Kuali Research User Guide: Create a New Parent Award

Version October 2016

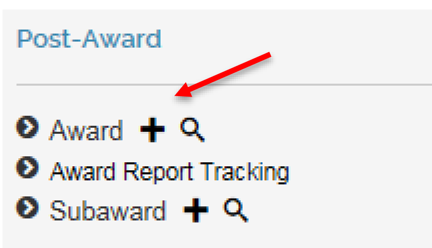
Purpose: To create a new parent award record in the system.

Trigger / Timing / Frequency: When a new award is received by the University and OSP determines that the award can be accepted.

Prerequisites: If the award is the result of a proposal submitted to the sponsor, an Institutional Proposal record should be completed before the new award is created in the system.

User Group Roles: Awards

Menu Path: Central Admin > Post-Award > Awards



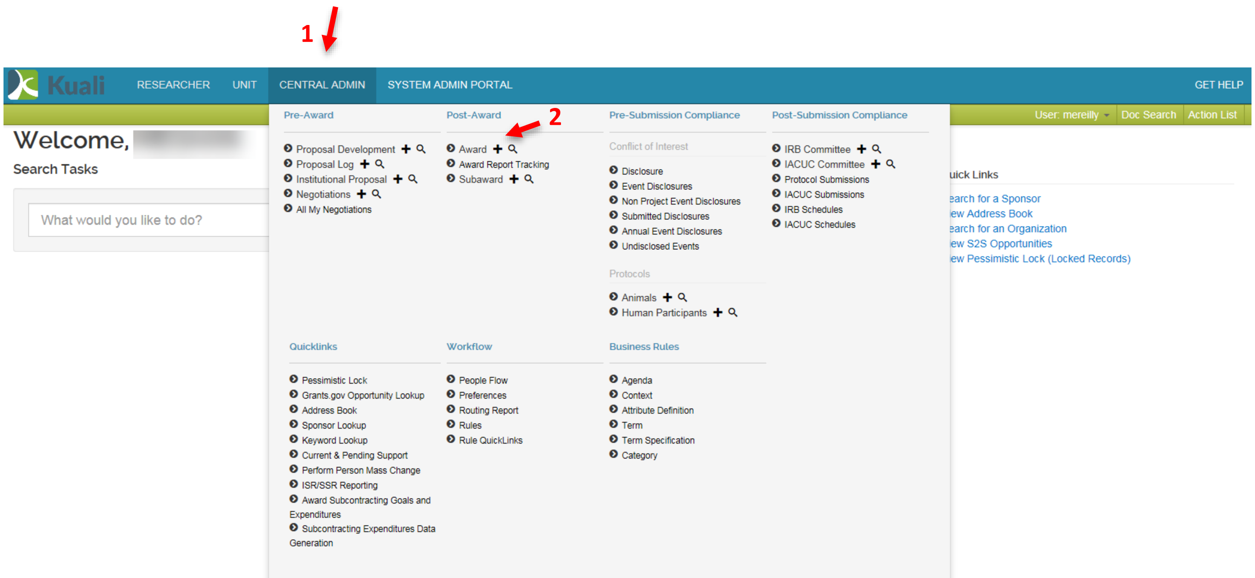
Tips and Tricks: N/A

Results and Next Steps: Parent Award is finalized and the hierarchy and child awards can now be created.

Contents

A. Create a Parent Award.

Start the transaction in the Kuali Research portal and 1) navigate to the Central Admin Main Menu Tab. 2) Click the Add Award icon.



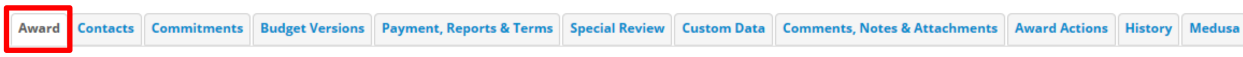
Lookup Fields: Search criteria section fields marked with the Lookup icon (magnifying glass) on the right of the entry box allow you to look up the information to select from in order to specify search criteria and avoid data entry errors. Click the icon to display a list of valid values from which to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

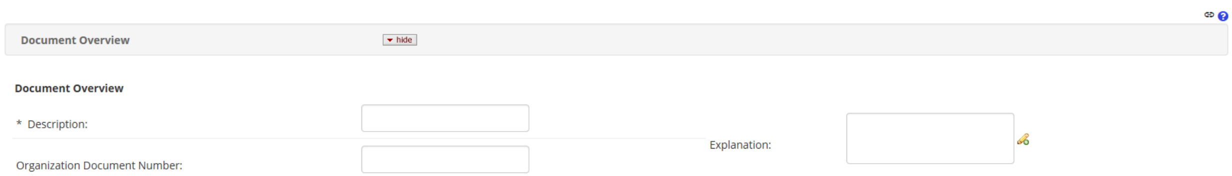
B. Begin completing the Awards Tab

Begin completing the Award document by completing information on the Awards Tab. All required fields on the Award Tab must be completed before the Award document can be saved.



Enter Document Description in the Document Overview Panel for the Award document.

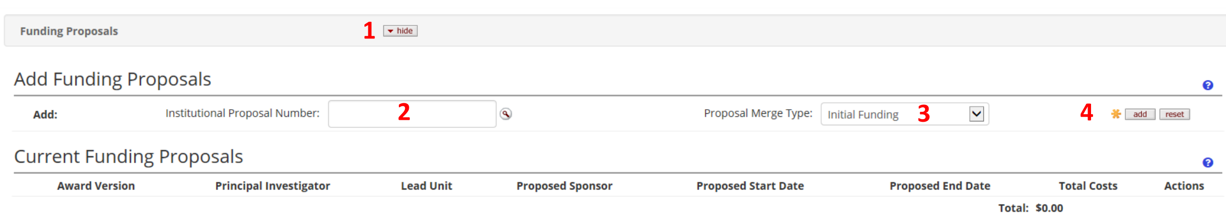
The document description should be the first portion of the award title.



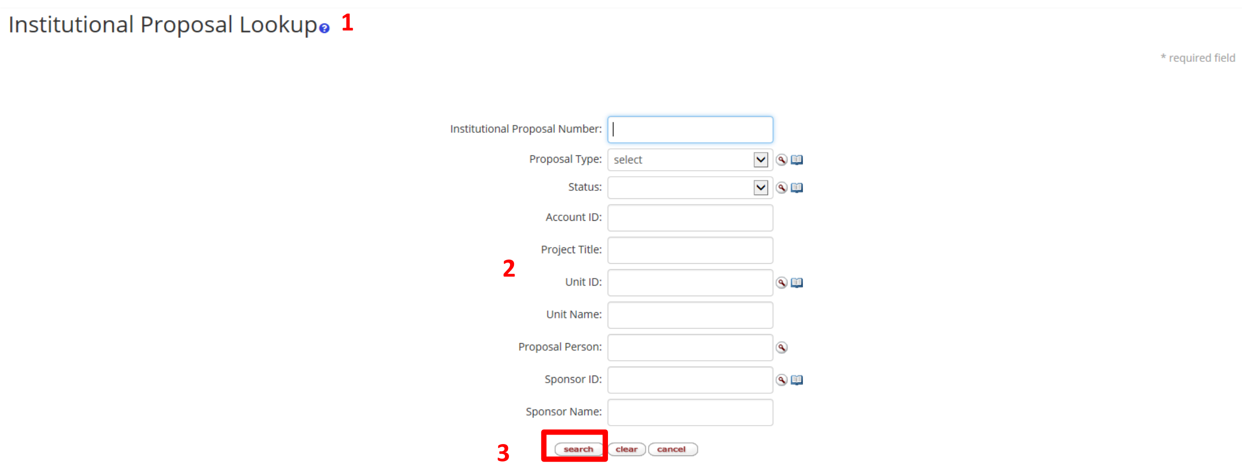
C. Link a pending Institutional Proposal

If this award is in response to a proposal submitted to the sponsor, an Institutional Proposal should be in the system prior to the award being set up. If an award was received from a sponsor without a proposal having been submitted (i.e. Clinical Trial Agreements, Intergovernmental Personnel Agreements), this Step C can be skipped. Click the 1) Show/Hide button to open the Funding Proposal panel. Click on the Institutional Proposal Number 2) Search button to look up and select the Institutional Proposal (see note below for example). Since you are creating a new parent award, 3) Proposal Merge type will default to 'Initial Funding.'

