



## Kuali Coeus Research Management (KCRM) User Guide: Create Institutional Proposal

---

### Version 3.1: August 2014

---

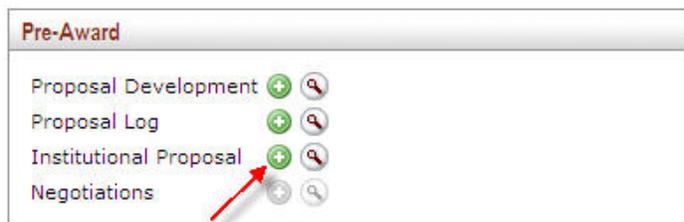
**Purpose:** To create a record capturing key data about a submitted proposal for reference and reporting purposes.

**Trigger / Timing / Frequency:** After a proposal has been submitted to the sponsor, the staff member responsible for the Institutional Proposal data entry process creates an Institutional Proposal record using a copy of the *Proposal Summary Form* as a reference.

**Prerequisites:** (1) A proposal log record was created for the proposal when it arrived at OSP for review and submission, (2) proposal has been submitted to the sponsor, (3) a *Proposal Summary Form* is available as a reference.

**User Group Roles:** Proposals

**Menu Path:** Central Admin > Pre-Award > Institutional Proposal



**Tips and Tricks:** N/A

**Results and Next Steps:** An institutional proposal record has been created and is available for reference. The data will be uploaded nightly to the business warehouse, where it will be available for reporting. If an award is made, the institutional proposal record can be linked to the award record.

#### **Process:**

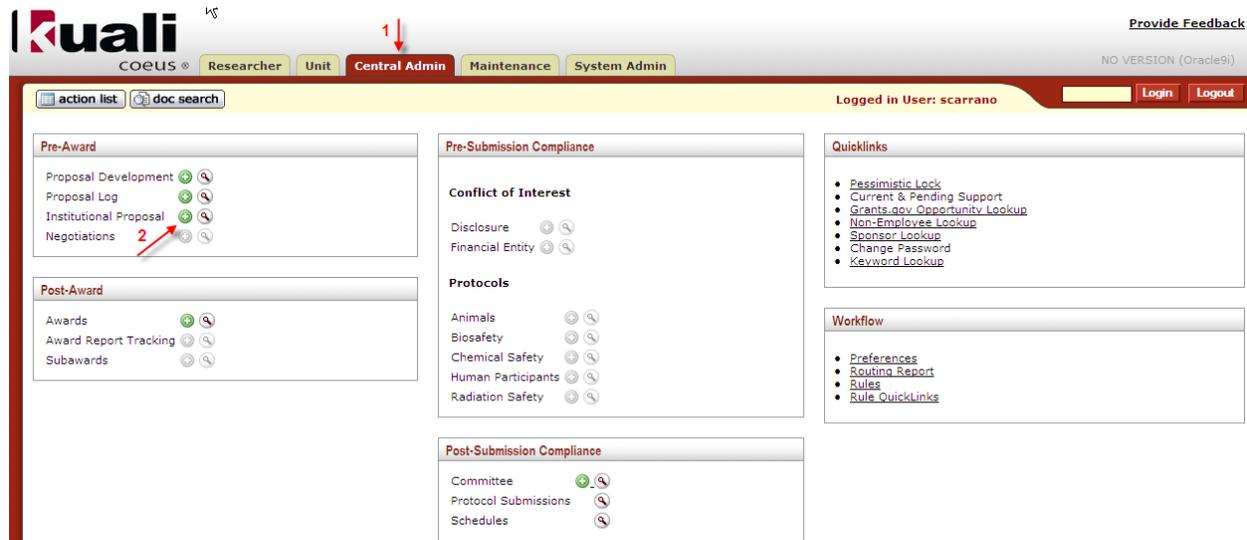
An Institutional Proposal record is created after a proposal has been submitted to the sponsor.

