

Proposal Development Guide

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The Proposal Development Document

The Proposal Tab



Document Overview Panel

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

Description (Mandatory)

Describes the eDoc. Enter a brief description of the proposal. This description will display in Action List for the proposal initiator as well as for proposal reviewer/approvers.

The recommended data to include in this description:

- Due Date
- PI Last Name, PI First Initial
- Sponsor Initials
- Short Title (using the first 3 characters to identify the funding mechanism, if applicable)

Recommended format: MM/DD/YY_LastNameF_SPONSOR_MEC_Short Title

Example: 07/04/14_TrojanT_NIH_R01_Studies on XYZ

Required Fields for Saving Document Panel

Required Fields for Saving Document	
Proposal Number: 70	* Sponsor ID: 104420 NanoValent Pharmaceuticals, Incorporated
* Proposal Type: New	* Project Start Date: 11/30/2013
* Lead Unit: 2031830600 - Signal and Image Processing Institute	* Project End Date: 11/30/2013
* Activity Type: Data Use	Award Type: Grant
* Proposal Title:	Test

Proposal Number: (Automatically Generated)

A system generated number that can be later used as search criteria in Proposal Development Lookup. This field will remain empty until the proposal development document has been saved

for the first time.

Proposal Type: (Mandatory)

- ✓ New – Represents an original funding request made to a sponsor for a proposed project. No prior proposal has been submitted to the sponsor for the proposed project and the sponsor has not previously made an award to support the proposed project.
- ✓ Resubmission – Represents an application that was previously submitted, but was not funded, and is now being resubmitted for new consideration. A resubmission is generally submitted to make a significant change (e.g., scope of work, budget, facilities, subawards) to a previously submitted proposal not yet funded by the sponsor.
 - If selected, the Original Institutional Proposal ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup (🔍) to link the previous proposal to the current Resubmission.
- ✓ Renewal – Represents a request for additional funding that is intended to extend, or results in the extension of, a project beyond the originally approved project period.
 - If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Renewal.
- ✓ Continuation – Represents a non-competing application for an additional budget period within a previously approved project period. This proposal type is typically used when the sponsor commits to funding the entire project period but requires the submission of a continuation or progress report to monitor progress.
 - If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Continuation.
- ✓ Revision – Represents a request to modify a proposal that is pending or is otherwise unfunded, but not officially declined by the sponsor.
 - If selected, the Original Institutional Proposal ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the previous proposal to the current Revision.

- ✓ Supplement – Represents a request for additional funds to support an existing project during the same project period.
 - If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Supplement.
- ✓ Pre-Proposal – Represents a preliminary proposal submitted to the sponsor in order to determine whether a *full* proposal should be subsequently submitted or to help the sponsor organize a full proposal review.

Lead Unit: (Mandatory)

The Lead Unit is the designated unit responsible for the application and administration of the proposed project. This field includes both the name of the lead unit as well as the lead unit number. You will need to use the lookup to assign a lead unit to the proposal. The lead unit number should always be a 10 digit number.

Activity Type: (Mandatory)

- ✓ Clinical Trial – The controlled, clinical testing of investigational and/or approved drugs, devices, treatments or diagnostics in human subjects where such testing is performed under a sponsor or investigator-developed protocol covered by an IND or IDE from the FDA.
- ✓ Conference – Supports the costs of a meeting or meetings.
- ✓ Data Use – The sharing of data and an agreement that establishes the ways in which the information in a limited data set may be used and how it is protected.
- ✓ Equipment – The acquisition of equipment, including grants of equipment or full or partial funding to enable the purchase of equipment and where the title to such equipment vests with USC.
- ✓ Fellowship – Training or subsistence during training to either graduate students or post-doctoral candidates training in research techniques.
- ✓ Instruction – The development or enhancement of a curriculum.
- ✓ Non-Disclosure – The exchange or disclosure of proprietary information between two or more parties.

- ✓ Public Service – Scholarly or professional training or services to individuals or sponsor-designated recipient groups, where such groups are external to the University.
- ✓ Applied Research– The systematic use and practical application of findings/theories in studies involving useful products, where such studies are designed to test and/or evaluate practical application of proposed solutions.
- ✓ Basic Research – Directed toward research that increases knowledge of the subject being studied. This includes activities that seek to increase the understanding of fundamental phenomena.
- ✓ Developmental Research – Normally follows basic research and attempts to expand the potentialities of new discoveries.
- ✓ Training – Scholarly, professional, or occupational instruction primarily for graduate students or University employees (including post docs) and includes training awards made to USC that provide for selection of student recipients by academic units.
- ✓ Tuition – Funding to provide tuition remission for students.
- ✓ Collaboration– Unfunded activity with the intent to work together to submit a proposal and/or achieve a common goal.
- ✓ Service - Providing consulting or other services, including business services, testing (re-charge centers); work-for-hire; independent contractor agreements.
- ✓ Other – Serves as the catchall for activities not reflected in the rest of the list.

Proposal Title: (Mandatory)

The title of the proposal. This should match the face page of the proposal.

Sponsor ID: (Mandatory)

The Sponsor to which the Proposal is being submitted. Utilizing the lookup (🔍), select the appropriate Sponsor ID. Once populated, this field will include both the name of the Sponsor as well as the Sponsor ID number.

Project Start Date: (Mandatory)

The anticipated date the project will begin. For *continuations* or *renewals*, the date should mark the beginning of the new period of performance. For *supplements* or *revisions*, the date should match the current project period.

Project End Date: (Mandatory)

The anticipated date by which the project will be completed. For *continuations* or *renewals* the date should mark the end of the new period of performance. For *supplements* or *revisions*, the date should match the current project period unless more time is being requested.

Award Type: (Mandatory)

- ✓ Grant - Award of financial assistance with PI-defined work scope.
- ✓ Contract - An agreement to procure research services or other services from USC. Activities performed under contract are more closely controlled by the sponsor than those performed under a grant.
- ✓ Cooperative Agreement - An award of financial assistance in which the sponsor may be actively involved in defining the scope of work or program and/or anticipates having substantial involvement in the performance of the project.
- ✓ Subcontract - A document written under the authority of and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement) that transfers a portion of the research or substantive effort of the prime award to USC.
 - If Subcontract is selected as the award type, the *Prime Sponsor ID* field in the Sponsor & Program Information Panel becomes mandatory. The prime sponsor is the entity that will issue an award under which USC will receive its Subaward.

For example, the National Science Foundation is a prime sponsor if it makes an award to the California Institute of Technology (Cal Tech) and Cal Tech issues a Subaward to USC under its NSF prime award.
- ✓ Data Use Agreement - An agreement that governs the sharing of data. It establishes the ways in which the information in a limited data set may be used and how it is protected.
- ✓ Equipment Agreement - An agreement to provide equipment and/or funding to purchase equipment.
- ✓ IDIQ Master Agreement - (Indefinite Delivery, Indefinite Quantity) A type of contract issued when a sponsor has identified a need for services, but does not know precisely how or when these services will be required. The terms and conditions of the IDIQ Master Agreement are negotiated and accepted by both parties, but it does not contain a

statement of work or provide any funding.