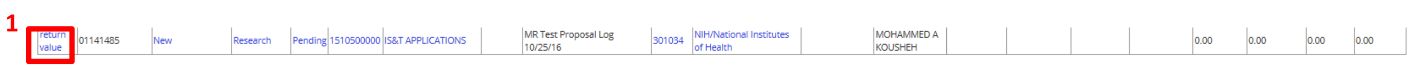
Click the 4) Add button to link the Institutional Proposal to the award.



Note: On the 1) Institutional Proposal Look up screen, enter 2) one or more criteria to narrow your search for the Institutional Proposal. 3) Asterisks can be used as wild cards when performing searches in Kuali Research look up screens

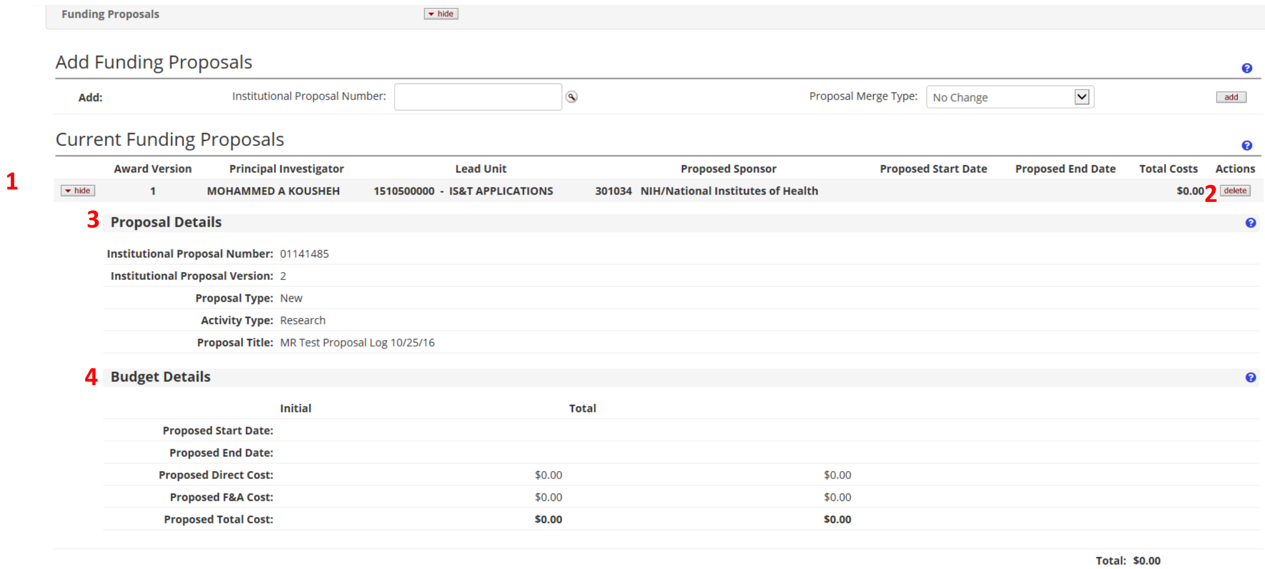


The returned values appear right under the search criteria screen. Click the 1) Return Value link next to the appropriate Institutional Proposal.



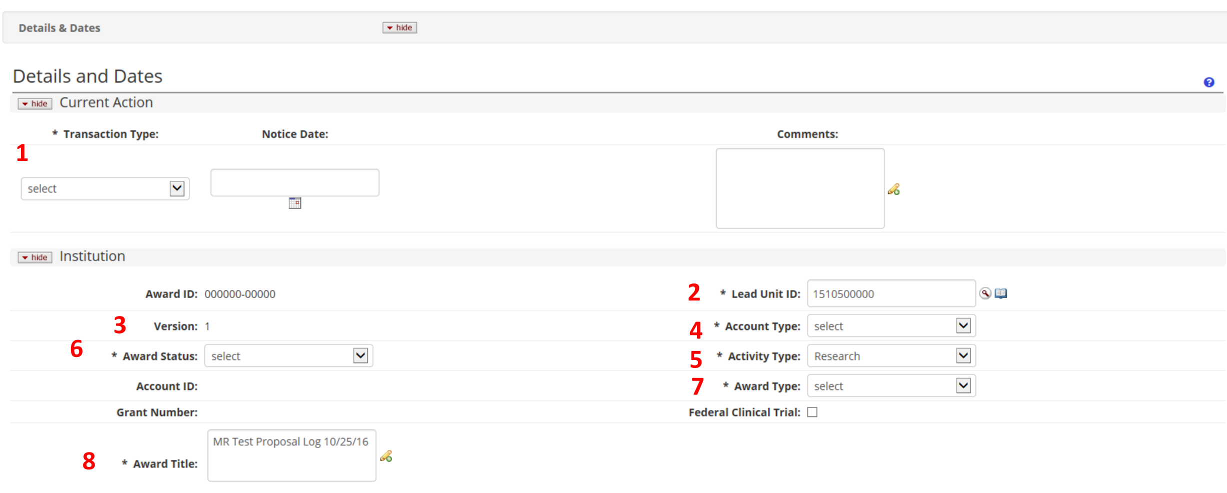
When returned to the Funding Proposal Panel, as mentioned earlier, click the **Add** button to link the Institutional Proposal to the award document.

To view a little more detail from the Institutional Proposal click on the 1) Show/Hide button. To unlink the award from the Institutional Proposal, click on the 2) Delete button. 3) Proposal Details and 4) Budget Details will also be displayed.



