Introduction

Welcome to the Kuali Research User Guide. This user guide contains printable step-by-step instructions for using various functions in Kuali Research, including the following main components of Kuali Research:

Proposal Development Module
The Proposal Development module contains records about research proposals to be submitted for Fund 31 or CFI external funding (formerly the "Signature Sheet" information) that are required for internal SFU approval before submission to external funder (note that submission to external funders will remain outside of Kuali Research as per usual funder requirements and processes). Principal Investigators will enter high level data in the Proposal Development module to provide internal decision makers the necessary details they need to make sure the research activities as proposed are acceptable to the faculty/department and SFU. Reviewers and Approvers within Kuali Proposal Development will have access to proposal information and routing within which they have the appropriate rights.

Institutional Proposal
Institutional Proposal records are a holding place for research proposals that were internally approved through Proposal Development and externally submitted to a funding organization while they are awaiting funding decision. While work-in-progress electronic proposals are stored and edited in the Proposal Development module, only complete and submitted works are tracked and stored in the Institutional Proposal module. Accordingly, Institutional Proposals will provide statistical information and reference and will not be editable by researchers, reviewers, and approvers, it is downstream from their activities. This is for back-office use only, department administrators and researchers will have no actions in this module, except for reporting. The records you see are role-dependent (for example, PI can only see their own records, department managers can only see records for their own department, etc.)

Kuali Research Awards and Subawards (outgoing) Module
Once a funding decision is made and ORS receives the award information (or parameters on an outgoing subaward), the data will be entered into the Award Module based on the information pulled from Institutional Proposal and new information provided by the funder and/or researcher. Award and subaward information – after full ORS review – is transmitted to PeopleSoft Proposals and Awards electronically to prompt the Finance team for account or subaward setup. Please note that Awards in PeopleSoft are already configured and will not change with Kuali implementation. Kuali Awards will feed the proper PeopleSoft components. The Kuali Award module will maintain detailed administrative information on awards and sub-awards including a complete history of every change made from sponsor funding notice through closeout in the form of amendments and status updates. Kuali Awards will not house financial information.

PeopleSoft Proposals and Awards Modules
PeopleSoft is the current tool used by SFU Research Accounting, researchers, and other research administration staff to manage the lifecycle of a live grant from project activation, managing projects, and closing the project. PeopleSoft Proposals is a component that sets up the award information before accounts can be authorised in Peoplesoft Awards. Only staff entering data is aware of the two components, data flows through them as in one system. Once fully implemented, Kuali will push awards data from Kuali Awards to PeopleSoft Proposals / Awards via integration that will feed into existing processes under the responsibility of Research Accounting and Research Services. PeopleSoft feeds the "new" FAST views for access to account information and financial planning purposes for researchers and department based administrators.