- ✓ Master Agreement - An agreement that embodies established terms and conditions of a basic relationship between USC and a sponsor. A Master Agreement typically covers publication, confidentiality, intellectual property, indemnification, publicity, notice and access to information, but it does not contain a specific statement of work or provide funding.
- ✓ Non-Disclosure Agreement - An agreement to treat specific shared information as confidential, proprietary or trade secret and to prohibit disclosure to others without proper authorization.
- ✓ Collaboration Agreement - An agreement involving USC and additional parties who plan to combine resources to work together to submit a proposal and/or achieve a common goal.

Institutional Fields (Conditionally Required)

Institutional Fields Conditionally Required ?	
Previous Award ID:	<input style="width: 100%;" type="text"/> 🔍
Original Institutional Proposal ID:	<input style="width: 100%;" type="text"/> 🔍

This panel allows the proposal preparer to link awards and/or previously submitted proposals to the current proposal. These fields should be empty unless the current proposal is a:

- Continuation → Requires a Previous Award ID
- Supplement → Requires a Previous Award ID
- Renewal → Requires a Previous Award ID
- Revision → Requires a Previous Original Institutional Proposal ID
- Resubmission → Requires a Previous Original Institutional Proposal ID

How to Link a Previous Award ID or Original Institutional Proposal ID

1. Select either the Previous Award ID or Original Institutional Proposal ID lookup (🔍), depending on the type of proposal you are currently submitting (see above).
2. Enter any relevant search criterion that best helps locate the Previous Award ID or Original Institutional Proposal ID you are trying to link.

- o For Previous Award ID, the recommended search criteria are Account ID, Sponsor Award ID or Investigator.
 - o For Original Institutional Proposal ID , the recommended search criteria are Proposal Title or Unit ID.
3. Click “Search”.
 4. Click “Return Value” next to the previous Award or Institutional Proposal you want to link.
 5. The Previous Award ID or Original Institutional Proposal ID (whichever you searched for) will be loaded into the relevant field as indicated by its numeric identifier (see below).

Previous Award ID:	<input type="text"/>
Original Institutional Proposal ID:	68

Sponsor & Program Information Panel

Sponsor & Program Information	
Sponsor Deadline Date: 11/27/2013	Notice of Opportunity: select
Sponsor Deadline Type: select	CFDA Number: <input type="text"/>
Sponsor Name: NanoValent Pharmaceuticals, Incorporated	Opportunity ID: <input type="text"/>
Prime Sponsor ID: <input type="text"/>	Sponsor Proposal ID: <input type="text"/>
NSF Science Code: select	Does this proposal include subaward(s)?: <input type="checkbox"/>
Sponsor Div Code: <input type="text"/>	Sponsor Program Code: <input type="text"/>
Opportunity Title: <input type="text"/>	USC Deadline Date: 11/27/2013
After the fact?: <input type="checkbox"/>	

This panel contains general information about the sponsor, solicitation, and deadline dates.

Deadline Dates (Mandatory):

You must enter deadline date information for *at least one* of the fields below:

1. **Sponsor Deadline Date**
The sponsor’s deadline date indicated in the solicitation.
2. **USC Deadline Date**
The date by which the PI expects the proposal to be submitted to the sponsor.

- o The type of proposal review given by DCG depends upon the number of days the proposal is received in advance of deadline. If the USC Deadline Date is earlier than the Sponsor Deadline Date, the USC Deadline Date will be used to determine the review type.

3. After the Fact?

This box should be marked for proposals submitted after the sponsor’s due date or at the time of the award.

Prime Sponsor ID (Conditionally Mandatory)

This field is mandatory only when “Subcontract” is selected as the *Award Type*. The prime sponsor is the entity that will issue an award under which USC will receive its Subaward. Utilizing the lookup (🔍), search for and select the Prime Sponsor’s ID. Once populated, this field will include both the name of the Prime Sponsor as well as the Prime Sponsor’s ID number.

NSF Science Code (Conditionally Mandatory)

This field is mandatory only when the National Science Foundation (NSF) has been selected as the Sponsor. The NSF Science Code is a number used to indicate the type of research activity associated with the solicitation (as defined by the National Science Foundation).

Does This Proposal Include Subawards? (Conditionally Mandatory)

This box should only be checked if there are Subawards included in the proposal. If this box is checked, all Subawards should be listed in the Subawards Panel.

Subawards Panel (Conditionally Mandatory)

Approved Subawards ?			
	* <u>Organization Name</u>	* <u>Amount</u>	<u>Actions</u>
Add:	<input type="text" value=""/> 🔍	<input type="text" value="0.00"/>	<input type="button" value="add"/>
1	Psychic Bunny, Incorporated 📖	<input type="text" value="50,000.00"/>	<input type="button" value="delete"/>
Total:		\$50,000.00	<input type="button" value="recalculate"/>

The Subaward Panel is mandatory only if the proposal being submitted to the sponsor contains Subaward(s). If so, this panel should list all of the Subaward organizations for the proposal along with the full Subaward amounts (i.e., the full amount across all project periods). If there are *any* Subaward organizations present in this section, please ensure the following:

1. The “Does This Proposal Include Subawards?” box is checked in the Sponsor & Program Information Panel.

2. The Subaward organization and amount is also reflected in the budget, budget justification, and technical scope of work.
3. FCOI documentation is uploaded for each Subaward if the proposal is for a PHS sponsor.

Organization/Location Panel

Applicant Organization ?			
USC	USC 3720 S. Flower Street, Los Angeles, CA 90089-0701		
▼ hide Congressional Districts			
Add:	State: <input type="text" value=""/> ▼	District Number: <input type="text" value=""/>	<input type="button" value="add"/>
1	CA-037	<input type="button" value="delete"/>	
Performing Organization ?			
USC	USC 3720 S. Flower Street, Los Angeles, CA 90089-0701		
▼ hide Congressional Districts			
Add:	State: <input type="text" value=""/> ▼	District Number: <input type="text" value=""/>	<input type="button" value="add"/>
1	CA-037	<input type="button" value="delete"/>	
Performance Site Locations ?			
Add:	<input type="text" value=""/>	Address (Select)	Actions <input type="button" value="add"/>
Other Organizations ?			
Add:	<input type="text" value=""/>	Address (Select)	Actions <input type="button" value="add"/>

The Organization/Location panel captures the official institution address as well as other sponsor-requested organization data. This information should be reviewed, and any additional performance site locations should be noted here.

Once you have entered a Lead Unit for the proposal and clicked on the Save button, this section will populate with organization data that is maintained in the system.

Applicant Organization:

The Applicant Organization data populates based on the Lead Unit entered on the proposal. The official USC campus address appears as the Applicant Organization, and this data varies depending on whether the Lead Unit is based on UPC, HSC, or other location. This data cannot be edited within the proposal; however, the Congressional district can be edited within the proposal.

Performing Organization:

The Performing Organization data populates based on the Lead Unit entered on the proposal. The official USC campus address appears as the Performing Organization, and this data varies depending on whether the Lead Unit is based on UPC, HSC, or other location. This data

cannot be edited within the proposal; however, the Congressional district can be edited within the proposal.

Performance Site Locations:

The Performance Site Location(s) indicate where the project work will be performed. Organizations added under the Subawards panel are added automatically to the list of Performance Site Locations. Additional sites can be added as needed.