D. Complete the Details and Dates panel

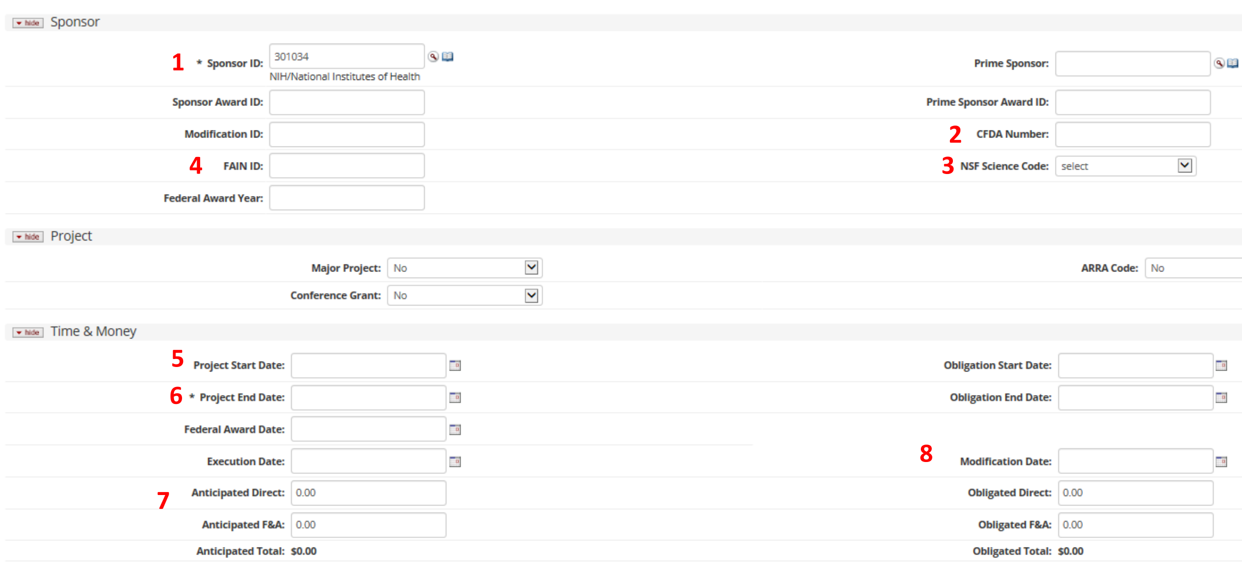
Complete the Current Action and Institutional subpanels. Some of the information on the Details and Details panel is automatically populated from the linked Institutional Proposal. Review this information to make sure it is accurate and no updates are needed.



Data Quality	SOP Definition / Use	Required
1) Transaction Type	This field captures the nature of the current action taking place in the system. At the time of new award creation, the selections are: • **New** • **Renewal** • **Supplement** • **Carryover** • **Continuation** • **Administrative Change** • **Correction** • **Deobligation** • **Increment** • **Rebudget Funds** • **Program Income** • **No-Cost Extension** • **Advance Account** • **Converted Record** • **Interest Income** • **Other – See Comments**	Yes
2) Lead Unit	Each award can be associated with only one lead unit, although other associated units can be listed on the contacts page in relationship to specific Senior/Key Personnel. Lead Unit is synonymous with responsible cost center in SAP.	Yes
3) Version	The system generated version number, indicating the number of times the award has been edited.	
4) Account Type	The Account Type field is used to distinguish between federal and non-federal awards. This is a key field because it will designate the first two digits in the Account ID (SAP Grant Number) when it is created via the interface. If an award is federal flow-through, the Account Type should be set to Federal.	Yes
5) Activity Type	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).	Yes
6) Award Status	This field is used to capture the current status of the award. At the time of new award creation, the options are: • **Pre-Award Billable** • **Pre-Award Not Billable** • **Compliance Hold** • **Approved Award**	Yes

Data Quality	SOP Definition / Use	Required
7) Award Type	This field is used to indicate the type of award. At the time of new award creation, the options are: • **Grant** • **Subgrant** • **Subcontract** • **Consortium Agreement** • **Contract** • **Cooperative Agreement** • **Fixed Price Contract** • **Financial Aid Award** • **Industry Funded Clinical Trial (OCR)** • **Intergovernmental Personnel Agreement** • **Other Transaction Agreement** • **Clinical Trial Agreement**	Yes
8) Award Title	This field is used to capture the Title of the award.	Yes

E. Complete the appropriate fields in the Sponsor, Project and Time and Money subpanels



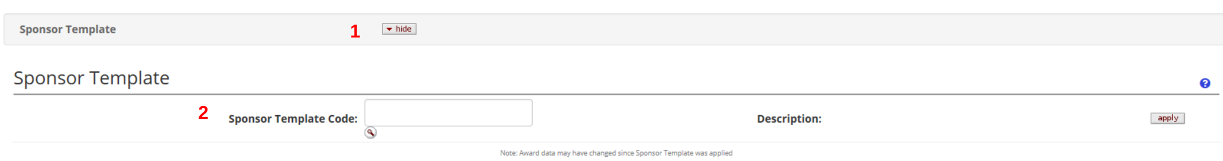
Data Quality	SOP Definition / Use	Required

1) Sponsor ID	This field captures the name of the external entity providing funds to the university. In the case of a subaward to BU, this field will capture the direct sponsor.	Yes
2) CFDA	This field captures the CFDA number, and is required for all federal and federal pass-through awards. It is not required for non-federal awards.	
3) NSF Code	This field captures the NSF Science Code, and is required for all awards (not only NSF awards).	
4) FAIN ID	Field to capture the FAIN ID. This is a required field depending on the Sponsor Type (Federal Sponsors require FAIN).	
5) Project Start Date	The start date of the period of performance (including any pre-award authorization period).	Yes
6) Project End Date	The end date of the period of performance, defined as the current period plus any unfunded periods.	Yes

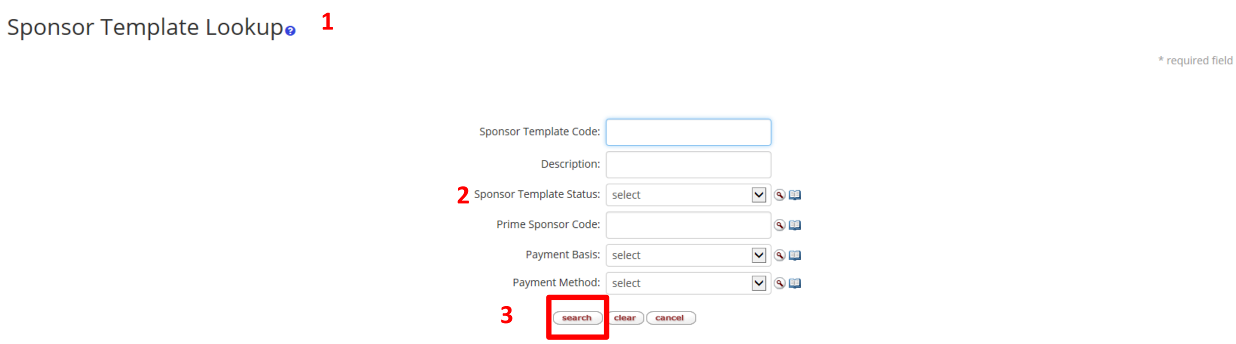
Do not complete the 7) Anticipated Amounts or any of the 8) Obligated information (Start, End, Amounts) as this information will be entered in the system via the Time and Money document for each child and roll up to the Parent Award.

F. Add a Sponsor Template to the Award document.

Click on the 1) Sponsor Template panel Show/Hide button and then click on the 2) Search icon to look up the appropriate Sponsor Template, or enter the appropriate template code if known.



The selection of a sponsor template saves data entry time by automatically loading information about payment, terms and conditions, and reporting requirements, based on a pre-defined template.
On the 1) Sponsor Template Lookup screen, enter 2) one or more search criteria to narrow your results. You may also just click 3) Search to view all Sponsor Templates that have been configured in the system.

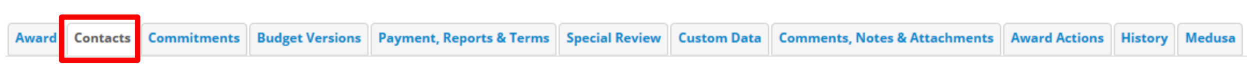


Click on 1) return value next to the appropriate template. If no other applicable template applies to this award, you should select the 2) "default" template. Information populated via a sponsor template can be edited as needed. Click Yes when asked if you are sure you want to apply this Sponsor Template.

25 items retrieved, displaying all items.

