



KUALI RESEARCH
COLORADO STATE UNIVERSITY

**KUALI RESEARCH
PROPOSAL HIERARCHY
TRAINING GUIDE**
OFFICE OF SPONSORED PROGRAMS

Proposal Hierarchy Training Guide

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Introduction to Proposal Hierarchy

Course Objectives

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

- Understand proposal hierarchy functionality
- Create and manage parent and child proposals
- Link and unlink parent and child proposals

Conventions Used

The following typographical conventions are used throughout this guide:

Item	Convention	Example
Navigation	Bold, separated by '→'	Central Adm link → Proposal Hierarchy 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	Exercise 1
Action Buttons	Button displayed	

Table 1 – Conventions Used

Prerequisites

There are specific prerequisites for this training that are needed, including knowledge of Kualu Research proposal and budget functions, and the following qualifications:

- Experience with creating Kualu Research proposals and budgets
- Working knowledge of web-based software application systems.

Proposal Hierarchy - Getting Started

What is a Proposal Hierarchy?

A Proposal Hierarchy is a way to combine multiple proposals and budgets to be submitted as one proposal. Use cases include, but are not limited to, projects with multiple PIs, each of whom will need separate accounts if the proposal is funded; projects with distinct on- and off-campus components that need to be budgeted at different indirect cost rates; projects with multiple tasks that need to be budgeted separately.

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

NOTE: The child proposal that creates the parent should be from the lead unit for the submission, if child proposals are in different units.

Proposal Hierarchy Uses

The Proposal Hierarchy is used for the following reasons:

- Combination of F & A, Fringe and Inflation rate variations
- Proposals coming from multiple departments or multiple PIs
- Optional budget periods
- In preparation for multiple post award accounts
- To be able to delegate preparation of the proposals to different users

For a quick reference to each proposal section's requirements, see Appendix A: [Best Practices Entering Data and Syncing hierarchy Proposals](#)

Basic Concepts

Here are the basic concepts of proposal hierarchy and its use:

- A proposal hierarchy contains only 2 levels: one parent and two (or more) children;
- The Lead Unit of the parent proposal record is determined by the child proposal used to create the parent. Other non-lead children are linked after the parent is created.
- The Primary PI for the hierarchy is pulled from the proposal used to create the hierarchy,
- Routing is done at the parent level;
- Changes to personnel details are made in the child proposals, unless a key person is listed in more than one of the child proposals;
- If an investigator is synced to the parent proposal, you cannot delete the investigator in the parent; you must delete any key person from a child proposal, then sync the information to the parent proposal. Lead PI from child account that created the parent cannot be deleted or changed
- Changes to the budget cannot be made directly in the parent proposal;
- The child proposals are used to create/modify budgets and add/modify personnel;
- If there is more than one budget version in a child proposal, the version that needs to be sync'd to the parent must be designated as 'include for submission' (otherwise the system will use the most recently created version for the sync action).

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Strategies & considerations for creating/managing a hierarchy:

- A very basic initial record should be created, containing only the PI and a detailed budget version with no line items entered.
- Create the 'parent' from this basic 'child' record.
 - o This establishes the parent record early in the process, but requires more sync actions.
- If the PI is the same for all proposals in the hierarchy, personnel attachments must be added/managed in the parent proposal. (This has more impact for an s2s submission.)
- If the proposals in a hierarchy are created by different individuals, access will need to be managed in the parent and child proposals so that sync actions are allowed for the appropriate users.

See the Please Note: and Recommended Best Practices sections at the end of the document for additional tips and considerations.

Creating a Proposal Hierarchy

Here are two scenarios where the user may need to create a proposal hierarchy:

Scenario 1 - PI is managing a project with 2 locations, and needs to create 2 project budgets, one with an on-campus F & A rate and another budget with an off-campus F & A rate.