Other Organizations:

If other organizations will be involved in the project, they can be added here.

Key Personnel Tab (Mandatory)

Add Key Person

*Person:	<input type="text" value="Employee Search"/> <input type="text" value="Non-employee Search"/>	*Proposal Role:	<input type="text" value="select"/> ▼
<input type="button" value="clear"/> <input type="button" value="add person"/>			

Principal Investigator is a required field prior to submission. Only one PI is allowed.

The Key Personnel Tab is where you enter all identified USC Principal Investigators (PI's), Co-Principal Investigators (Co-PI's), and Key Persons (ex. Co-I's). For every PI, Co-PI or Key Person listed, a series of subpanels will populate for that individual, detailing summary information about them (descriptions are provided below).

▶ show	Person Details
▶ show	Extended Details
▶ show	Degrees
▶ show	Unit Details
▶ show	Proposal Person Certification (Complete)
▼ hide	Conflict of Interest Details

You are only required to enter USC Principal Investigators (PI's) and Co-Principal Investigators (Co-PI's) in the Key Personnel Section. Do not include outside Subaward Co-PI's in this section of KC (though they should be reflected in the application itself.)

If you have Key Personnel at other schools at USC (e.g. Co-Investigators), you may enter them as Key Personnel. This will automatically generate an “Ad Hoc FYI” (See Route Log Section - Page 35) to the person and the Dean of their school. If you do not wish to enter the additional Key Personnel, you will need to “Ad Hoc FYI” the Key Personnel directly so they are notified that

they have been included in the proposal. The schools housing any Key Personnel do not need to approve the proposal in order to successfully route and submit the proposal as this only occurs for those listed as Principal Investigators (PI's) and Co-Principal Investigators (Co-PI's).

Definitions

Principal Investigator

The USC employee responsible for the scientific, technical and administrative conduct of the proposed project.

Co -Principal Investigator

The investigator sharing equal responsibility with the PI for the direction of a sponsored research award.

Proposals to an NIH sponsor have the option of designating a Co-PI as a regular Co-PI or as a Multiple Investigator. Select the investigator using the search, select Co-PI, and an additional check-box will appear. Check the Multiple PI checkbox to indicate the investigator is a Multiple PI rather than a standard Co-PI.

*Person: Tommy Trojan	*Proposal Role: Co-Principal Investigator	Multiple PI: <input type="checkbox"/>
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Key Person

A named contributor (other than the PI or Co-PI) who is integral to the proposed sponsored project or who makes a significant contribution to the scientific development or execution of the project

- o If a Key Person is selected, an additional mandatory field will appear, called *Key Person Role*. This is a free text field and you will be required to enter the Key Person's title/role in the project.

Personnel Subpanels

Person Details

Contains the name, address, phone number, and basic education information for the selected individual.

Extended Details

Contains extended information regarding the selected individual.

Degrees

Contains degree information for the selected individual, including the degree type, description, graduation year and school.

Unit Details

Specifies the unit associated with the selected individual.

Proposal Person Certification (Mandatory)

The PI and Co-PI(s), if any, must answer these certification questions in order to complete the proposal.

- If the Principal Investigator is the person creating the proposal in KC, these questions should be filled out at this time.
- If the Research Administrator is the person creating the proposal in KC, these questions will be answered once the proposal has been routed to the PI for approval.
- Any Co-Principal Investigators listed in the KC proposal will be required to answer these questions once the proposal has been routed to them for approval.

Conflict of Interest Details

The Conflict of Interest Subpanel details the *date of disclosure* and *training expiration date* of the Key Personnel. This information is directly fed from the university's diSclose system.

Proposals submitted to any PHS sponsor must have up-to-date disclosure information. Should the proposal be awarded, funds will not be released unless the date of disclosure and training expiration date are current.

Special Review Tab (Conditionally Mandatory)

	* Type	* Approval Status	Protocol Number	Application Date	Approval Date	Expiration Date	Exemption #	Actions
Add:	select select IRB IACUC CIRC CTO	select					E1 E2 E3	add
	Comments:							

The Special Review Tab contains research compliance-related information for:

- Human Subjects (IRB)
- Animal Subjects (IACUC)
- Clinical Trials (CTO)
- Conflict of Interest (CIRC)

If the proposal contains information related to any of the above compliance items, it must be reflected in this section of the KC Proposal.

Type

The type indicates which compliance item, if any, is relevant to the proposal.

- o IRB - Institutional Review Board
This should be selected if the proposal contains human subjects.
- o IACUC - Institutional Animal Care and Use Committee
This should be selected if the proposal contains animal subjects.
- o CIRC - Conflict of Interest Review Committee
This should be selected if a conflict of interest must be resolved.
- o CTO - Clinical Trials Office
This should be selected if the proposal is for a clinical trial with patient care costs.

Approval Status

The approval status indicates if the listed compliance item is approved, exempt, or pending.

- o Approved
If selected, the Protocol #, Application Date, and Approval Date must be provided.
- o Exempt
If selected, the Protocol #, Application Date, and Approval Date must be provided.
- o Pending
If selected, only the Application Date needs to be provided.

Protocol Number

The unique identifier assigned to the protocol submitted for regulatory review. This identifier will be different for each of the four compliance types.

Application Date

The date the protocol was submitted to the regulatory committee.

Approval Date

The date the protocol was approved by the regulatory committee.

Expiration Date

The date after which the existing protocol expires.

Comments

A free-text field for adding any relevant information regarding regulatory review.

Exemption #

One of six categories of exempt research specified by the Code of Federal Regulations ([45 CFR 46.101\(b\)](#)).

If the proposed project is exempt, an exemption number must be issued and entered into this field.

The Six Exemptions:

- o E1 – “Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.”

- o E2 – “Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
 - (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.”

- o E3 – “Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.”

- o E4 – “Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.”

- o E5 – “Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:(i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to

those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.”

- o E6 – “Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.”

Abstracts and Attachments Tab (Mandatory)



The Abstracts and Attachments Tab is where all of the Proposal, Personnel, and Internal attachments related to the proposal will be located. Depending on the sponsor guidelines, some of the panels will be mandatory and others will not. DCG Administrators will use this tab to review the attached proposal information and match it to the solicitation and KC proposal development document fields. The Abstracts and Attachments Tab is where every piece of documentation that is going to be submitted to the sponsor will be linked to the proposal.

Proposal Attachments Panel

Add Proposal Attachments			
* Attachment Type:	Narrative	* File Name:	Choose File No file chosen
Status:	Incomplete	Contact Name:	
Uploaded By:		Email Address:	
Posted Timestamp:		Phone Number:	
Comments:			Description:

Attachment Type (Mandatory)

The proposal document(s) that are to be submitted to the sponsor.

- Equipment
- Bibliography
- Other
- Additional Key Persons
- Additional Equipment
- Personal Data
- Facilities
- Table of Contents
- Supplementary Documentation
- Subaward Budget
- Abstract
- Sponsor Guidelines
- Subaward Scope of Work
- Cover Letter
- Budget Justification
- Project Summary
- Narrative
- Grants.gov Package

Notes About This Section:

The Final Grants.gov file or Final Documents to the Agency should be utilized by selecting the attachment type “Grants.gov Package” or by selecting each individual attachment type and uploading the documents individually. If submitted via Fastlane (NSF Submissions), please add a note in the “Notes” panel denoting this.