## Contents

A. Create Institutional Proposal .....	3
B. Search for Proposal Log record .....	3
C. Begin completing the Institutional Proposal tab .....	4
D. Complete the Institutional Proposal Panel. ....	5
E. Complete the Sponsor and Program Information Panel. ....	6
F. Complete the Financial Panel. ....	7
G. Click on the Contacts tab to complete the Project Personnel panel. ....	8
H. Verify unit details. ....	10
I. Add Unit (departmental) administration personnel to the project. ....	10
J. Click on the Special Review tab and complete the Special Review panel. ....	10
K. Click on the Distribution tab to complete the Cost Sharing Panel (if applicable). ....	11
L. Validate Institutional Proposal. ....	12
M. Finalize the Institutional Proposal Record. ....	12
N. Editing the Institutional Proposal record. ....	13

## A. Create Institutional Proposal

Start the transaction in the Kuali Coeus Research Management portal and 1) navigate to the Central Admin Main Menu Tab. 2) Click Add Institutional Proposal.



## B. Search for Proposal Log record

To create an Institutional Proposal you must first select the related Proposal Log record. Search for the appropriate Proposal Log record on the Proposal Log Lookup Screen.



**Lookup Fields:** Search criteria section fields marked with the Lookup icon (magnifying glass) on the right of the entry box allow you to look up the information to select from in order to specify search criteria and avoid data entry errors. Click the icon to display a list of valid values from which to select and click return to populate the box.



You may bypass the Kuali Lookup screen if the unique identifier for the field is known (i.e. PI username, Lead Unit cost center, Sponsor ID). **Direct Inquiry Fields:** Search criteria section fields that also have the Direct Inquiry icon (open book) appearing to the right enable you to enter a value in the field and verify the data by opening a read only view of the document (i.e. Person, Lead Unit, etc.) to make sure you have entered the correct criteria.



**Date Fields:** Dates should be specified as mm/dd/yyyy format. Click the date selector icon where available to select a date from a calendar to populate date fields.

Proposal Log Lookup create new | Main  
\* required field

Proposal Number:	<input type="text"/>
Proposal Log Type:	select
Proposal Log Status:	Pending
Proposal Merged With:	<input type="text"/>
Created Institutional Proposal:	<input type="text"/>
Proposal Type:	select
Title:	RH Proposal Log*
Principal Investigator (Employee):	<input type="text"/>
Principal Investigator (Non-Employee):	<input type="text"/>
Lead Unit:	<input type="text"/>
Sponsor:	<input type="text"/>
Sponsor Name:	<input type="text"/>
Comments:	<input type="text"/>
Deadline Date From:	<input type="text"/>
Deadline Date To:	<input type="text"/>
Date Complete Proposal Received From:	<input type="text"/>
Date Complete Proposal Received To:	<input type="text"/>

4    search    clear    cancel

Click 4) the Search Button once you have filled in the appropriate fields. The results of a search appear directly below the search form. Scroll down to view the results. Select the appropriate Proposal Log record by clicking on the 5) select action link.

One item retrieved.

Actions	Proposal Number	Proposal Log Type	Proposal Log Status	Proposal Merged With	Created Institutional Proposal	Proposal Type	Title	Principal Investigator (Employee)	Principal Investigator (Non-Employee)	Lead Unit	Sponsor	Sponsor Name	Comments	Deadline Date	Date Complete Proposal Received
5 edit copy print	006904668	Permanent	Pending			New	RH Proposal Log Example	ROBERT HENRY		1207160000					

Export options: CSV | spreadsheet | XML



The best way to be sure you are selecting the correct Proposal log record is to search by using the proposal number written on the top of the **Proposal Summary Form**.

Once the Proposal Log is selected, an Institutional Proposal record is initiated in the system.

C. Begin completing the Institutional Proposal tab

Begin completing the Institutional Proposal by starting on the Institutional Proposal document tab.



Enter Document Description for the Institutional Proposal.