Who to contact for help:
- If you have any questions regarding the Kuali system, please contact Research Services (ORS) at ors@sfu.ca
- For questions regarding research data, please contact the Research Intelligence Team (RIO) at rio@sfu.ca
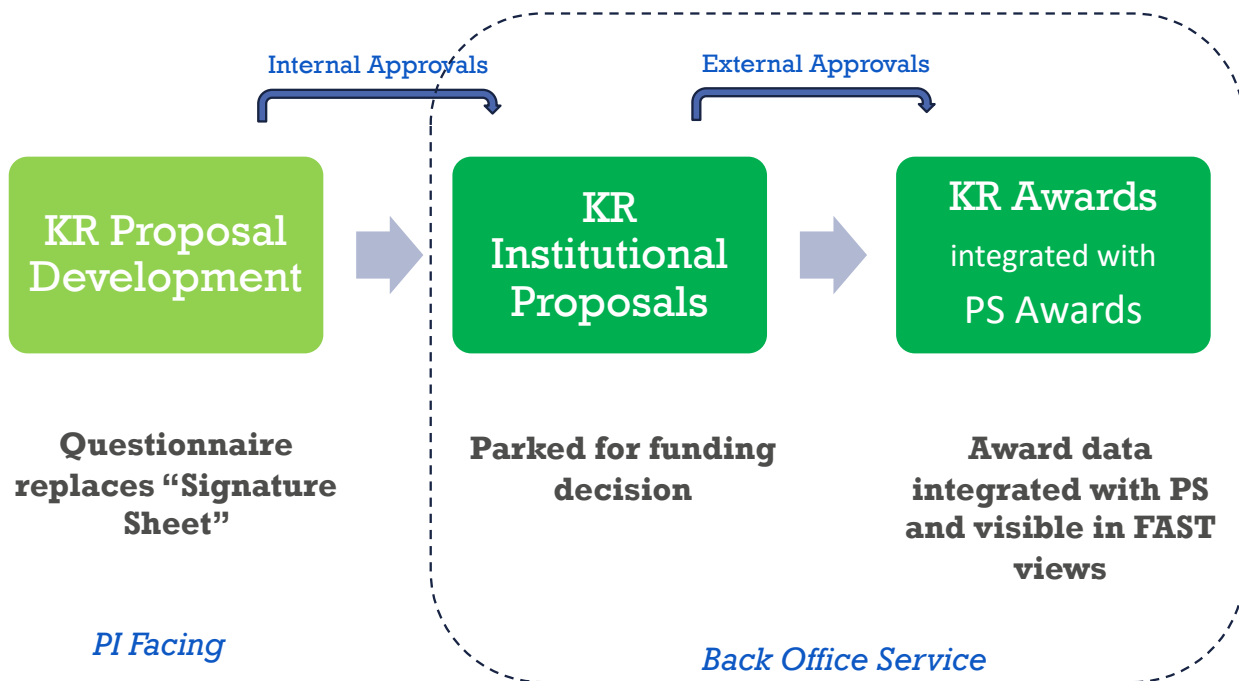
TABLE OF CONTENTS

Getting Started

KUALI RESEARCH

KR Proposal Development → KR Institutional Proposals → KR Awards integrated with PS Awards

Internal Approvals

External Approvals

KR Proposal Development

KR Institutional Proposals

KR Awards integrated with PS Awards

Questionnaire replaces "Signature Sheet"

Parked for funding decision

Award data integrated with PS and visible in FAST views

PI Facing

Back Office Service

Logging into Kuali Research

1. Copy and paste login URL (https://sfu.kuali.co/dashboard/) into your browser.

2. Select the **Sign In** button.
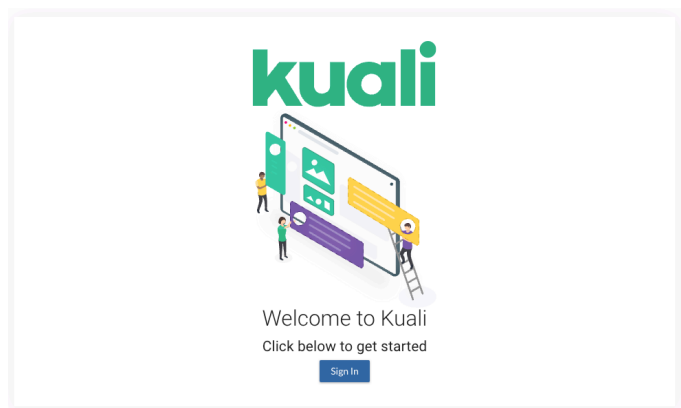
3. Log in with your SFU computing ID and password. Enter the Multiple Factor Authentication (MFA) 6-digit code, if prompted to.