Status (Mandatory)

Denotes whether the attachment is complete/incomplete.

- Complete – Requires no more edits and is finalized. The document is ready to be submitted to the sponsor.

All attachments must have a Complete Status in order to be approved by DCG.

- Incomplete – Requires more editing and is not finalized. The document is not ready to be submitted to the sponsor.

Uploaded By (Automated)

Automatically displays the name of the individual who uploaded the attachment.

Posted Timestamp (Automated)

Automatically displays the exact date/time the attachment was uploaded to the system.

Comments (Optional)

A free text field where additional comments related to the attached document can be entered.

Contact Name (Optional)

The name of the individual to be contacted if subsequent viewers/approvers have questions regarding the document.

- Because multiple users can help prepare a proposal in KC, this field allows subsequent approvers (including DCG) to directly contact the person who uploaded the proposal attachment, should they have questions.

Email Address (Optional)

The e-mail address of the individual named in the Contact Name field.

Phone Number (Optional)

The phone number of the individual named in the Contact Name field.

Description (Optional)

A brief summary of the attachment that is being uploaded.

File Name (Automated)

Automatically displays the file name of the file that has been attached as it appears on the user’s local hard drive.

- Please note: Nonstandard characters in the file name will cause upload errors. Allowable characters include letters, numbers, hyphens, and underscores.
- Nonstandard characters include () * ! > < \ | & .

To Upload a File:

- Choose File Button → Click the file (on your local PC) → Add

Confirm that all attachments uploaded are required, per the solicitation. If there is no solicitation, then, at a minimum, there must be a "Narrative Attachment".

For every uploaded attachment in the Proposal Attachment Panel, a subpanel will be generated reflecting the upload (see below). By clicking the “Show” button, you can view and/or delete each document.



Personnel Attachments Panel

Add Personnel Attachments							
	<u>Posted Timestamp</u>	<u>Uploaded By</u>	* <u>Person</u>	* <u>Attachment Type</u>	<u>Description</u>	* <u>File Name</u>	<u>Actions</u>
Add:			select ▼	select ▼	<input type="text"/>	Choose File No file chosen	add

The Personnel Attachments Panel is where documents related to each of the PI’s, Co-PI’s, and Key Persons are uploaded. Each PI, Co-PI, and Key Person that was previously added in the Key Personnel Tab will be listed here in the Person dropdown menu, and documentation can be uploaded specific to each listed individual.

Posted Timestamp (Automated)

Automatically displays the exact date/time the attachment was uploaded to the system.

Uploaded By (Automated)

Automatically displays the name of the individual who uploaded the attachment.

Person (Conditionally Mandatory)

The individual to whom the attachment is relevant. This dropdown is automatically populated with the names of the individuals listed in the Key Personnel Tab.

Attachment Type (Conditionally Mandatory)

The type of personnel document to be submitted to the sponsor.

- Biosketch
- Budget Details
- Current and Pending Support
- Statement of Commitment
- Other

Description (Optional)

A brief summary of the attachment that is being uploaded.

File Name (Automated)

Automatically displays the file name of the file that has been attached as it appears on the user's local hard drive.

- Please note: Nonstandard characters in the file name will cause upload errors. Allowable characters include letters, numbers, hyphens, and underscores.
- Nonstandard characters include () * ! > < \ | & .

To Upload a File:

- Choose File Button → Click the file (on your local PC) → Add

Add Personnel Attachments							
	Posted Timestamp	Uploaded By	* Person	* Attachment Type	Description	* File Name	Actions
Add:			select	select	<input type="text"/>	Choose File No file chosen	add
1:	02/01/2014 08:39 AM	Congelliere, Noah	Noah Congelliere	Biosketch	Test	Test Document.pdf	view delete

Confirm that all attachments uploaded are required, per the solicitation.

For every uploaded attachment in the Personnel Attachments Panel, an additional field will be generated reflecting the uploaded document (see below). You will also have the option to view and/or delete each document.

Internal Attachments Panel

Add Internal Attachments						
	Posted Timestamp	Uploaded By	* Attachment Type	Description	* File Name	Actions
Add:			select: ▼	<input type="text"/>	Choose File No file chosen	add

The Internal Attachments Panel is where all USC-specific documentation will be uploaded. Documents uploaded to this section *will not* be submitted to the sponsor and will only exist internally in the proposal's static record. You may also upload proposal documentation to this panel for internal purposes.

Posted Timestamp (Automated)

Automatically displays the exact date/time the attachment was uploaded to the system.

Uploaded By (Automated)

Automatically displays the name of the individual who uploaded the attachment.

Attachment Type (Conditionally Mandatory)

The type of internal document that is to be uploaded.

- Scope of Work
- Other Institutional Attachment
- 1st Institutional Attachment
- Sponsor Guidelines
- Cost-Sharing Approval
- Subaward Scope of Work
- Subaward Commitment Letter
- Subaward Packet
- Disclose Documentation
- Subaward Budget
- Subaward Budget Narrative
- Consultant Commitment Letter
- Sponsor Solicitation
- Cover Page
- Budget
- Other
- Consultant Packet

Description (Optional)

A brief summary of the attachment that is being uploaded.

File Name (Automated)

Automatically displays the file name of the file that has been attached as it appears on the user's local hard drive.

- Please note: Nonstandard characters in the file name will cause upload errors. Allowable characters include letters, numbers, hyphens, and underscores.

- Nonstandard characters include () * ! > < \ | & .

To Upload a File:

- Choose File Button → Click the file (on your local PC) → Add

For every uploaded attachment in the Internal Attachments Panel, an additional field will be generated reflecting the uploaded document (see below). You will also have the option to view and/or delete each document.

Add Internal Attachments						
	Posted Timestamp	Uploaded By	* Attachment Type	Description	* File Name	Actions
Add:			select: ▼	<input type="text"/>	Choose File No file chosen	add
1:	02/01/2014 08:53 AM	Congelliere, Noah	Cost-Sharing Approval Letter	TEST	Test Document.pdf	view replace delete view/edit rights

Routing Package Documents for Upload

New Proposals

Documents to Upload in this Section

Attachment Type

- | | | |
|---|---|---------------------------------|
| ● Sponsor Solicitation/Guidelines | → | Sponsor Solicitation/Guidelines |
| ● Cover Page (SF424/NSF) | → | Cover Page |
| ● Budget | → | Budget |
| ● Budget Justification | → | Budget Justification |
| ● Cost Sharing Approval | → | Cost Sharing Approval |
| ● Disclose Printouts | → | Disclose Documentation |
| ● Other (Certifications etc.) | → | Other |
| ● Draft of Scope of Work or Summary
(For NSF please be sure this includes the broader impacts section for review.) | → | Scope of Work |
| ● Subaward Institutional Commitment, Budget, Budget Justification, Statement of Work and Conflict of Interest Verification | → | Subaward Packet |
| ● Consultant Letter
(To agree to participate. Budget information can either be referenced in the letter or submitted on a separate sheet.) | → | Consultant Packet |

Revisions/Continuation Proposals

<u>Documents to Upload in this Section</u>	<u>Attachment Type</u>
● Cover Page	→ Cover Page
● Budget	→ Budget
● Budget Justification	→ Budget Justification
● Scope of Work Change (or Annual Report Document)	→ Institutional Narrative
● Subaward Revision to Commitment, Budget, Budget Justification, and/or Statement of Work	→ Subaward Packet
● Consultant Letter (If changing letter of participation. Budget information can either be referenced in the letter or submitted on a separate sheet.)	→ Consultant Packet
● Cost Sharing Approval (if new or update due to Revision)	→ Cost Sharing Approval

Notes Panel

Notes					
	<u>Posted Timestamp</u>	<u>Author</u>	<u>* Note Topic</u>	<u>* Note Text</u>	<u>Actions</u>
add:			<input type="text"/>	<input type="text"/>	<input type="button" value="add"/>

The Notes Panel is a place to enter any additional information relevant to the proposal. This is where any/all critical notes regarding the proposal will be located. If the proposal is returned for revision at any point in the routing process, this section will collect the comments for why the proposal was returned.