Data Quality	SOP Definition / Use	Required
Description	The document description should be the first portion of the award title. There is a 30 character limit on this field.	Yes

Document Overview hide

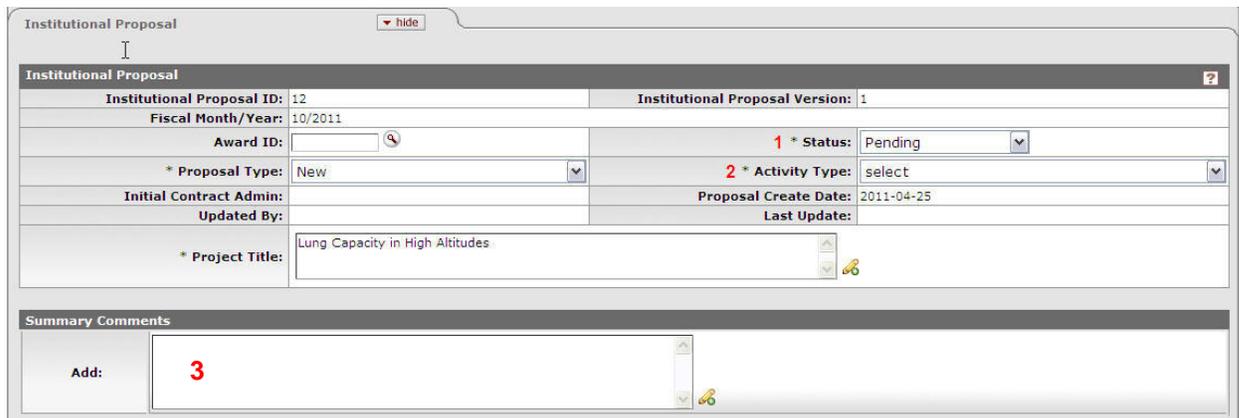
* Description: Cytochrome Studies		Explanation: <input type="text"/>
Organization Document Number:	<input type="text"/>	

D. Complete the Institutional Proposal Panel.



Please refer to the **Proposal Summary Form** for the appropriate values to select for each of the fields below. If you aren't sure what to choose, or you have questions, don't hesitate to ask for help.

You will notice that a few fields from the Proposal Log have been copied to the Institutional Proposal (i.e. Proposal Type, Project Title). If a proposal has just been submitted to the sponsor for their review, it most likely should have the Status of "Pending." This is the default value when an Institutional Proposal record is created.



Data Quality	SOP Definition / Use	Required
1) Status	<p>The status of the proposal with the sponsor:</p> <p><b>Pending:</b> The proposal has been submitted, but the sponsor has not made a funding decision</p> <p><b>Pending-Revised:</b> The proposal is still pending, but the sponsor requested a revised proposal (i.e. revised budget). *</p> <p><b>Not Funded:</b> The proposal was not funded (rejected) by the sponsor</p> <p><b>Deactivated Record:</b> The proposal record was created in error</p> <p>Withdrawn The researcher has withdrawn the proposal</p> <p><b>Funded:</b> An award has been received and the proposal has been funded. <u>Note:</u> You can't select a status of Funded. The system automatically sets the status to Funded when an Award is linked to an Institutional Proposal.</p>	Yes

Data Quality	SOP Definition / Use	Required
2) Activity Type	Refer to the <b>Proposal Summary Form</b> . The Activity Types defined in the system are directly related to the activity types identified on the University’s Negotiated Indirect Cost Rate Agreement (NICRA). Intergovernmental Personnel Agreements (IPAs) were determined to be a separate Activity Type to easily identify these agreements in the future. Activity Type will map to SAP Functional Area	Yes
3) Summary Comments	Enter the comments from the <b>Proposal Summary Form</b> .	No

\*If an institutional proposal record is edited to change the status to Pending-Revised, the data originally entered on the Financial Panel (described below) should not be revised. Instead, an attachment with the revised budget information should be uploaded to the Institutional Proposal record. Please see the Notes and Attachments panel, described below.