Return Value	Sponsor Template Code	Description	Sponsor Template Status	Prime Sponsor Code	Payment Basis	Payment Method
return value	1	Default	Approved Award		Cost reimbursement (Resource Related Billing)	Invoice
return value	2	NIH SNAP	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - DHHSP
return value	3	NIH Non-SNAP	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - DHHSP
return value	4	NIH T32	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - DHHSP
return value	5	NIH F30, F31 & F32	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - DHHSP
return value	6	AFOSR	Approved Award		Cost reimbursement (Resource Related Billing)	Invoice
return value	7	ARO	Approved Award		Cost reimbursement (Resource Related Billing)	Invoice
return value	8	Department of Education	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - EDUCATION
return value	9	DOE	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - ENERGY
return value	10	NSF (PAPP 10-1)	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - NSF
return value	11	NSF	Approved Award		Cost reimbursement (Resource Related Billing)	LOC - NSF
return value	12	ONR	Approved Award		Cost reimbursement (Resource Related Billing)	Invoice

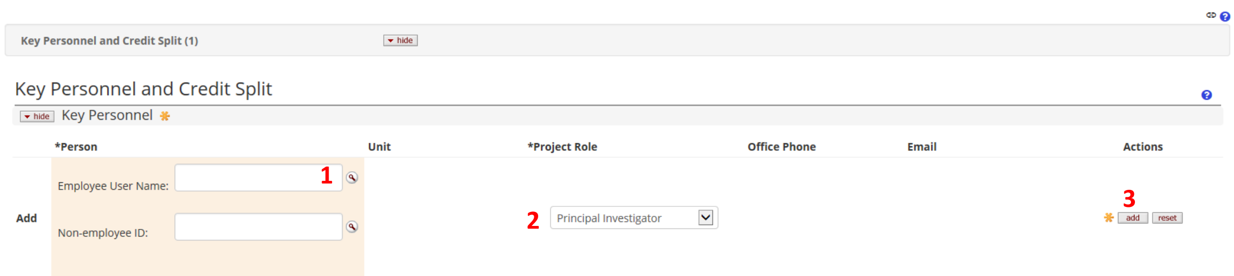
G. Add key project personnel

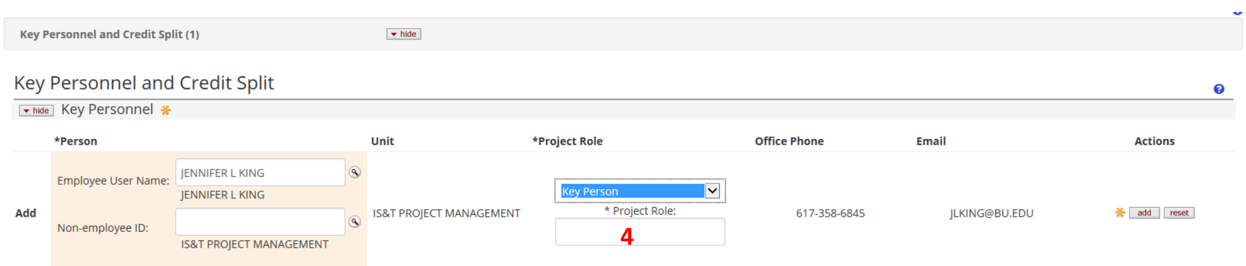


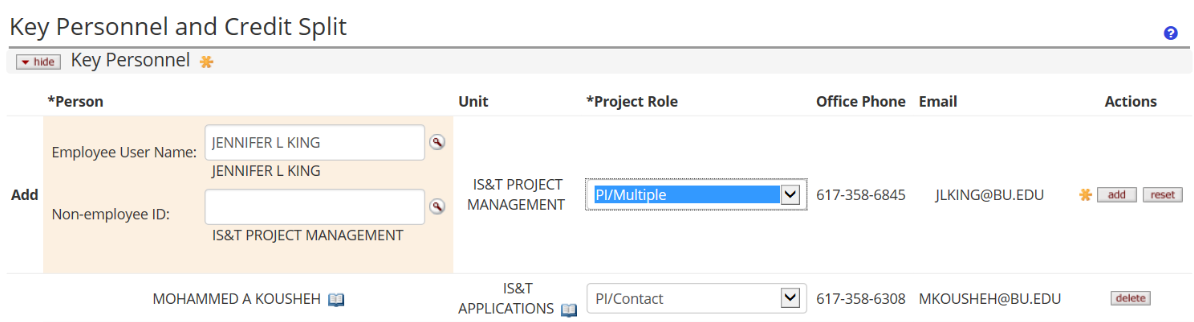
Key Personnel that was added to the linked Institutional Proposal are automatically on this panel. If key personnel have changed since the proposal, make sure to add or delete personnel accordingly.

Only individuals with a PI or CO-I role will be given access in the BW to view all sponsored programs under the grant being set up.

Click on Show/Hide button to open the Key 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 PI/Contact, and for the second investigator should select 5) PI Multiple.

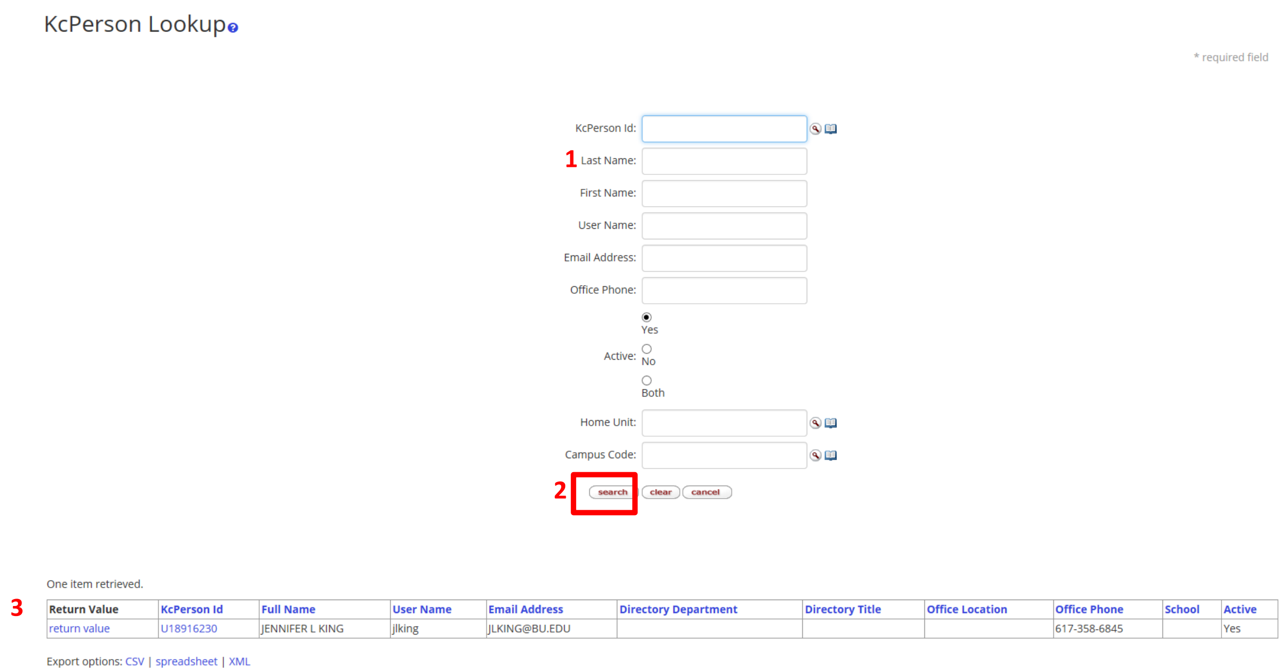






The **Multiple PI:** function will only appear for applicable NIH sponsors.