**Note* All notes will be available for viewing by all parties that have access to the proposal. They will not be submitted to the sponsor.*

Posted Timestamp (Automated)

Automatically displays the exact date/time the note was added to the system.

Author (Automated)

Automatically displays the name of the individual who added the Note Text.

Note Topic (Mandatory)

A brief description of the note topic is entered here.

Note Text (Mandatory)

The main content of the note is entered here.

Add

Adds the note to the proposal.

The note will not be added to the proposal unless this button is clicked.

For every note added in the Notes Panel, an additional row will be generated reflecting the entered note (see below).

Notes				
	<u>Posted Timestamp</u>	<u>Author</u>	* <u>Note Topic</u>	* <u>Note Text</u>
add:			<input type="text"/>	<input type="text"/>
1	02/01/2014 09:07 AM	Congelliere, Noah	Returned to Initiator	Cost Sharing Not Reflected in Proposal

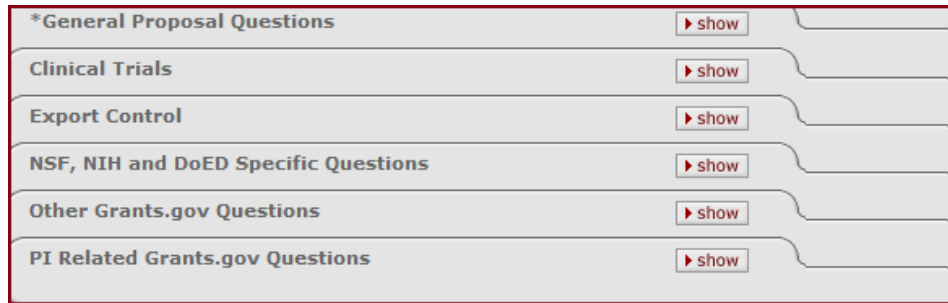
If the Proposal is returned for revision, any notes entered in the “Return to Initiator” comments section (located in the Approver View Tab) will automatically populate here in the Notes Section. (See Below)

Are you sure you want to return this document back to **initiator node**?

* Please enter the reason below:

Notes				
	<u>Posted Timestamp</u>	<u>Author</u>	* <u>Note Topic</u>	* <u>Note Text</u>
add:			<input type="text"/>	<input type="text"/>
1	02/01/2014 09:07 AM	Congelliere, Noah	Returned to Initiator	Cost Sharing Not Reflected in Proposal

Questions Tab (Mandatory)



The Questions Tab contains a series of proposal questions, broken down into six panels.

ALL of the questions must be answered.

The questions are broken down into the following panels:

- General Proposal Questions
- Clinical Trials
- Export Control
- NSF, NIH and DOED Specific Questions
- Other Grants.gov Questions
- PI Related Grants.gov Questions

Each of the Panels contains the following fields:

Question (Automatically Provided)

The content of the question.

Answer – Yes, No, or N/A. (Mandatory)

- If you answer “Yes” to some of the questions, the *Explanation* field will become mandatory.

- If you answer “Yes” to some of the questions, the *Review Date* field will become mandatory.

Review Date (Conditionally Mandatory)

The Date that the content of the question was reviewed.

Explanation (Conditionally Mandatory)

Used if it is necessary to expound upon the Answer. Some questions that are answered “Yes” require an explanation.

View

Redundant Field. Do Not Use.

Complete List of Questions

General Proposal Questions

1. Is there an institutional limit on the number of proposals?

- o If “Yes”, the Approval Date becomes mandatory.
- o If “Yes”, upload Provost Approval documentation to:
Abstracts and Attachments Tab → Internal Attachments → Other

2. Will additional space or renovation on existing space be required?

- o If “Yes”, the Explanation field becomes mandatory.

3. Does proposal require certification of candidate/PI eligibility?

- o If “Yes”, the Explanation field becomes mandatory.

4. Is Proprietary or Privileged Information contained in the Application?

- o If “Yes”, the Explanation field becomes mandatory.
- o If “Yes”, the Approval Date becomes mandatory.
- o If “Yes”, ensure that this is reflected in the proposal and clearly labeled. If the solicitation indicates that this information should not be included or that it cannot be kept confidential, please remove the information prior to submission.

5. Patents: Answer “N/A” if there are no patents. Answer “Yes” if all patents have been reported. Answer “No” if there are patents that have not been reported.

- o Yes = All patents have been reported.
- o No = All patents have not yet been reported.
- o N/A = There will be no patents involved.

6. Is the proposal a full application related to submission of a preliminary application?

- o If “Yes”, ensure that the preliminary application is uploaded to:
Abstracts and Attachments Tab → Internal Attachments → Other

7. Has the grantee institution changed with this application? If so, enter name of previous institution in explanation field.

- o If “Yes”, the Explanation field becomes mandatory and the previous institution should be entered here.

Clinical Trials Questions

If the proposal is *not* a Clinical Trial, you can click the **Not Applicable** button. This will default answer Questions 1-4 to "N/A" and Question 5 to "NO".

1. Does this trial involve an IDE/IND?

- o If “Yes”, the Explanation field becomes mandatory.

2. Is this a Phase III Clinical Trial as defined by NIH?

- o Yes = This project includes a Phase III Clinical Trial as defined by NIH.
- o No = This project includes a clinical trial, but does not meet the definition of an NIH Phase III Clinical Trial
- o N/A = This project does not include a clinical trial.

3. Is this trial part of a Multi-Site Study?

- o If “Yes”, the Explanation field becomes mandatory.

4. Is this trial registered on Clinicaltrials.gov?

- o If “Yes”, the Explanation field becomes mandatory.

5. Is this a clinical trial?

Export Control Questions

Clicking the **Not Applicable** button will default all of the answers to "NO". Please be cognizant of these questions if the proposal contains any international work or travel.

1. Will the research be performed, in whole or in part, outside the United States (including international travel)?

- o If “Yes”, the Explanation field becomes mandatory.

2. Will the research likely result in the export of information, material or equipment to another country?

3. Has the sponsor informed you that publication will be restricted or that personnel will be limited on the basis of nationality?

NSF, NIH, and DOED Specific Questions

Clicking the **Not Applicable** button will default all answers to "N/A".

1. For Dept. of Education, Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, check "Not Applicable".

- o If “Yes”, the Explanation field becomes mandatory.