The following fields are automatically generated by the system when the Proposal Log is saved, routed into workflow, or updated.

Field Name
Institutional Proposal ID
Institutional Proposal Version
Fiscal Month / Year
Updated By
Last Update Date



Institutional Proposal Version: KC increments the sequence number each time the Institutional Proposal is edited and saved.

E. Complete the Sponsor and Program Information Panel.



Some of the information collected in the Sponsor & Program Information tab is used for reporting purposes. Please double-check the accuracy of this data against the information on the **Proposal Summary Form**.

Sponsor & Program Information hide

<b>Sponsor &amp; Program Information</b>	
1 → * Sponsor ID: 301041 <small>NIH/National Center for Health Research Resources</small>	Sponsor Proposal ID: <input type="text"/>
2 → Prime Sponsor ID: <input type="text"/>	NSF Science Code: H2 - Social Sciences Politi
Sponsor Deadline Date: 05/01/2011	Sponsor Deadline Type: Postmark
Notice Of Opportunity: Federal Solicitation	Anticipated Award Type: Grant
Does this proposal include subaward(s)?: <input type="checkbox"/>	Opportunity: <input type="text"/>
CFDA Number: <input type="text"/>	Individual Fellowship: No
3 → Major Project: No	4 → Conference Grant: No

Data Quality	SOP Definition / Use	Required
1) Sponsor ID	The organization or agency providing support for this sponsored project.	Yes
2) Prime Sponsor ID	The KCRM identifier for the prime, or originating, sponsor in a situation where a subaward will be made to the university.	
3) Major Project	Indicates whether or not the project is a "major project" in accordance with the definition provided in the Uniform Guidance.	
4) Conference Grant	Indicates whether or not the proposal is proposal for a conference grant.	

F. Complete the Financial Panel.



Please double-check the accuracy of the financial information entered into this section against the information on the **Proposal Summary Form**.

The Financial panel of the Institutional Proposal tab contains information about the project costs, including total direct and total indirect costs for the initial budget period (1st Column) and the total project period (2nd Column). The total costs fields are automatically calculated by the system.

Financial hide

**Account Info**

Account ID:

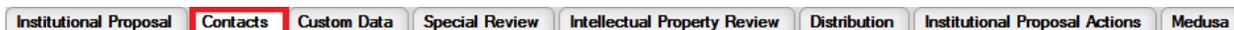
**Project Periods and Amounts**

	Initial Period	Total Period
Initial Requested Start Date:	05/01/2011	05/01/2011
Initial Requested End Date:	1 04/30/2012	2 04/30/2014
Initial Total Direct Cost:	100,000.00	300,000.00
Initial F&A Cost:	60,000.00	180,000.00
Total All Cost:	\$160,000.00	\$480,000.00
3 → Initial Period F&A Rate(s):	F&A Rate 1: 62.5 F&A Rate 2: <input type="text"/>	
4 → Approved F&A Waiver:	<input type="checkbox"/>	

Data Quality	SOP Definition / Use	Required
1) Initial Requested End Date (Initial Period)	The requested End Date for the Initial Period of the Project (End Date of Year 1 – derived from Proposal Summary form)	
2) Initial Requested End Date (Total Period)	The requested End Date for the Total Project Period (End Date of the Project – derived from Proposal Summary form)	
3) Initial Period- F&A Rate(s)	The rate or split rate for the initial period	
4) Approved F&A Waiver	This field is checked if an approved F&A waiver request form has been submitted with the proposal.	

Click button . The system will automatically calculate total costs for the initial period and project period.