Scenario 2 - Project has multiple PIs in different departments. The sponsor has a total budget limit for a proposal. Each PI needs to budget for her/his separate project activities, and each will have a separate account if awarded. Each department has its own pre-award support person who will create a budget for her/his PI.

Create the Child Proposal First – Detailed Instructions

Create the child proposal first, then create the parent proposal. The parent proposal is where information aggregates and constitutes what will be 'submitted to the sponsor'.

Let's create the hierarchy for Scenario 1: parent proposal with 2 child proposal budgets. The PI is the same for both child proposals.

Proposal Project Period: June 01, 2019 – May 31, 2020

PI – [your choice]

Project location 1 - On Campus

PI – [same as above]

Project location 2 - Off Campus

Creating a Proposal Hierarchy– Exercise 1

In this exercise, create the child proposal that will be used to create the hierarchy.

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Build the Child Proposal	
Step No.	Instructions
1.	<p>In the Create Proposal Development window select/enter:</p> <p>Proposal Type: New Lead Unit: [Click to select from available unit(s)] Activity Type: Research Project Dates: 06/01/2023 (start date) - 5/31/2025 (end date) Project Title: [type your initials and descriptive title] Sponsor: [type part of sponsor name, then select from available sponsors]</p>
2.	Click Save and Continue button.
3.	<p>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.</p> <p>Underneath the Basics section tab is the tab for entering Key Personnel.</p> <p>Enter only the following information: PI - Principal Investigator – this person becomes the Primary PI for the hierarchy Budget version (blank – no expense detail)</p> <p>Key Personnel should not certify in this proposal. Do not answer questionnaires in this proposal.</p>
4.	While in the Proposal, click Budget in the left side menu.
5.	<p>In the Budget Screen: Click the Add Budget button In the Budget Version window enter/select: Budget Name: On Campus Budget NOTE: this name should apply to the child proposal budget (when the parent is created, the budget name in the parent automatically becomes Hierarchy budget) Select radio button for Start a detailed budget Click Create Budget button</p>
6.	Click the Return to Proposal button.
7.	Keep this proposal open. You will create the parent proposal in the next set of steps.

Creating a Proposal Hierarchy – Parent

Now that a child proposal has been created the user can build the hierarchy. A few things to keep in mind:

- The user must have **Aggregator** access in the child proposal to create the parent;
- Investigator/Key personnel certifications must take place in the **parent** proposal;
- Answer the questionnaires in the parent proposal. Child proposal questions answered **do not sync** to the parent proposal;
- The Start and End Date must be the same in all proposals within the hierarchy;
- The budget version must be 'detailed', NOT summary type
- Budget period boundaries (start/end date for entire budget and for each period) should be the same in all proposals, however, not all budget periods need to be utilized in all child proposals;
- Once an Investigator has been sync'd to the parent proposal, the user cannot delete the Investigator in the parent; a person must be deleted in the child;
- Changes to the budget are always made in the child proposal, then sync'd up to the parent.

The proposal hierarchy combines multiple development proposals and budgets to be submitted as one proposal. Think of the parent proposal as a high level of the proposal information, including certifications and questionnaires, and the child as information for details.

In the child proposal created in Exercise 1, steps 1 – 6, follow the steps below to create the hierarchy:

Create Parent Proposal	
Step No.	Instructions
1.	While in the open child proposal, click Hierarchy link in top horizontal menu.
2.	In the Hierarchy lightbox: Do not put anything in the Link Proposal box In the dropdown for Hierarchy Budget Type, choose Sub-Budget Click Create Hierarchy Button.
3.	The system will display a yellow banner with any warnings (usually that the budget is not 'complete' – that is expected and does not prevent the hierarchy creation action). Message "Parent Proposal {number here} has been created" will appear on the screen in a yellow message banner. Note this number! The top horizontal menu Hierarchy item will now have a (C) next to it (P = Parent; C = Child)
4.	Click the Summary/Submit panel → Hierarchy tab to view the proposal and summary information that are part of this hierarchy.