2. Is the Principal Investigator a NIH New Investigator?

3. Is the Principal Investigator a NSF Beginning Investigator?

4. Is the application a NSF Small Grant for Exploratory Research?

5. Is this proposal an NSF Accomplishment Based renewal?

Other Grants.gov Questions

Clicking the **Not Applicable** button will default all answers to "NO".

1. Are human embryonic stem cells used?

- o If “Yes”, the Explanation field becomes mandatory.

2. Does the proposal contain high resolution graphics or other graphics where exact color representation is required for proper interpretation (GPG, Chapter I.G.1)?

3. Is the Government permitted to disclose the project title, and the contact information of the signing official, to organizations that may be interested in contacting you for further information.

4. Historical Sites Are Affected.

- o If “Yes”, the Explanation field becomes mandatory.
- o If “Yes”, the Approval Date becomes mandatory.

5. Project involves the International Cooperative activities?

- o If “Yes”, the Explanation field becomes mandatory.

6. Does the project require Inter-Government Review for Activities that affect State or Local Government or Possible National Security Implications?

- o If “Yes”, the Explanation field becomes mandatory.

PI Related Grants.gov Questions

Clicking the **Not Applicable** button will default all answers to "NO".

1. Are you currently serving, or have you previously served, as a PI, Co-PI or Program Director on any Federally funded project?

2. Is the principal investigator changing with this application? If so, please enter last and first names of previous investigator in explanation. Please enter LAST NAME, FIRST NAME.

- o If “Yes”, the Explanation field becomes mandatory.

3. Is the principal investigator participating in this project as an employee of the U.S. Government? If so, please click on 'More' for instructions.

- o If “Yes”, the Explanation field becomes mandatory.

4. Is the principal investigator participating in this project as an employee of a foreign organization?

Budget Versions Tab (Mandatory)

The Budget Versions Tab is where you will enter a basic proposal budget that shows the budget periods, direct costs, and F&A (indirect) costs.

Budget Versions Panel (Creating a New Budget Version)

Budget Versions ?								
	* Name	Version #	Direct Cost	F & A	Total	Budget Status	Final	Actions
Add:	<input type="text"/>							<input type="button" value="add"/>

Name: (Mandatory)

Each budget version should be named uniquely as each proposal can have multiple budget versions. Enter text here to identify the budget version you are creating.

Clicking the add button will create a new budget version. The new budget version will display with default data.

Budget Versions ?								
	* Name	Version #	Direct Cost	F & A	Total	Budget Status	Final	Actions
Add:	<input type="text"/>							<input type="button" value="add"/>
▼ hide	Sample Budget	1	0.00	0.00	0.00	select ▼	<input type="checkbox"/>	<input type="button" value="open"/> <input type="button" value="copy"/>
	Residual Funds:	0.00				F&A Rate Type:	MTDC	
	Cost Sharing:	0.00				Last Updated:	Jun 11, 2014 4:36:44 PM	
	Unrecovered F&A:	0.00				Last Updated By:	jel_868	
	Comments:							

Name:

Once the budget has been created, this name cannot be edited.

Version

This is a system-assigned number.

Direct Cost

The direct costs are added and edited in budget document and display here.

F&A

The F&A (indirect costs) are added and edited in the budget document and display here.

Total

The total costs are calculated within the budget document and display here.

Budget Status

This drop-down becomes available after you enter budget data and select a final budget.

Final

This checkbox indicates which budget version will be the final budget for the proposal after you

have entered direct and indirect costs. *Note: Do not check this box until after you have entered budget details.*

Open & Copy Buttons

Clicking on the open button will open the budget document for editing. It will open the Budget Document to the Parameters tab where you can enter direct and F&A costs.

Clicking on the copy button will allow you to create a new version of the budget by copying the existing version.

Budget Periods & Totals Panel

In the Parameters tab of the Budget Document, you will enter the Direct Cost and F&A Cost for each budget period in the Budget Periods & Totals panel. If your proposal is a multi-year proposal, a line item will be automatically generated for each budget period.

Budget Periods										
	Period Start Date	Period End Date	Total Sponsor Cost	Direct Cost	F&A Cost	Unrecovered F&A	Cost Sharing	Cost Limit	Direct Cost Limit	Actions
Add:	<input type="text"/>	<input type="text"/>	0.00	0.00	0.00	0.00	0.00	0.00	0.00	add
1	06/06/2014	06/05/2015	0.00	0.00	0.00	0.00	0.00	0.00	0.00	delete
Totals										
	06/06/2014	06/05/2015	0.00	0.00	0.00	0.00	0.00			recalculate

Period Start Date: (Mandatory)

This is the start date of the budget period and it is automatically generated. If period start date is different from what is generated, change the date accordingly.

Period End Date: (Mandatory)

This is the end date of the budget period and it is automatically generated. If period end date is different from what is generated, change the date accordingly.

Direct Cost: (Mandatory)

This is the total direct cost being requested from the sponsor for the budget period. You must enter the direct cost for each budget period.

F&A Cost: (Mandatory)

This is the total F&A (indirect) cost being requested from the sponsor for the budget period. You must enter the F&A (indirect) cost for each budget period.

Once you have finished entering the budget periods and the corresponding direct costs and F&A (indirect) costs, click Save to save your changes.

Navigating Back to the Proposal

Click Return to Proposal on the top right corner of the screen to exit the Budget Document and return to the Proposal. This will return you to the Proposal tab of the Proposal.



Budget Versions Panel (Finalizing the Budget Version)

Before a proposal can be submitted for review and approval, one budget version must be marked as Final and have the status set to Complete.

Budget Versions								
	* Name	Version #	Direct Cost	F & A	Total	Budget Status	Final	Actions
Add:	<input type="text"/>							<input type="button" value="add"/>
▼ hide	budget	1	100,000.00	5,000.00	105,000.00	Incomplete ▼	<input type="checkbox"/>	<input type="button" value="open"/> <input type="button" value="copy"/>
	Residual Funds:	0.00			F&A Rate Type:	MTDC		
	Cost Sharing:	0.00			Last Updated:	Jun 11, 2014 4:16:09 PM		
	Unrecovered F&A:	0.00			Last Updated By:	cp_175		
	Comments:							

Final: (Mandatory)

Clicking on the check box will mark the budget version as the Final budget version for the proposal.

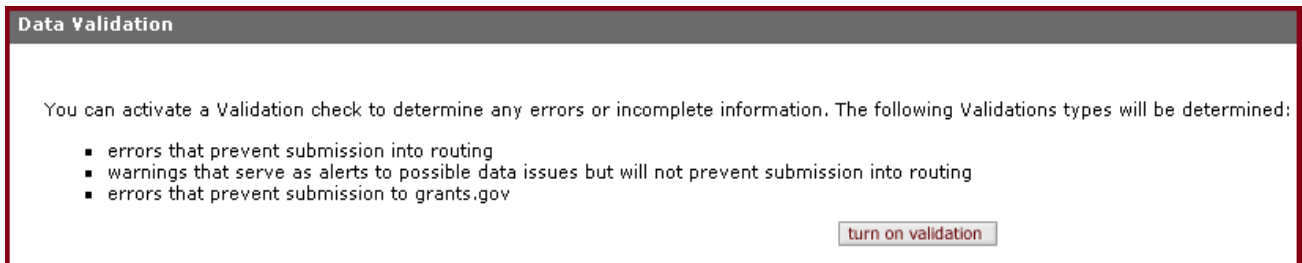
Budget Status: (Mandatory)

Once the Final checkbox is selected, the Budget Status drop down for the budget will be enabled for you to select Complete.