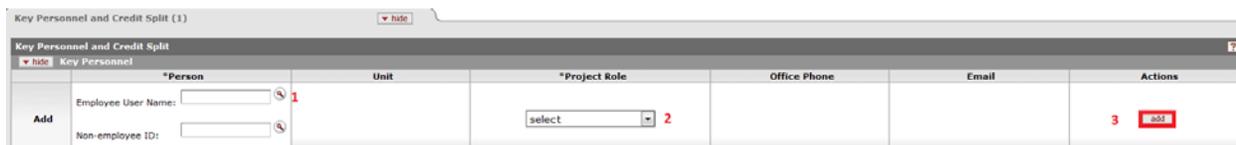
G. Click on the Contacts tab to complete the Project Personnel panel.



The Project Personnel panel is where you identify personnel on the project and their associated role. The 1) Principal Investigator is automatically copied over from the Proposal Log.

To add or change contacts, use the Person box. The Person box is marked as required because there must be at least one Principal Investigator selected from either an employee or non-employee search before the Institutional Proposal can be finalized.

Click on Show/Hide button to open the Project Personnel panel to add key personnel to the parent award document. Enter the employee’s user name in the Employee User Name field or click on the 1) Employee User Name Search icon. Once the person has been selected, specify a 2) project role and click 3) Add. If Key Person is selected, the Project Role 4) field becomes a required field. NIH Awards following a Multiple PD/PI model will select a Principal Investigator, and for the second investigator should select Co-Investigator, then check the 5) Multiple PI checkbox.



The screenshot shows two instances of the 'Key Personnel and Credit Split' form. The top instance is empty, showing fields for Employee User Name, Non-employee ID, Project Role (set to 'Key Person'), Office Phone, Email, and Actions (add, reset). The bottom instance is populated with data: Employee User Name: KGHOLT, Non-employee ID: 1222300000, Project Role: Co-Investigator, Office Phone: 617-353-7501, Email: KGHOLT@BU.EDU. Below this, a table lists other personnel: ROBERT HENRY (SAR ADM, Principal Investigator, 617-358-7117, HENRYR@BU.EDU) with a delete button.



The **Multiple PI**: checkbox will only appear for applicable NIH sponsors.

On the KcPerson Lookup screen, 1) enter one or more criteria to narrow your results. Click the 2) Search button to view results below the search criteria. To select a person click on 3) return value next to the appropriate person.

**KcPerson Lookup** \* required field

<b>KcPerson Id:</b>	<input type="text"/>
<b>1 Last Name:</b>	henry
<b>First Name:</b>	<input type="text"/>
<b>User Name:</b>	<input type="text"/>
<b>Email Address:</b>	<input type="text"/>
<b>Office Phone:</b>	<input type="text"/>
<b>Active:</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Both
<b>Home Unit:</b>	<input type="text"/>
<b>Campus Code:</b>	<input type="text"/>
<b>2</b>	<input type="button" value="search"/> <input type="button" value="clear"/> <input type="button" value="cancel"/>

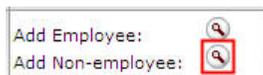
You have entered the primary key for this table (KcPerson Id) in the search criteria. Since these fields can be used to uniquely identify a row in this table, the other search criteria entered will be ignored.

One item retrieved.

Return Value	KcPerson Id	Full Name	User Name	Email Address	Directory Department	Directory Title	Office Location	Office Phone	School	Active
<b>3</b> return value	U16454665	ROBERT HENRY	henryr	HENRYR@BU.EDU				617-358-7117		Yes

Export options: [CSV](#) | [spreadsheet](#) | [XML](#)

The Non-Employee Search allows you to look up from the Address Book table to identify individuals who are not yet employed with Boston University (i.e. a new faculty member still in the process of transferring to the University).



If a person on the project isn't included in the HR data fed into KCRM from SAP, the person must be manually entered into the rolodex and then added to the proposal via the non-employee lookup.



Adding a person to the rolodex must be done by the KCRM Administrator, who has the appropriate system maintenance permissions. Submit a ticket to the KCRM team for assistance.