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.



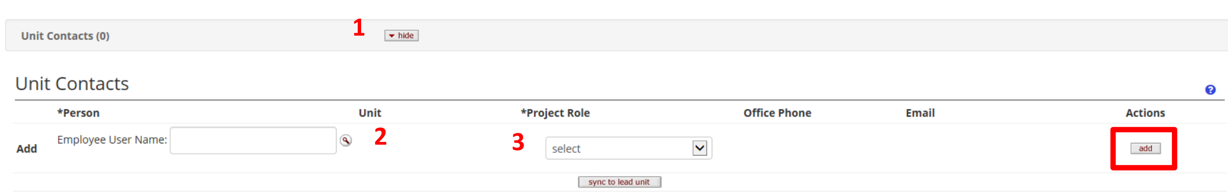
Repeat Step G to add other key personnel to the project, if necessary.

H. Add Unit Contact (department administrator) to the project.

Click on the Unit Contacts 1) Show/Hide button and enter the department administrator's username in the Employee User Name field or 2) search for the department administrator in the same manner as you searched for key personnel in Step G. Once you select the appropriate department administrator, select either Pre-Award Department Administrator or Post-Award Department Administrator as 3) Project Role. Click 4) Add.

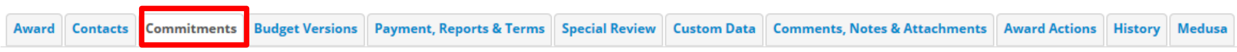
Keep in mind that OSP Administrators are also added to Unit Contacts when the department is not under a certain RA's portfolio (RA not configured to the department and hence not populated in the Central Administration panel).

Unit Contacts added on the parent award will gain view access to all sponsored programs (child awards) in the BW. If necessary, repeat Step H if more than one department administrator needs access.



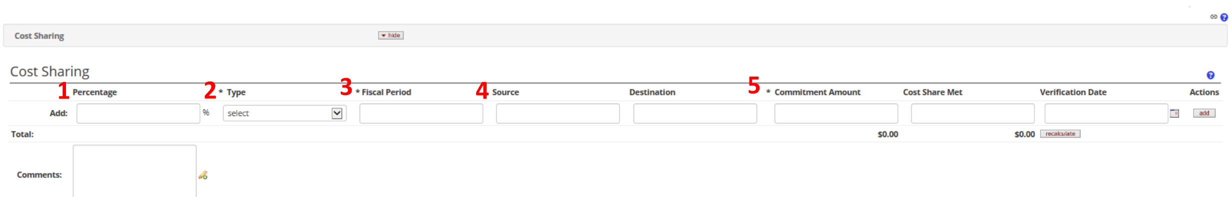
Reminder: If an individual needs to be added to see BW report data, they can be added as an Other Authorized Viewer in the Unit Contacts section.

I. Review and/or edit cost sharing commitments on the award, if applicable.



The Cost-Sharing panel on the Commitments tab is used to enter data related to committed cost-sharing on the project. If cost sharing was entered on the Institutional Proposal at proposal time, the information will be copied over when the Institutional Proposal is linked to this award document.

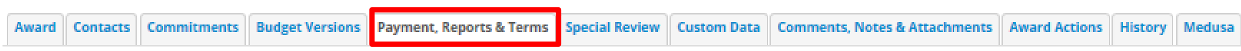
To add a line of cost sharing, you must at least enter the 2) Cost Sharing Type, 3) Fiscal Year, and the 5) Committed Amount.



Data Quality	SOP Definition / Use	Required
2) Cost Share Type	This field captures the type of cost-sharing that has been proposed (for example, Mandatory and Voluntary-Committed).	Yes
3) Fiscal Year	This field captures the fiscal year with which the cost-sharing is associated.	Yes
4) Source	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.	No
5) Commitment Amount	The Committed amount should only represent the direct costs being cost shared by BU (should not include indirect costs).	Yes

Add multiple lines of cost sharing for each fiscal year and/or different types of cost sharing. When award records including cost-sharing data are interfaced to SAP, the interface will create an additional sponsored program with a budget amount equal to the sum of the cost-sharing values entered on this panel. The cost share of direct costs committed for the entire project (all years) should be included at the time of award set-up.

J. Review the Payment, Reports and Terms tab



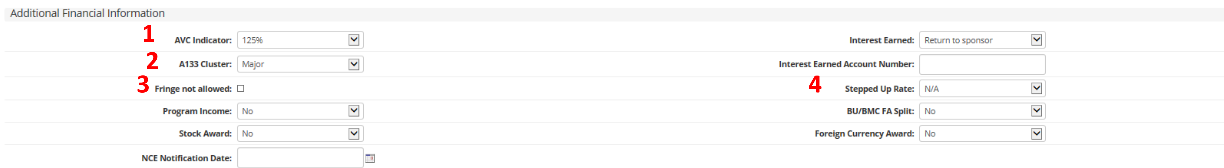
Click on the Payment and Invoice Panel 1) Show/Hide button to review (and edit if applicable) the information on the panel.

Data Quality	SOP Definition / Use	Required
2) Payment Basis	This field captures SAP Billing Rule: **Cost-Reimbursement (Resource Related Billing):** This value is selected when the university will bill the sponsor for reimbursement for expenses incurred. **Milestone:** This value is selected when (a) the university will bill against a predetermined payment schedule, or (b) when payment is tied to the completion of a technical milestone. **Manual:** This value is selected only when specifically directed by PAFO to do so.	Yes
3) Payment Method	This field captures the method by which the University will receive payment for this project. The method of payment can be set to a particular agency's Letter of Credit, the requirement (or non-requirement) to send the sponsor an invoice, or whether an advance payment was requested.	Yes
4) Document Funding ID	This field captures the Document Number found on a federal notice of grant award, for example MH123456 for an NIH award. It can also be used to capture a Purchase Order (PO) number when the Payment Method = Invoice.	Conditional
5) Payment Type	If invoice is selected as the method of payment, this field captures the specific invoice form to be used.	Conditional
6) Frequency	This field captures the invoice frequency.	Conditional
7) Frequency Base	This field captures the date from which the system will calculate the due dates of reports if they must be submitted on a set frequency (for example, quarterly).	Yes
8) Invoice Instructions	This field is used to capture additional comments found in the Notice of Award to assist PAFO with the billing process.	No

If the Payment Method is set to Invoice, complete the Payment Type, Frequency and Invoice Instructions (if applicable). Click 9) Add to insert add the payment type form to the record.

The payment type and frequency will be transmitted to SAP. Only one payment type should be added to the record as the schedule of payments will be maintained in SAP. As a result, the Award Payment Schedule subpanel should not be completed.