Proposal Actions Tab (Mandatory)

The Proposal Actions Tab is where you will validate your proposal data, read the route log, and submit the proposal into routing.

Data Validation Panel



The Data Validation Panel is used by the proposal preparer to check for any errors in the proposal data. From the Data Validation Panel, click the “Turn On Validation” button.

Data Validation Panel → Turn On Validation

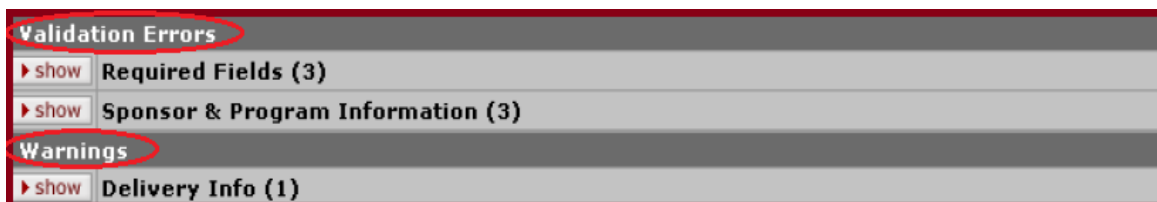
It is important to note that Data Validation only validates *field data* (i.e., mandatory fields that were not entered, questions that were not answered, etc.). It **does not** validate proposal *content*.

For example, if the solicitation lists no foreign travel but the budget has foreign travel, KC will not validate that discrepancy for you. Thus, it is imperative to make sure that all proposal data in KC matches the information present in the proposal documents.

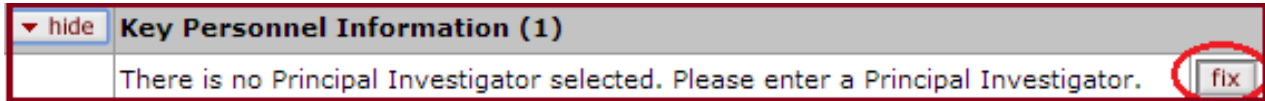
Validation Errors vs. Warnings

It is important to note the distinction between validation errors and warnings in this section.

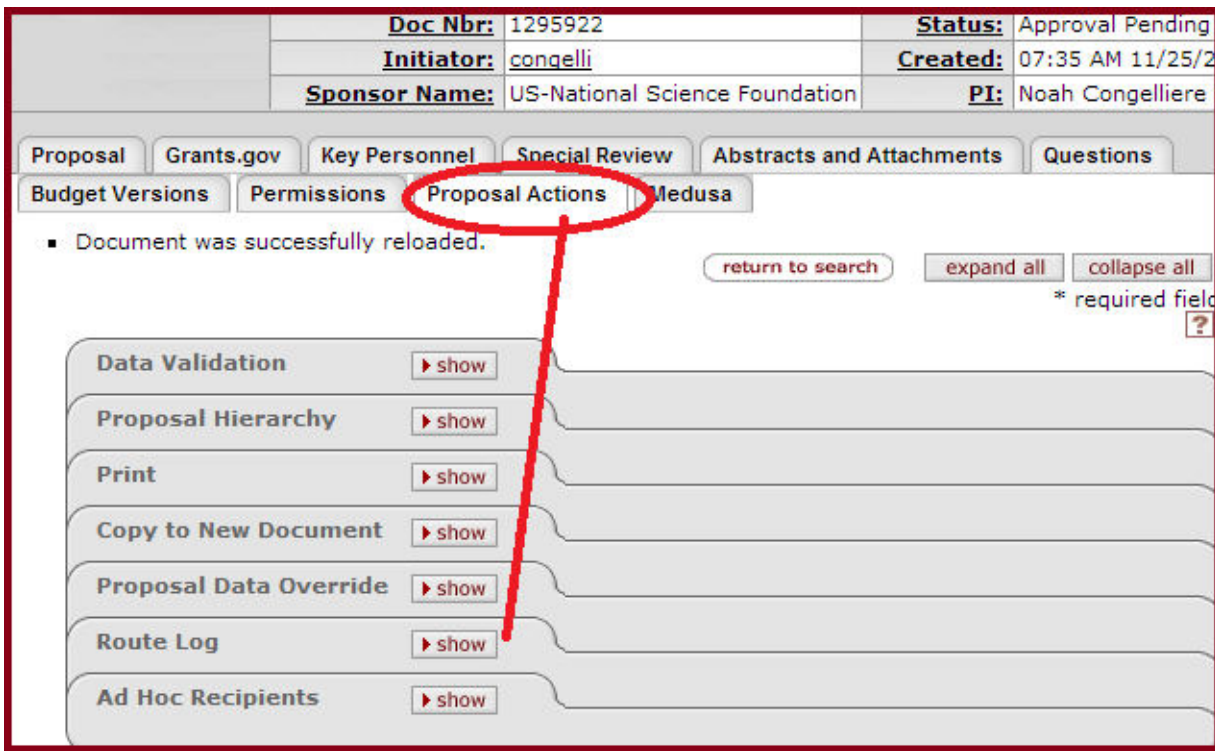
- **Validation Errors** – *Prevent* you from submitting the proposal into routing.
- **Warnings** – *Alert* you to possible data issues but do not prevent routing.



All validation errors must be corrected prior to clicking the “Submit” button at the bottom of the screen. For every validation error present, click the “Show” Subpanel for a brief description of the problem. To the right will be a button that reads **fix**. Click the “Fix” button for every validation error present and KC will take you directly to the error’s location in order to correct it (see below).



The Route Log Panel (Optional)



What Is It?

The Route Log displays the workflow status details of the document. It is a way of finding out *who* is required to approve the proposal after it has been submitted into routing. The Route Log details all *previous*, *current*, and *future* routing destinations.

Why Is It Important?

The Route Log details everyone who will review or has already reviewed the proposal. It contains the history and approval record of the entire proposal, by name and date. This becomes important if the proposal becomes stuck in routing. All appropriate parties can look at the Route Log and determine who has the proposal “on their desk,” so-to-speak, at any given time.

How Is It Broken Down?

Route Log refresh

ID: 1295922 **1** ▼ hide

2 Title	Proposal Development Document - Test		
3 Type	Proposal Development Document	7 Created	07:35 AM 11/25/2013
4 Initiator	Congelliere, Noah	8 Last Modified	10:03 AM 01/28/2014
5 Route Status	ENROUTE	9 Last Approved	
6 Document Status	ENROUTE	Document Status Modified	07:45 AM 11/25/2013
Node(s)	DCG	10 Finalized	

Actions Taken ▼ hide

	11 Action	12 Taken By	For Delegator	13 Time/Date	14 Annotation
	SAVED	Congelliere, Noah		07:37 AM 11/25/2013	
▶ show	COMPLETED	Congelliere, Noah		07:45 AM 11/25/2013	
▶ show	RETURNED TO PREVIOUS ROUTE LEVEL	Masterson, Sapphire		03:53 PM 01/22/2014	Return to Previous Approver
▶ show	APPROVED	Congelliere, Noah		10:03 AM 01/28/2014	

Pending Action Requests ▼ hide

	15 Action	16 Requested Of	17 Time/Date	Annotation
▶ show	IN ACTION LIST APPROVE	Masterson, Sapphire	10:03 AM 01/28/2014	KC-WKFLW DCG

Future Action Requests **18** ▼ hide

	Action	Requested Of	Time/Date	Annotation

1. eDoc Number
The Electronic Document Number. A KC-Generated ID associated with a specific electronic document. You can use this number via the Doc Search function.