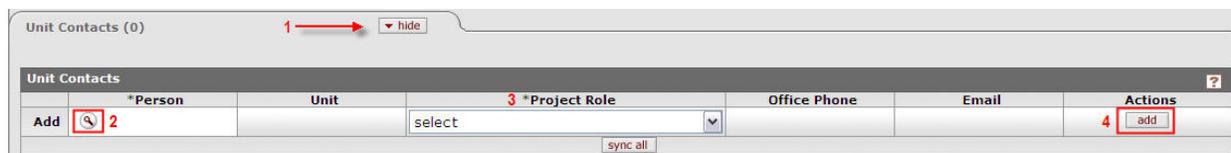
H. Verify unit details.

Expand the Unit details panel below the name of the Principal Investigator. Verify that the correct lead unit has been added. If needed, update the lead unit.

Please note: If the comments in the **Proposal Summary Form** indicate that the proposal is “in affiliation with” or “in conjunction with” a department or center in addition to the lead unit, that unit should be added as a non-lead unit.

I. Add Unit (departmental) administration personnel to the project.

Click on the Unit Contacts **1)** Show/Hide button and **2)** search for the department administrator in the same manner as search for key personnel in Step I. Once the person has been returned to Unit Panel, select either Pre-Award Department Administrator or Post-Award Department Administrator as **3)** Project Role. Click **4)** Add.



J. Click on the Special Review tab and complete the Special Review panel.



A special review refers to a proposal that requires additional review by an institutional committee or official (e.g. proposals that include the use of human participants in research). The Special Review page captures relevant research compliance-related information and other special permissions that may be relevant to the specific project.

Select the 1) Special Review Type, the 2) Approval Status, and enter any applicable information in the remaining fields. If the Approval Status is set to Approved, the Protocol Number and Approval Date become required fields. Click 3) Add to insert a special review item in the system.

K. Click on the Distribution tab to complete the Cost Sharing Panel (if applicable).

The Cost Sharing Distribution section of the Cost Sharing tab is used to allocate any cost sharing committed in the proposed budget. Enter the 1) Fiscal year, 2) Type of cost sharing, 3) Percentage of cost share on the project, 4) the name of the organizational unit responsible for covering the cost-sharing, 5) Amount of cost-share, and click 6) Add. Any comments related to the cost sharing should be added in the provided field.

Multiple lines of cost sharing should be added for each Fiscal Year. Also insert additional lines if there are different types of cost sharing on the project or source accounts contributing to the cost share.

Data Quality	SOP Definition / Use	Required
1) Fiscal Year	This field captures the fiscal year with which the cost-sharing is associated.	Yes
2) Cost Share Type	This field captures the type of cost-sharing that has been proposed (Mandatory, Voluntary-Committed, Cost-Share Memo Match).	Yes

Data Quality	SOP Definition / Use	Required
4) Source Account	This field captures the source of the proposed cost-sharing, if known; for example, “departmental funds,” “Provost’s Office,” etc. An account number does not need to be entered, just the name of the unit who will responsible for contributing the cost-sharing.	Yes
5) Amount	This field captures the dollar amount of the Cost-Share during the indicated fiscal year.	Yes



The Cost Share Memo Match value is used when there is a a third party contributing to the cost share

L. Validate Institutional Proposal.



The Data Validation Panel is where you can activate a validation check to determine if any errors exist or there is incomplete information on the Institutional Proposal record. Click the 1) Turn on Validation button to view any errors or warning in the record.



The system will indicate whether or not there are errors or validations present directly below the turn on validations button. If errors or validations exist, the system will provide you with a link to the tab (page) where the missing data is required.

Once there are no validations or errors present, the record is ready to be finalized.

M. Finalize the Institutional Proposal Record.

To finalize the Institutional Proposal record, click the 1) Blanket Approve button found in the Action Command buttons at the bottom of the page. Confirm that the document was successfully submitted on the upper left hand corner.