K. Complete the Additional Financial Information subpanel.

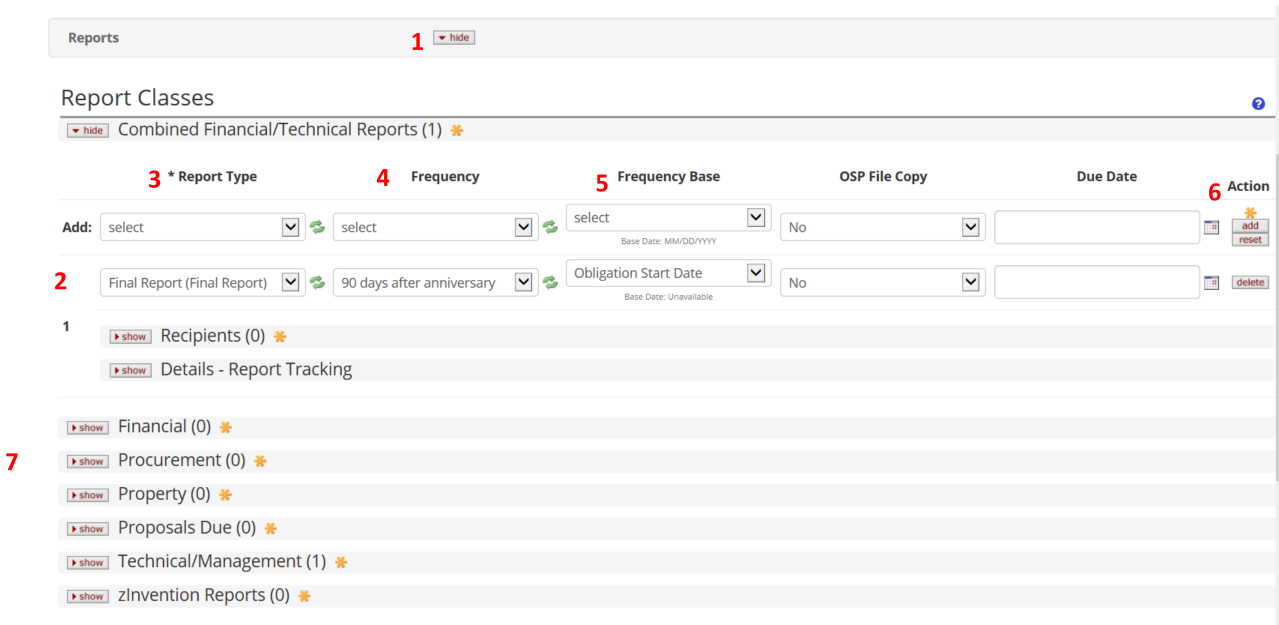


The Additional Financial Information subpanel contains additional data elements that have been added to KCRM to capture information required for BU reports and SAP. Complete all fields that apply.

Data Quality	SOP Definition / Use	Required
1) AVC Indicator	The AVC Indicator has been turned off in SAP, hence this field does not currently need to be completed	No
2) A-133	When the award activity type is *Research* or *Training*, this field should be set to “Major.” Awards with any other activity type should be set to “Non-Major.”	Yes
3) Fringe not allowed	This field is used to indicate if the sponsor does not pay fringe benefits. If the sponsor accepts fringe benefit charges the checkbox should be clear.	
4) Stepped Up Rate:	This field is used when the award is subject to a negotiated federal rate agreement in which the rate changes during the life of the award. Under this circumstance, select the appropriate rate agreement from the drop down list. Selecting a value from this drop-down list will trigger the application of a specific code in SAP that allows the rate to increase in accordance with the rate agreement. If a value is not selected from this drop-down list, the rate will remain constant over the life of the award.	
5) BU/BMC F&A Split	If the F&A for this award will be split between Boston University and Boston Medical Center, this field should be set to “Yes.” The default value for this field is “No.” This field is not used by the Set- Up team.	

L. Review and/or edit reports due to sponsor

Click on Reports 1) Show/Hide button to review (and edit if applicable) the 2) reports due to sponsor. For all 7) report classes applicable to the particular award, review, delete or 6) add required reports(s) by selecting the 3) report from the drop-down list of report types, as well as the 4) frequency and 5) frequency base.

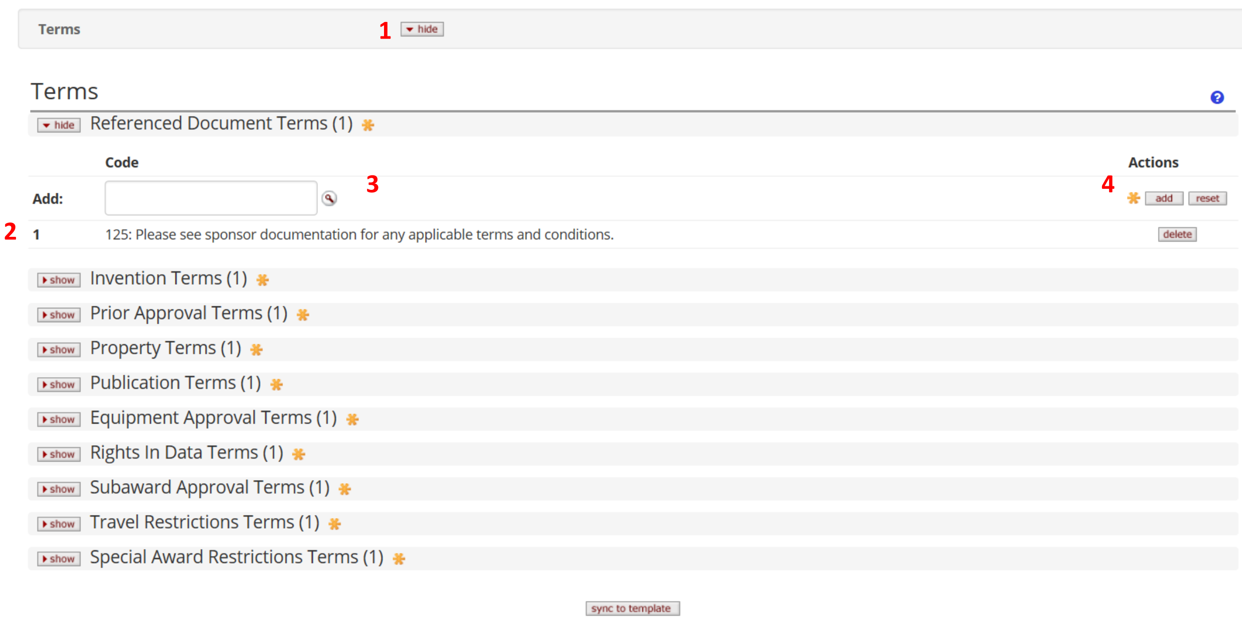


If a report is due more than once, the system will generate the schedule in the Details subpanel, including due dates for each, when the report is 6) added.

Kuali Research requires that at least one required report be entered for each award record.

M. Review and/or edit terms applied to the award

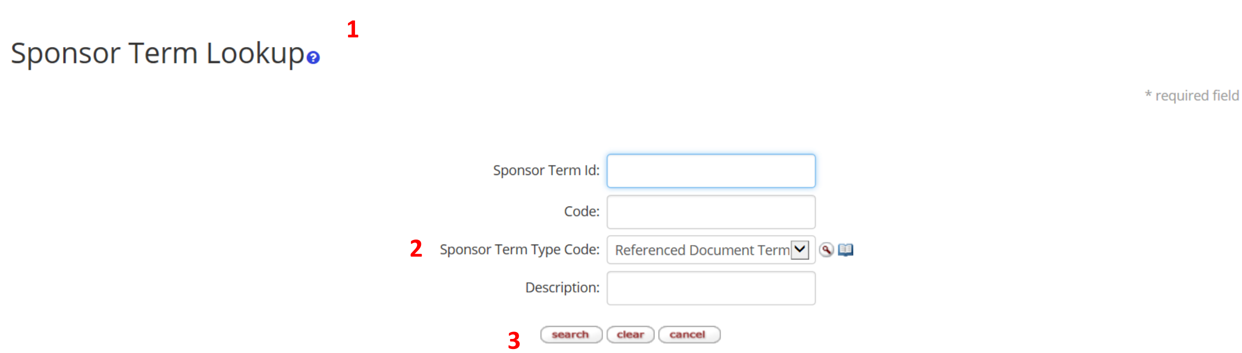
Click on Terms 1) Show/Hide button to review (and edit if applicable) the 2) terms applied to award. Set-Up staff will use the *Terms* panel to highlight important terms and conditions of the award, as well as any special award restrictions. The types of terms are separated by subpanels (categories) as seen in the figure below.