4. Select the **Research Home module** and you will be taken to the main **Dashboard**.
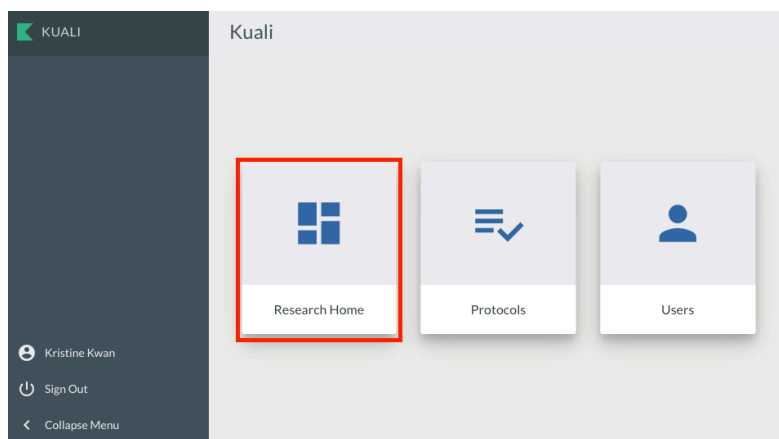
💬 **NOTE:** *Role Accounts should not be used in Kuali to create proposals, users must sign in with their personal account. Role Accounts can only be used for reviewing proposal submissions by Department or Faculty administrative staff. If you logged in via SSO, you may need to log out and log in again with the correct account type.*

💬 **TIP**: If you have any issues logging into the Kuali Research application, submit a query to ors@sfu.ca for further diagnosis.

KUALI PROPOSAL TERMS TO REMEMBER

| Kuali Proposal Term	Equivalent
Proposal, Proposal Development	Signature Sheet
Proposal Approval	Signature Sheet Approval
Proposal Budget	High-Level Signature Sheet Budget
Institutional Proposal	Approved Signature Sheet Waiting for Funder Decision
F&A (Facilities and Administration)	Overhead, Indirect Cost
Submission	Submission for Internal Approval
Sponsor	Funder, funding agency, partner, granting agency, contractor, vendor
Sponsored Research	Research funding, grant, contract, funded research
Sponsor Program	Funding Program
Questionnaire	Special Requirements and Sig Sheet questions

Dashboard Navigation in Kuali

Components of the Kuali Dashboard

Kuali Dashboard is comprised of the following:
- **Dashboard Home**
- **Search Records**
- **Common Tasks**
- **All Links**
- **Reports**

Dashboard Home

Once you have logged into Kuali Research, the system will display the **Dashboard Home** page.
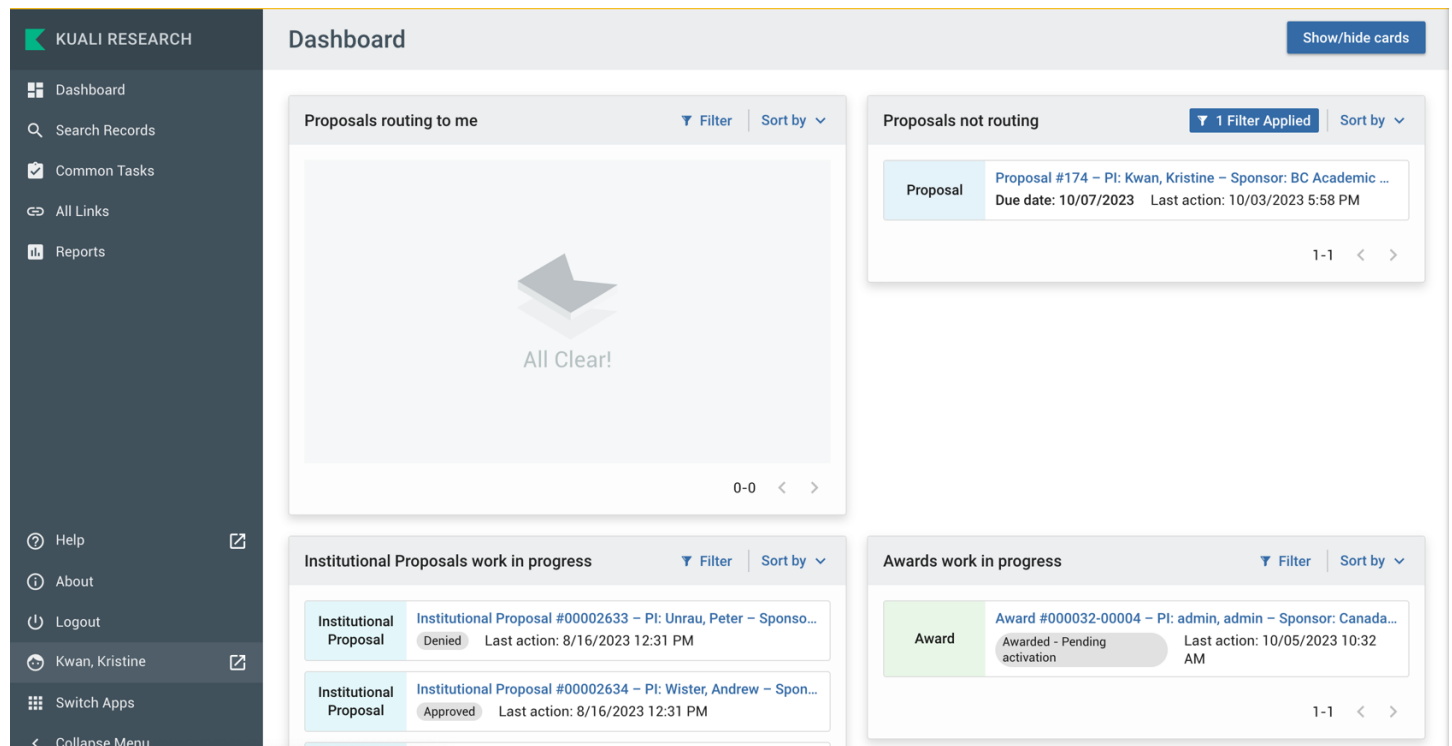
This page contains the following components:

1. **Left Bar Navigation**
2. **Dashboard Cards**
   - Proposals Routing to Me
   - Proposals Not Routing
   - Proposal Workload Assignments
   - Institutional Proposals work in progress
   - Awards work in progress

Left Bar Navigation

Dashboard   New main page for the Kuali Research system that allows you to track document progress and manage proposal routing. The dashboard is configurable by users to only show relevant information.

|	
Search	This search bar allows you to search by proposal name, PI, sponsor, etc. (*See wildcard characters* [here](#)*).* Information about and from attachments is not searchable. More information about searches [here](#):
Common Tasks	A place where you can easily access your most common tasks whether that's searching, creating new records, or other actions. Also available is the search option at the top to give easy access to any system action.
All Links	To access all available links in the system or search available options at the top.
Reports	This will only be available to users that have the Global Reports role assigned to them. The scope of this training will not include reports, this will be available in future training iterations.
Help	System help redirects user to the Kuali Research Training Manual.
About	Will display the current version information for Kuali Research.
Logout	Gives the user the option to log out of the Kuali Research system.
Profile	Allows you to see which user is logged into the system and more information on the user's profile such as name, username, etc.
Switch Apps	Gives the user the option to switch to different applications within the system (e.g. Research and Protocols)
Collapse Menu	Gives user the ability to minimize the left-hand navigation menu.

Dashboard Cards

Proposals Routing to Me	This card will allow Reviewers/Approvers to easily monitor proposals that are queued up for their approval and watch for proposals they will soon have to approve. If you are not an approver, you will not see any records in this card and may choose to hide the card if preferred. Approvers (which includes PIs) will see proposals in the Proposals Routing to Me card when the proposal is submitted for review. It will display how many steps away the proposal is from needing approval. In the case of PIs, since they will have access to their own proposals, they will see the proposals in progress in that card.
Proposals Not Routing	This card will allow proposal creators to monitor which proposals they are still working on and have not been submitted for internal approval yet. To open a proposal to view or edit, click on the entry. If you are a Proposal Creator with edit rights in the Proposal's Lead unit, you will be places in edit mode after clicking on the entry.
Proposal Workload Assignments	This card allows anyone with Proposal view access to see which proposals are still currently in the process of being approved across all routing steps. Unlike the "Proposals Routing to Me" card, you will see each proposal listed throughout the entire approval process once it has been submitted for approval.
Institutional Proposals Work in Progress	This card will allow proposal creators to monitor which proposals have been submitted for internal approval yet. To open a proposal to view or edit, click on the entry.
Awards Work in Progress	To be drafted