### KCRM Document Action Command Buttons Definitions

- Submit** Moves the document (through workflow) to the next step in the process. Once a document is submitted, it remains in 'ENROUTE' status until all approvals have taken place. If there is no workflow for a specific document, the submit button works the same as Blanket Approve.
  
- Save** Allows the initiator of a document to save their work and close the document. The document may be retrieved from the initiator's Action List for completion and routing at a later time.
  
- Blanket Approve** Bypasses all subsequent levels steps in the process and immediately moves a document to final status. Anyone who would normally have received the document for approval receives an Acknowledgement request instead. This action may only be taken by an Administrator.
  
- Close** Signifies that you wish to exit the document. The system displays a message asking if you want to save the document before closing. No changes to Action Requests, Route Logs or document status occur as a result of a Close action. If you initiate a document and close it without saving, it is the same as canceling that document.
  
- Cancel** Denotes that the document is void and should be disregarded. Canceled documents cannot be modified in any way and do not route for approval. They may be copied, however, to a new document.

N. Editing the Institutional Proposal record.

If you need to modify data, you can edit an Institute Proposal after it has been finalized. Start the transaction in the Kuali Coeus Research Management portal and 1) navigate to the **Central Admin** Main Menu Tab. 2) Click the **Search for Institutional Proposal** icon.

When the search results are returned, select the 1) Open link next to the appropriate proposal.

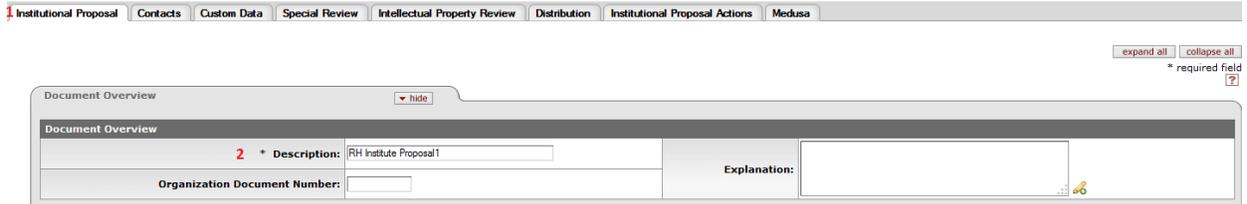
One item retrieved.

Actions	Institutional Proposal Number	Proposal Type	Activity Type	Status	Lead Unit ID	Lead Unit Name	Account ID	Project Title	Sponsor ID	Sponsor Name	Prime Sponsor	Principal Investigator	Requested Start Date	Total Requested Start Date	Requested End Date	Total Requested End Date	Total Direct Cost	Total Total Direct Cost	F&A Cost	Total F&A Cost
1 open	medusa00690425	New	Research	Funded	2442470000	SPH ENVIRONMENTAL HEALTH		RH PL1	301024	HHS/National Institutes of Health		DAVID M OZONOFF	01/01/2015	01/01/2015	12/31/2015	12/31/2018	1,000.00	3,000.00	637.00	1,911.00

Export options: [CSV](#) | [spreadsheet](#) | [XML](#)

The Institutional Proposal document will opened as a read-only document. Click the 1) Edit button in order to make changes.

After the editable version of the Institutional Proposal has opened, you will be able to make changes as required. Before navigating away from the 1) Institutional Proposal tab you will need to re-enter the 2) document description.



The screenshot shows a web interface with a horizontal tab bar at the top containing: Institutional Proposal, Contacts, Custom Data, Special Review, Intellectual Property Review, Distribution, Institutional Proposal Actions, and Medusa. Below the tabs is a 'Document Overview' section with a 'hide' button. The main form area contains the following fields:

<b>2 * Description:</b>	<input type="text" value="RH Institute Proposal 1"/>	<b>Explanation:</b>	<input type="text"/>
<b>Organization Document Number:</b>	<input type="text"/>		

Additional UI elements include 'expand all' and 'collapse all' buttons, a '\* required field' indicator, and a help icon (?) in the top right corner.