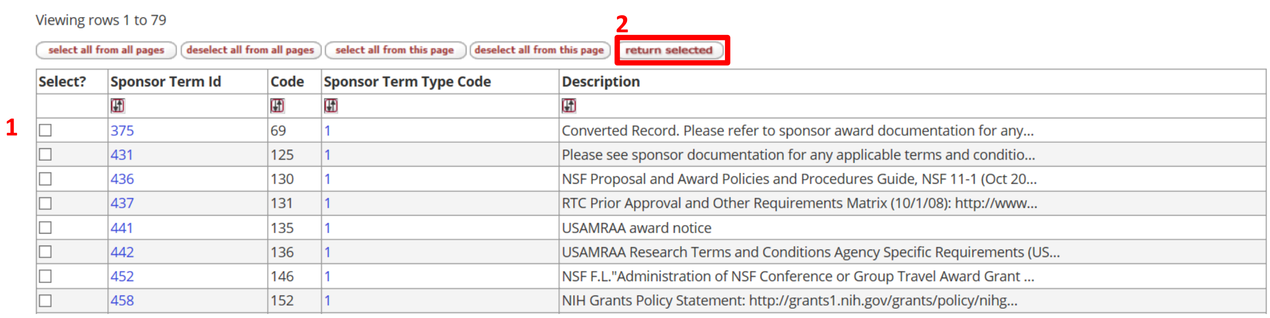
To insert and additional term under any category subpanel, click on the Show/Hide button. Click on the 3) search icon to navigate to the Sponsor Terms Look up screen.

You may bypass the Kuali Lookup screen if the unique identifier for the field is known. In this case enter the code number and click 4) Add

On the 1) Sponsor Term Look up screen, the 2) term category will already be selected for you. Click 3) the search button to view all terms under that term type or enter additional criteria to narrow your results.



The results of the search appear directly below the look up screen. 1) Select the appropriate term(s) to add to the project and click on 2) return selected.


Viewing rows 1 to 79

select all from all pages | deselect all from all pages | select all from this page | deselect all from this page | return selected

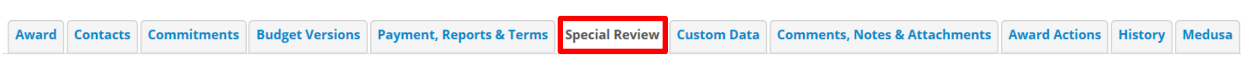
Select?	Sponsor Term Id	Code	Sponsor Term Type Code	Description
☐	375	69	1	Converted Record. Please refer to sponsor award documentation for any...
☐	431	125	1	Please see sponsor documentation for any applicable terms and conditio...
☐	436	130	1	NSF Proposal and Award Policies and Procedures Guide, NSF 11-1 (Oct 20...
☐	437	131	1	RTC Prior Approval and Other Requirements Matrix (10/1/08): http://www...
☐	441	135	1	USAMRAA award notice
☐	442	136	1	USAMRAA Research Terms and Conditions Agency Specific Requirements (US...
☐	452	146	1	NSF F.L."Administration of NSF Conference or Group Travel Award Grant ...
☐	458	152	1	NIH Grants Policy Statement: http://grants1.nih.gov/grants/policy/nihg...

Once return value button has been pressed, the term will be added to the system as seen in the first figure of section M of this document.

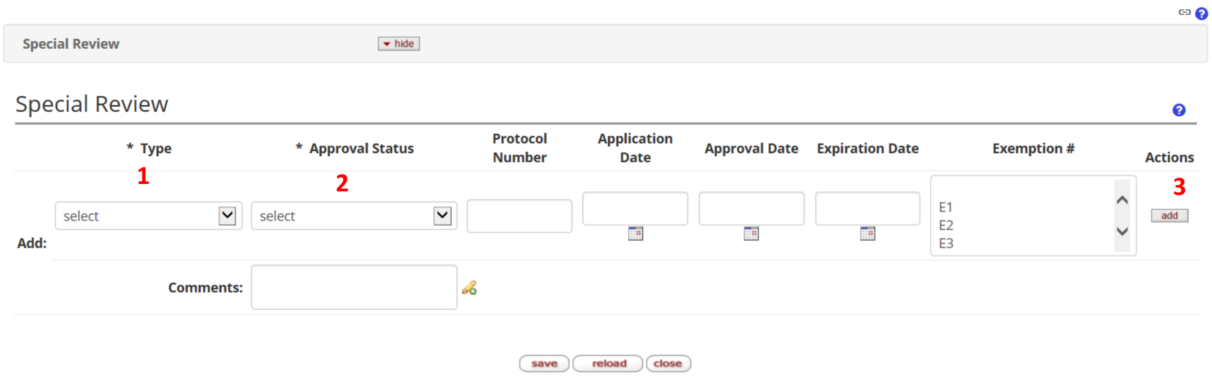
Data Quality	SOP Definition / Use	Required
Special Award Restriction Terms	Set-Up staff will use this term type to indicate: (1) A restriction on any specific budget category. Selecting a term prohibiting expenditures in a specific budget category (term codes 82-119) will result in the shut-off of that category in SAP.	Yes

Reference the Payment, Reports and Terms User Guide for more detailed information on terms. The KCRM Field List Definition Workbook also contains a list of all terms under each category. KCRM requires that at least one term be entered for each category. If there is no applicable term for a particular term type, the default value of "Please review award document for any applicable terms and conditions" can be added to the appropriate category.

N. Complete the Special Review panel.

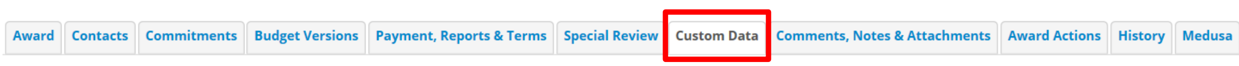


A special review refers to a grant award that requires additional review by an institutional committee or official (e.g. awards that include the use of human participants in research). The Special Review page is where you input relevant research compliance-related information and other special permissions 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. Add subsequent lines as necessary.

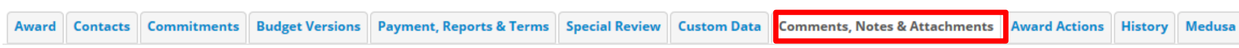
O. Complete the Custom Data tab.



The Custom Data tab contains nine panels, Center Affiliation, Fellowships, General, International Research, Location of Research, Project Relationships, Space, Clinical Trial Information, and Legacy Identifiers. Complete all fields that apply to the award.