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Create Parent Proposal	
Step No.	Instructions
5.	<p>In the Hierarchy Tab, click the View Document link for the parent proposal. This will open the parent proposal record. (It should open in a new tab on your browser.)</p> <p>In the parent proposal, click the Budget Panel.</p> <p>In the Budgets screen, click Hierarchy Budget. Open the budget version. There should not be any detail here.</p> <p>Close out of this proposal – use the close button! It’s okay to answer ‘yes’ to the save prompt.</p> <p>NOTE: Parent proposal must be closed to link additional children.</p>
6.	Use the close button to close the child proposal record as well.

The Summary/Submit section Hierarchy tab outlines the Parent/Child proposals linked together. It includes expandable panels for the parent and each child proposal.

As more child proposals are added to the hierarchy, the tab will continue to update with more panels. Reminder that this is only a 2-level hierarchy, parent and child.

The **View Document** link is available in the parent or child proposal(s) to open the proposal records.

Creating a Second Child Proposal

Now that a parent and child proposal hierarchy has been created, the user can create a second record that will become the second child in the hierarchy. To expedite the process, let’s use the “copy proposal” action and make a change to the budget.

Create a Second Child Proposal & add to Hierarchy – Exercise 2

Creating a Second Child Proposal & Budget	
Step No.	Instructions
1.	Search for your Child Proposal created in Exercise 1. In Kual Research navigate to Common Tasks in left hand column. Go to card Proposal Development, select Search Proposals. Input the child proposal number. We will use child 1 to create child 2 proposal.
2.	<p>Click Copy link in the actions column.</p> <p>In the Copy window selection:</p> <p>Lead unit: _____ Your Unit (same or other)</p> <p>Budget? Leave the box unchecked -- do not include budget in the copied proposal (you want to name this budget differently).</p> <p>Click Copy button.</p>

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Creating a Second Child Proposal & Budget	
Step No.	Instructions
3.	The system will open the copy in the same window. This proposal will be your new child 2 proposal. Note child 2 proposal number.
4.	Click Budget in the left side menu Click Add budget button Name it as appropriate to the child proposal: " Off-campus " Click radio button for 'start a detailed budget' Click Create Budget button In the Budget window that opens: Click Budget Settings link In the Budget Settings screen: On Campus Flag: ALL OFF Click Apply Changes button.
5.	Click the Return to Proposal button.

Linking to the Parent from within the child proposal	
Step No.	Instructions
1.	While in the open proposal, click the Hierarchy link, in the top horizontal menu.
2.	In the Hierarchy lightbox: In the Link Proposal field, enter the Parent Proposal Number In the dropdown for Hierarchy type, select Sub-Budget Click the Link this Child to a Parent button.

Linking a Child Proposal from the Parent Proposal

After the parent proposal has been created, other child proposals can be linked to the parent record from within the parent record as well.

NOTE: The user must have Aggregator access in the parent to link a record to a hierarchy or sync information from the child record to the parent.

To link a child from the parent proposal:

1. Open the parent proposal and click the **Hierarchy (P)** link in the proposal toolbar
2. In the **Link Proposal Field**, enter the child proposal number to be linked to the parent
3. Alternatively, the user can use the search icon to find the proposal, if needed
4. From the Hierarchy Budget Type, select **Sub-Budget**

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5. Click the **Link a Child to this Parent** button.

A message will appear confirming that the action has been completed.

Sync:

After the proposals are linked, you can make changes to a child proposal and then “sync” the changes to the parent Proposal. The sync action can be done in either the parent or child(ren).

Considerations

Permissions

When proposal records in a hierarchy are created and managed by different users, aggregator permission must be assigned in the parent or child (or both).

- A user must have aggregator access in the parent to sync from a child record to the parent.
- A user must have aggregator access in a child record to sync it from within the parent record.

Key Personnel

To delete a key person, delete the key person from the child proposal, then sync the changes to the parent.