2. Title
A combination of the document type and description.

3. Type
The type of eDoc in use. The full name of the transaction used to identify this document type in Workflow. If creating a proposal, this will say “Proposal Development Document”.

4. Initiator
The person who created the proposal development document (Last Name, First name).

5. Route Status
Tells you where the proposal development document is in the routing process. This will

usually say *Enroute*, denoting that the document has pending approval requests.

6. Document Status

The state of the proposal development document while it is in the process of being prepared, prior to submission for approval.

7. Created

The time and date that the proposal development document was created.

8. Last Modified

The time and date that the proposal development document was modified last.

9. Last Approved

The time and date that the last approval action was taken on the proposal development document.

10. Finalized

The time and date that the proposal development document reaches *Final*, *Canceled* or *Disapproved* status.

Actions Taken Subpanel

The Actions Taken Subpanel contains a history of all previous actions taken on the proposal document. It shows what action was taken, who took the action, and the time and date the action was taken.

11. Action

Any change (including initiation) to the proposal development document.

12. Taken By

The user responsible for the action.

13. Time/Date

The time and date of the action/request.

14. Annotation

A system-generated message related to the workflow of a document.

Pending Action Requests

Pending Actions Requests displays *current* action(s) that need to be taken on the document.

15. Action

Lists the current requested changes to the proposal development document in order to move the proposal forward (Approve, Acknowledge, FYI).

16. Requested Of

The user responsible for the action.

17. Time/Date

The time and date of the action/request.

18. Future Action Requests (Subpanel)

Future Action Requests displays all *future* action(s) that are required in order to finalize the proposal development document.

The Ad Hoc Recipients Panel (Optional)

What Is It?

The Ad Hoc Recipients Panel is a way to notify other users that your Proposal eDoc is being developed. This panel will allow you to either send the proposal to someone else as an “FYI” or have them “Approve” the Proposal eDoc before it gets fully routed.

Why Is It Important?

If you have Key Personnel at other schools at USC (e.g. Co-Investigators), you have the option of either entering them on the Key Personnel Panel or selecting them here as an FYI recipient. If you add any Key Personnel to the Key Personnel Panel, KC will automatically generate an “FYI” to the person and the Dean of their school.

If you do not wish to enter the additional Key Personnel in the Key Personnel section, *you* will need to “Ad Hoc FYI” the Key Personnel directly from this panel so they are notified that they have been included in the proposal. The schools housing the Key Personnel do not need to approve the proposal in order to successfully route and submit the proposal as this only occurs for those listed as Principal Investigators (PI’s) and Co-Principal Investigators (Co-PI’s).

Ad Hoc Recipients			
Person Requests:			
1.* Action Requested	2. * Person	3. Actions	
FYI ▼	<input type="text"/> 🔍	<input type="button" value="add"/>	
Ad Hoc Group Requests:			
* Action Requested	Namespace Code	Name	Actions
FYI ▼	<input type="text"/>	<input type="text"/> 🔍	<input type="button" value="add"/>

1. Action Requested (Mandatory)

FYI – This option will merely notify a user. No action is required if this option is selected and proposal routing will not be disrupted.

Use FYI when Ad Hoc Routing to Key Personnel.

Approve – This option adds an additional approver into the route log. The proposal cannot be fully routed until the proposal is approved by the additional user.

Acknowledge – Do Not Use

2. Person (Mandatory)

Using the person lookup, search for the person you wish to Ad Hoc route the proposal to.

3. Actions

Click the Add button to finalize the additional person you wish to Ad Hoc Route the Proposal eDoc to.

Please Note: Ad Hoc Group Requests are not used at this time.

Submitting the Proposal (Mandatory)



Once all of the necessary sections of the proposal development document have been filled in and a data validation check has been completed, you are ready to submit the proposal into routing.

To Submit the Proposal into Routing:

1. Review all of the data fields in the proposal development document.
2. Ensure all data is consistent between:
Sponsor Guidelines → Proposal → Proposal Development Document (KC)
3. Click the “Submit” button on the bottom of the Proposal Actions Tab.

Once in routing, the proposal development document will make its way through a pipeline of approvers, ending with the Department of Contracts and Grants. DCG will be the final approval

and will submit the proposal.

Approver View Tab

(Only Viewable When Approving a Proposal)

The Approver View Tab is an additional tab that shows up when an approver has been routed a proposal development document. KC will take you directly to this tab when you open the proposal from your Action List.

The Approver View Tab contains summary information about the proposal including:

- | | |
|---|--|
| <ul style="list-style-type: none"> • Project Title • Proposal Type • Sponsor • Amounts <ul style="list-style-type: none"> - Total Direct Costs - Total F&A Costs | <ul style="list-style-type: none"> • Proposal Number • Activity Type • Lead Unit • Dates <ul style="list-style-type: none"> - Proposal Due Date - Proposal Due Date - Project End Date |
|---|--|

Proposal Certification Questions (Mandatory)

The Approver View Tab will contain certification questions that must be answered before the proposal can be approved. These questions *must* be answered by all PIs and Co-PIs.

- CO-PIs will answer these certification questions at the time that they approve the proposal development document.
- PIs will answer these certification questions *either* at the time that they approve the proposal development document (if an RA created the proposal development document) or on the Key Personnel Tab under the Proposal Person Certification Subpanel (if the PI initiated the proposal development document themselves).

Approve vs. Return to Previous vs. Return to Initiator (Mandatory)

Approve

This button will approve the proposal and push it forward in the routing process.

Please Note: The proposal development document will be locked once this button is clicked. You will no longer be able to edit the proposal development document.

Return to Previous

This button is used when there are errors with the proposal development document. Selecting this will return the proposal to the previous level in the routing chain. If you choose this button, an additional field will appear where you can enter a summarization of the problems associated with the proposal. Any comments you enter in this section will be viewable to the proposal preparer in the Notes field under the Abstracts and Attachments Tab upon return.

Return to Initiator

This button is used when there are errors with the proposal development document. Selecting this will return the proposal to the beginning of the routing chain. If you choose this button, an additional field will appear where you can enter a summarization of the problems associated with the proposal. Any comments you enter in this section will be viewable to the proposal preparer in the Notes field under the Abstracts and Attachments Tab upon return.

Are you sure you want to return this document back to **initiator node**?

* Please enter the reason below:

Cost Sharing Not Reflected in Proposal

yes no

Notes				
	Posted Timestamp	Author	* Note Topic	* Note Text
add:				
1	02/01/2014 09:07 AM	Congelliere, Noah	Returned to Initiator	Cost Sharing Not Reflected in Proposal