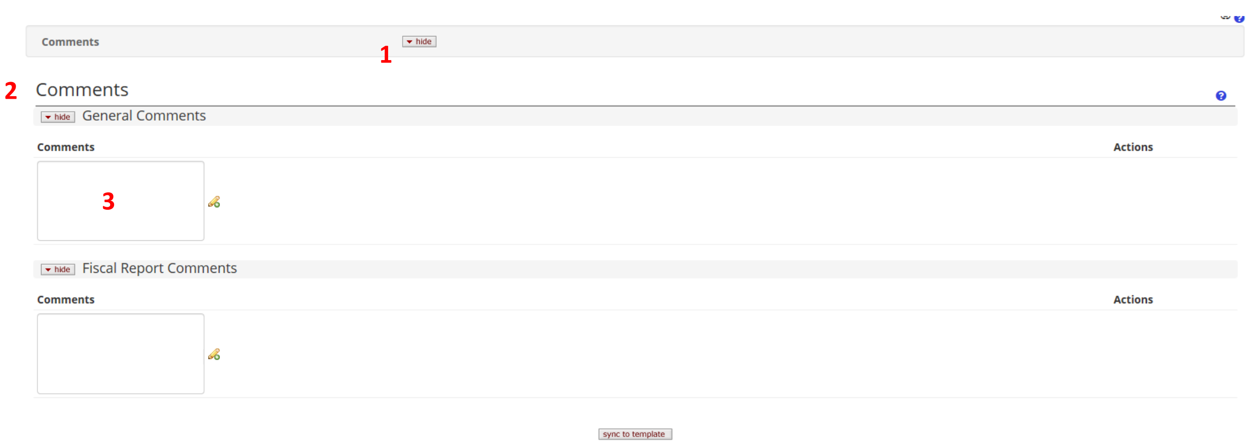
Data Quality	SOP Definition / Use	Required
1) Previous Competitive Segment	If the proposal is a renewal, the 1) Previous Competitive Segment lookup should be used to identify the Award document that represents the parent of the previous segment.	

P. Complete the Comments, Notes and Attachments tab



Set-Up staff will use the Comments, Notes and Attachments tab to add comments about the award that are necessary to clarify or augment existing information about the entire award or a specific transaction within the award.

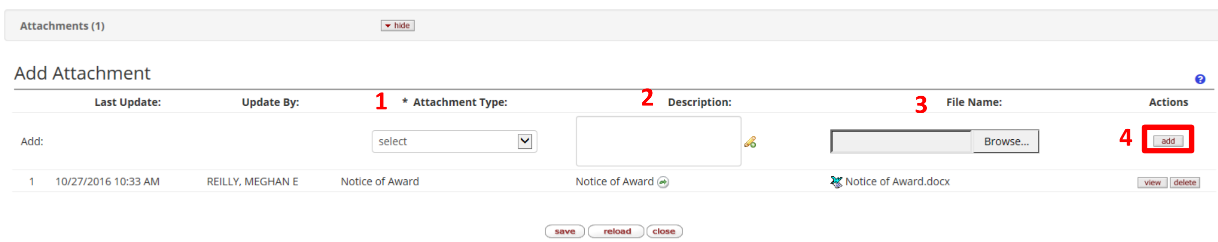
Click on the 1) Show/Hide button of the Comments panel. The 2) comments panel contains two subpanels to enter two different types of comments: General Comments and Fiscal Report Comments. Enter specific transaction comments in the 3) space provided. These comments are viewed by the research community as they are printed on the BU Account Notification sheets that are sent to the PI and departments at time of award. In addition to specific transaction comments, add any comments that should be highlighted for the PI/DA that pertain to life of the award.



Keep in mind that the comments on this version will appear on the Award Notification, but a history of all comments (across versions) can be viewed by clicking on View History.

Q. Upload Notice of Award and other attachments

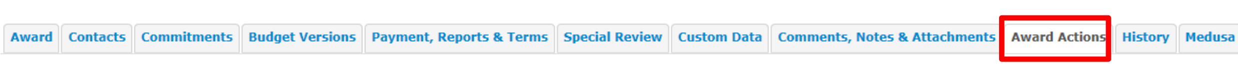
The Attachments panel is used to upload Notice of Awards from the sponsor and other key documents pertaining to the award such as sponsor approved budgets and internal cost sharing budgets. 1) Select the appropriate attachment type, 2) enter an attachment description 3) browse for file in the Research$/BUSP/KCRM share drive and 4) click Add.



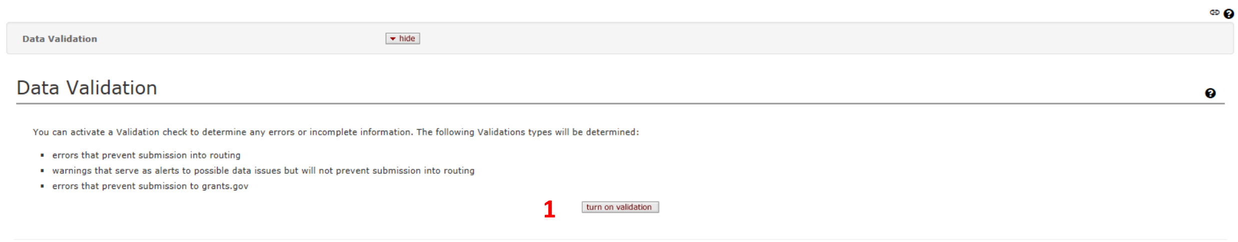
Data Quality	SOP Definition / Use	Required
1) Attachment Type	Select appropriate attachment type.	Yes
2) Description	An attachment description is populated to help Set-Up, OSP and PAFO RAs identify the different attachments uploaded to an award document throughout the life of an award. Standard should be: Today's date: Transaction Type Dollar Amount (if applicable) obligated end date”	Yes
3) File Name	Browse to select the document to be attached.	Yes

All attachments are uploaded in the Parent Award document.

R. Validate the award document



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 Award document. Click on the 1) Turn on Validations button to view any errors or warning in the record.

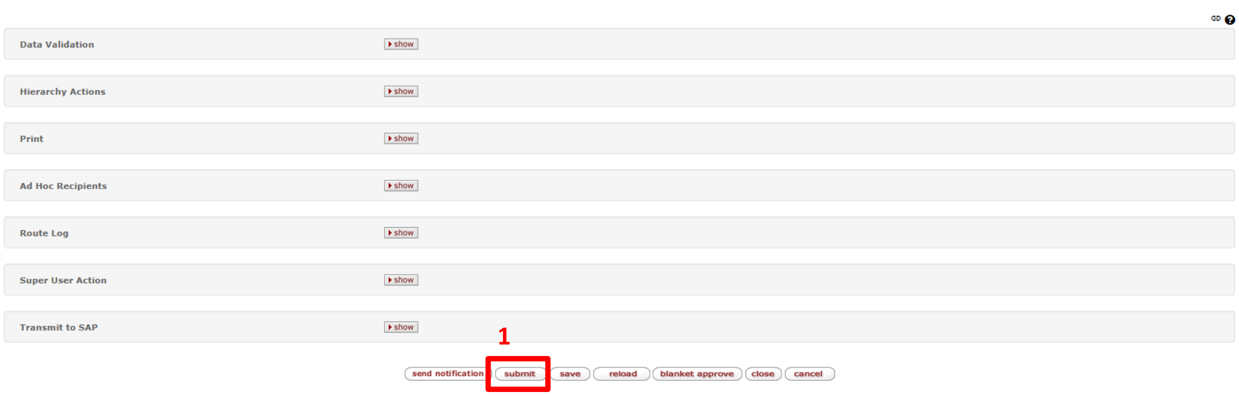


The system will indicate whether or not there are errors or validations present directly below the turn on validations button. If errors or validations exist, the system will provide you with a link (FIX Button) to the tab (page) where the missing data is required.

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

S. Finalize the Parent Award document.

To finalize the parent award, click on the 1) Submit button found on the Document Action Command buttons found at the bottom of the page.



Kuali Research 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. This Action Command Button is not currently used by BU.
Close	Signifies that you wish to exit the document. The system displays a message asking you 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.