NOTE: *If the same key person is listed in multiple child proposals, delete the person from all child proposals before syncing information to the parent.*

The lead PI of the hierarchy cannot be changed. To change a lead PI, you must unlink all children, cancelling the parent record. Then a new hierarchy parent proposal must be created with the correct(ed) child proposal.

Budget

All the changes to the **budget** personnel need to be made in the child proposal. Budget changes are then “synced” up to the parent proposal.

If there is no budget marked ‘include for submission’ in a child record, the sync action will use the most recent budget version. If there are multiple budget versions, the correct child budget must be marked ‘include for submission’, and that budget version must be synced to the hierarchy, for business process purposes before a hierarchy is approved to be submitted to routing.

Syncing Changes in Proposal Hierarchy - Detailed Instructions

To sync a proposal from the child record:

1. Search for and open the child proposal
2. Click **Budget** in the left side menu
3. Confirm that the correct budget version is marked ‘include for submission’.
 - a. Change status to ‘include for submission’ if not already done: Click Action -> select **Include for Submission**
4. Click the **Hierarchy (C)** link in the horizontal menu.
5. In the hierarchy window, click **Sync Hierarchy** button

Unlinking Proposals from a Hierarchy - Detailed Instructions

WARNING – To preserve an existing hierarchy, do not unlink all the child proposals from a parent. If all child proposals are unlinked, the parent proposal will no longer be accessible, and a new parent proposal will have to be created.

NOTE: A system error may require a new hierarchy to be created. This can be done with an existing child proposal.

Reminder: Proposal Person Certifications (“PI questions”) are done in the parent proposal. If you unlink a child proposal from a parent proposal, investigator in that child proposal will be removed from the parent, along with any completed PI certifications. Relinking the child to the parent will require the PI to re-certify.

Unlinking Proposals from a Hierarchy – Exercise 3

Unlinking a proposal parent and child can only be done from the **child** proposal.

Unlinking Proposal from a Hierarchy	
Step No.	Instructions
1	While in a child Proposal, click Hierarchy (C) link at the action line at the top of the proposal.
2	In the displayed Hierarchy window, click the Unlink Hierarchy button. The proposal will update, then see that the (C) has been removed in the Hierarchy link, noting the successful removal of the child from the hierarchy.
3	Click the Save button at the bottom of the page.

Please note:

- The lead PI (from the lead child account) cannot be changed or deleted once the hierarchy has been created
- If PI certification questions are answered in the child, answers and status won't display correctly in the parent
- There is no system warning when you unlink the last child in a hierarchy. The parent record is automatically cancelled when the last child is unlinked.
- Having the parent record open in multiple tabs or windows can cause stack trace errors (“Incident Report” window)

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Recommended Best Practices:

- Wait to create the hierarchy until essential elements are determined (and 'final'):
 - o Who will be the lead PI/lead unit?
 - o What are the project start/end dates?
- Identify who will coordinate/create/maintain/sync the hierarchy.
 - o Is there an existing proposal record for each necessary investigator/unit/task?
 - o Do all proposals have the same project start/end dates?
 - o Does every proposal to be included have a PI?
 - o Does each proposal have a budget version with the same start/end dates (project and budget period)?
 - o Proposal Type (i.e., New, Resubmission) must be the same
 - o Activity Type can be different
 - o Sponsor must be the same
 - o Title should be the same, but can have "Parent" or "Child" added at the beginning to help better identify hierarchy
 - Exception: If a parent proposal is submitted s2s, the title can't have 'Parent' at the beginning.
- Make appropriate access assignments in each child before adding to the hierarchy
 - o The person who will sync the hierarchy needs to have Aggregator role in each child record
- Always choose 'Sub-Budget' for Hierarchy Budget Type
- Communicate! (with each other, with the Key Personnel, with OSP)
 - o For a hierarchy, Proposal Person Certification (PI) questions are best done after the parent proposal is submitted to routing.
 - They are NEVER answered in the child record(s)
 - o Questionnaire must be completed in the PARENT, so answers to the questions need to be coordinated across all the participating PIs/departments.
 - o Deadline dates don't have to be entered in child records, but OSP will not know about the upcoming proposal until the hierarchy is created and the parent record has a deadline date
 - Once the parent record has a deadline date, the child records can be edited to remove it. Then only the Parent record will show up on reports for the OSP review process.
 - OSP reports show the (P) and (C) indicators for specific records (if they have a deadline entered), but when proposals are done across colleges, no one report shows all the proposal records in the hierarchy
 - o Will OSP review each individual child proposal budget or wait until the parent proposal budget is ready for review? If an individual child record needs to be reviewed by OSP, a deadline date needs to be entered into that record and you must communicate with your OSP team.

