and submission of a document. For example, the proposal <i>process flow</i> is the step-by-step procedure to complete a proposal and budget in the Proposal Development module of KC.

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TERM	DESCRIPTION
Questionnaire	A set of questions placed in particular order, with select <i>conditions</i> applied, which allows the system to branch along a path based on a user's answers. For example, the question conditions allow the system administrator to build the questionnaire and ask a second question or only ask a question if the prior answer contained a specified result.
Release	The version of the software that has been made available for users. Release number is located in the bottom banner of the application home page.
Reload	A workflow action button. Refreshes the screen and displays the most recently saved information. Changes which are made but not saved prior to reloading a page are not maintained.
Reporter	The person making a financial disclosure, usually the principal investigator, but can be anyone related to the project or the PI.
Restricted	This is a flag that allows the user to indicate if a data field or attachment is generally viewable or restricted to users with the right to view restricted notes.
Return value	On a search, after the row is selected, it links the selected a row on a search to the value on the previous page.
Reviewer	Includes compliance committee members that have been assigned to review protocol applications, and compliance administrative staff.
Rice	Kuali Rice (also simply known as Rice) is an open source, module-based, enterprise class, set of integrated middleware that is used by Kuali Research and Kuali Financials for document creation and routing actions, and by Kuali Identity Management for Person status, access, and roles. The 'Document Number' (aka Doc Nbr) is a Rice-assigned e-doc number, and is different from the module-assigned tracking number (e.g, PD number, Award ID). The Route Log is the visual display of actions to be taken on an e-doc, based on the rules of the module where the document was created.
Roles	Determines which options are available to a user. Some roles are determined by the user's relationship to a particular document. The role of Initiator is automatically assigned by the system to the user who creates a new e-doc. Other roles give additional permissions or options in addition to what normal users might possess. E.g., a Unit Aggregator in the KR PD namespace has access to all proposals for a specified unit. Roles are different for each module.
Rolodex	Original name for the application Maintenance Master Data File. Now called Address Book, and contains the address information for sponsors, organizations, and non-employees.
Route Log	View actor, action and related date information pertaining to Actions Taken, Pending Action Requests, and Future Action Requests with the ability to drill down for display of more detail.
Routing	The process of progressing a document through its approval path as defined in its Document Type. Routing is executed and administered by the workflow engine in Kuali Rice, known as Kuali Enterprise Workflow. This process will typically include generating Action Requests, emails and processing actions from the users who receive those requests.

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TERM	DESCRIPTION
S2S	System to System. The submission of certain US federal proposals created in Proposal Development directly to the Grants.gov on-line systems. This system-to-system (S2S) application transmittal is only available for certain US federal funding opportunities. The eligibility requirements are specified by each sponsoring agency.
Salary & Wage base	A basis for calculating indirect costs that uses only salary/wage costs in the proposal budget. All non-personnel costs are excluded from the calculation of IDC.
Sequence	Used in reference to Awards, the identification number assigned by the system based on the rules of the institution. The sequence number is increased with each award new entry. In the creation of Award hierarchy, the sequence is typically 0001 as the parent award and 0002 is its first child award. Not to be confused with Version numbers.
Special Review	Any condition identified by the institution, where additional approval or a unique review may be needed. This is identified and configured by a review type to meet the unique requirements of an institution. Actions for special review will vary based on the type.
Submission History	The <i>Submission History</i> subsection contains details about the s2s submission of a proposal to www.grants.gov.
Tabs	Pages of the Kualu screens that appear as horizontal folders at the top of the older (KNS) Kualu Research modules (Award, Subaward, IP). Each of the folders contain vertical panel sections. Clicking on the page folder <i>tab</i> causes that page to be displayed in the forefront of the screen's body.
Templates	The Sponsor Templates are common to award maintenance tasks like financial and technical report submission. When synchronized with an award, the <i>Sponsor Template</i> updates the award with the contact information, report and payment and terms information.
Time & Money	Refers to the Award Module. An area in the system where individual transactions are created to add, move, or remove money or adjust dates in the award hierarchy.
Total Cost Limit	The maximum cost to be paid by the sponsor, including indirect cost. The user will receive a warning message alerting when the budget exceeds the total cost limit. Exceeding will produce a warning message.
Type Qualifier	Used in conjunction with protocols to indicate a more granular level of Type.
Unit	Department, office, or other division of organization within an institution.
Unit Hierarchy	The organizational structure for the institution, essential for the proper functioning of proposal routing and submission, applying the appropriate rates to a budget, associating awards, protocols and proposals to the correct unit, and associating users and roles to the appropriate unit(s).
Versions	In a proposal or award budget, numeric identifier of an individual instance or copy of a budget. If given the same budget name, the version number differentiates between different budgets. In IP, Award, and Subaward modules, a version of the record is created to add or update information using 'edit' functionality, which creates a new Rice document and preserves the original information in the application's data tables.

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TERM	DESCRIPTION
Wildcard	<p>A character used as a substitution for any part of a search term. The Kualu Research application wildcard characters asterisk (*) and percent (%) are allowed in text search fields, to create searches where there are unknown characters, multiple spellings, or various beginnings/endings. Enter the prefix, suffix, or root of a search term and replace the missing portion with an asterisk to find all forms of that word.</p> <p>Other characters enable search for multiple specific values: pipe () between two search terms will return results for both values (e.g., 135073 146372 will return both proposals in the Search results); two stop marks/periods (..) between two numbers will return a range for a number search field.</p>

Appendix B – Proposal Types and Use Cases

Description	Definition
Award	<p>DO NOT USE for KR PD records. This type is no longer used for proposal tracking.</p> <p>Instead, choose the proposal type appropriate to the situation (e.g., "New" if new funding to CSU, "Supplement/Additional Funding" if additional funds for an existing CSU award/account)</p>
Budget-SOW Update	<p>Updated proposal documents (such as a revised budget) requested by Sponsor for a proposal currently undergoing Sponsor review.</p> <p>- Do not submit to routing if a proposal has already been funded (i.e., an Award record has already been linked to the IP record). A record can be used for calculations only; provide the updated budget to OSP via budget print report sent by email.</p> <p>** NOT for use with Kualu Research Grants.gov (S2S) submissions. **</p>
Continuation	<p>Can be used when CSU has an existing award for which an updated annual proposal is submitted, but all proposed funds were captured in the original proposal record. (e.g., USDA-NIFA award type of 'Continuation'.)</p> <p>** This type will NOT count the proposal dollars for institutional reporting **</p> <p>- If type is indicated by sponsor guidance or award document: The original proposal must have captured all funding for a project period. - If sponsor does not specify this type, consult OSP before using.</p>
Internal RFP	<p>A proposal submitted in response to an internal competition (request for proposals (RFP)), for which an award will be a reallocation of funds already awarded to CSU.</p> <p>- A new account is needed for administration of the specific allocation. - PI, department, and college approvals are required to document acceptance of the funding. <i>Example: HICAHS</i></p>
New	<p>A proposal for any funding new to CSU, regardless of how the proposal was submitted, except for Internal RFP (see separate definition).</p> <p>Noteworthy non-standard examples:</p> <p>- Transfer of award to CSU - Sponsor change for an existing project, for funding that will require a new 53 account, whether or not information must be submitted to sponsor for approval</p>
New - Change/Corrected	<p>** S2S use only **</p> <p>Example: to address NIH eRA validation warnings or errors If the sponsor is not NIH, must first confirm the Federal sponsor allows Changed/Corrected applications</p>
Pre Application - S2S	<p>** S2S use only **</p> <p>Used for a pre-proposal or pre-application that has to be submitted s2s (Grants.gov).</p>

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Description	Definition
Pre-Proposal	<p>Abbreviated proposals that are submitted at the request or requirement of the sponsor in order to select projects to be submitted as full proposals for competitive review and funding.</p> <p>Entering the record in KR allows for department and SP awareness and tracking.</p> <p>* Should NOT be routed. The record will be used for both the pre-proposal and full proposal if invited unless there are significant special circumstances.</p>
Renewal	<p>An application requesting additional funding for a new project period subsequent to that provided by a current award. Must be allowed by Sponsor guidelines.</p> <p>A renewal application competes with all other applications and must be developed as fully as though the applicant is applying for the first time.</p> <ul style="list-style-type: none"> - Federal example: used primarily by NIH (previously called 'competing continuation'), but also USDA and DOE by specific instruction from the agency. - Can be used for non-Federal sponsors for projects that meet the definition.
Renewal-Changed/Corrected	<p>** S2S use only **</p> <p>Example: to address NIH eRA validation warnings or errors</p> <p>If the sponsor is not NIH, must first confirm the Federal sponsor allows Changed/Corrected applications</p>
Resubmission	<p>A proposal that has been previously submitted, but was not funded, and is being resubmitted for new consideration.</p> <p>Especially important to use when the sponsor restricts the number of submissions allowed (e.g., NIH, American Heart)</p> <p>Example: The investigator chooses to modify the proposal based upon the reviewers' comments and submit it again.</p>
Resubmission-Changed/Corrected	<p>** S2S use only **</p> <p>Example: to address NIH eRA validation warnings or errors</p> <p>If the sponsor is not NIH, must first confirm the Federal sponsor allows Changed/Corrected applications</p>
Revision	<p>Use for significant changes to a previously submitted proposal that must be submitted to sponsor.</p> <p><i>Not a normal use case. Consult with OSP before using/routing.</i></p> <p>** S2S submissions of this type must be at the request of the sponsor. **</p>
Revision-Changed/Corrected	<p>** S2S use only **</p> <p>Example: to address NIH eRA validation warnings or errors</p> <p>If the sponsor is not NIH, must first confirm the Federal sponsor allows Changed/Corrected applications</p>

Proposal Development Training Guide

Description	Definition
Supplement/Additional Funding	<p>A proposal for additional funding for an existing active award/project.</p> <p>This could be a formal 'supplement' opportunity to expand a project's scope or for a specific additional purpose, or be additional funding made available by the sponsor.</p> <p>Examples:</p> <ol style="list-style-type: none">1. Federal fiscal year-end additional funding to an existing project that was not initially proposed.2. NSF/REU and NIH diversity supplements.3. Sponsor wants to award additional dollars in the form of a modification.

[Click here](#) to return to the Proposal detailed instructions.