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Appendix A

Quick reference table

Best Practices Entering Data and Syncing hierarchy Proposals:

Data Location	Enter Data In (Parent or Child Proposal?)	Does information have to be the same in individual child records?	Special information
Basics > Proposal Details			Parent will contain information from lead child record when created. This information will not sync from children after the parent is created.
- Proposal Type	Child	Yes	
- Activity Type	Child	No	
- Project Dates	Child	Yes	If dates need to be modified, changes should be made in child record but will not sync to parent unless parent record has also been modified with same dates
- Project Title	Child	Yes – Child records should be modified after Parent has been created to Child: 'Title'	
- Sponsor	Child	Yes	
Basics > S2S Opportunity Search	Parent		
Basics > Delivery Info	Parent		
Basics > Sponsor & Program Information	Parent		DEADLINE DATE: If child record needs to be reviewed independently, this information must be filled out in child record to show up on OSP Team's reports.
Basics > Organization and Location	Parent		
Key Personnel > Investigators and Key Personnel	Key Person info should be managed in each child record		PI in lead child record will be PI in the parent record. PI in parent record cannot be changed without re-creating hierarchy.
- Same PI in different child records	Child	Yes	
- Child records have different PIs	Child	No	
Key Personnel > Certification	Parent		If completed in child record it will not sync to parent record (will also cause errors)

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Data Location	Enter Data In (Parent or Child Proposal?)	Does information have to be the same in individual child records?	Special information
Supplemental Information	Parent		
Questionnaire	Parent		If completed in child record it will not sync to parent record.
Compliance	Parent		
Attachments > Proposal	Parent		Each time a child record is synched to parent record, files in parent record will need to be set to 'complete' again.
- SOW/Budget Justification	Parent or Child		If child records need to be reviewed independently, these files will need to be attached.
Attachments > Personnel	Parent or Child	No	Do not attach the same documents or documents with the same file name in the individual child records.
Attachments > Abstracts	Parent or Child		Abstracts input in child record will not sync to parent record.
Attachments > Internal	Child	No	Internal attachments must be added/managed in CHILD records, because of a bug. Do not use the same file name in individual child records. Each time a child record is synched to parent record, files in parent record will need to be set to 'complete' again.
Attachments > Notes	Parent or Child	No	Notes input in child record will not sync to parent record.
Budget	Child	No	
- Budget Periods	Child	Yes	Budget periods start and end dates must be the same in all child records. Child records can have \$0 budget in a budget period.
Budget Status	Parent and Child	No	Budget in child should be set to 'include for submission' before sync. If there is more than one budget set to complete, most recent will be synched.

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Data Location	Enter Data In (Parent or Child Proposal?)	Does information have to be the same in individual child records?	Special information
			Parent budget must be set to 'complete' and 'include for Submission' before submitting into routing.
Modular Budget	Do not use in hierarchy		
Subaward Budget Access	Child		
	Parent and Child		Aggregator Document Level is necessary for anyone to sync to parent record or from child record.
Supplemental Information	Parent		Supplemental information input in child record will not sync to parent record.
Summary/Submit	Parent		Only fully synched parent record should be submitted into routing for review/approval.