Dashboard Cards - Navigation

Sorting Data within the Cards

Select **Sort By** in one of the cards:
1. Select **Ascending** or **Descending** radio button
2. Select of the available options (e.g. Last Action Taken)
3. Notice the data in the card update based on the selected options
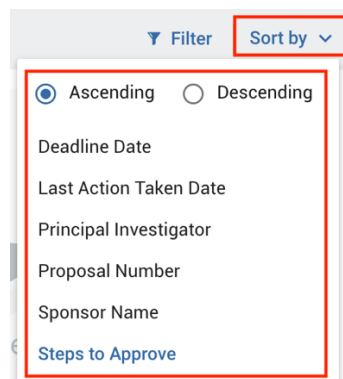

Sorting Options

You have options to sort the entries in each card based on your own preferences:
- **Deadline Date** – Sort by the proposal deadline to prioritize proposals that will require approval the soonest in the **Proposals Routing to Me card**. Or will need to be submitted for approve the soonest in the **Proposals Not Routing card**
- **Last Action Taken** – Sort proposals by the most recently approved or saved activity
- **Principal Investigator** – Sort proposals by PI
- **Proposal Number** – Sort proposals by Proposal Number
- **Sponsor Name** – Sort proposals by Sponsor Name
- **Step to Approve** – (Only for "Proposals Routing to me" card) Sort proposals by how many steps until they require your approval (if you are an approver). This is a good option that allows you to prioritize your view to show what proposals you may immediately act on to approve.

Using the Filter within the Cards

Select the **Filter** in one of the cards:
1. Enter one of the applicable filter criteria
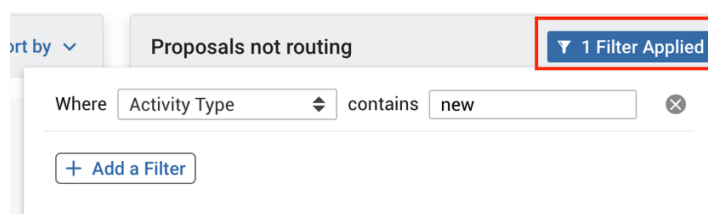
2. Notice the data in the card update based on the selected options
3. The filters are saved and will appear the same the next time you log in.

Viewing Additional Records within a card

View the total count of records and navigate through the full listing by clicking on the directional buttons in the bottom right of the card
(< >). (< >). (< >). (< >).
You can also increase the number of records visible per page by clicking on the **Rows per Page** option and selecting a larger number.
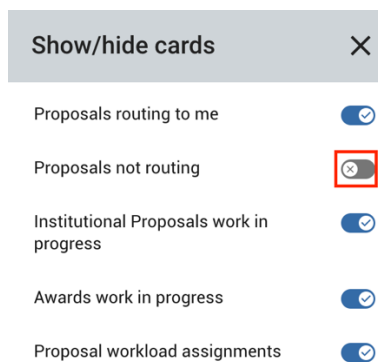
Show/Hide Cards
Select the **Show/hide cards** button: (If a user does not wish to see any of the cards displayed, they can manage their view by updating the show/hide card section)

> Show/hide cards

1. Toggle one of the available options (e.g. Proposals not routing)

Show/hide cards   ✕

Proposals routing to me

Proposals not routing

Institutional Proposals work in progress

Awards work in progress

Proposal workload assignments

2. Click the **X** next to Show/hide cards text to close
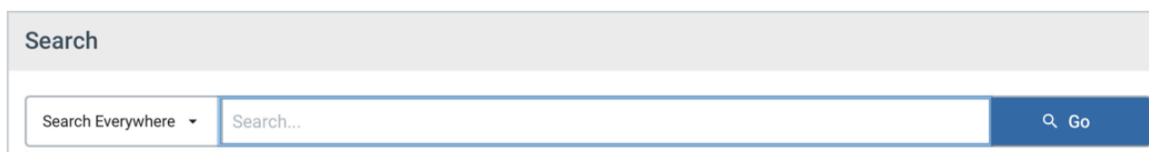3. Notice the Dashboard update based on the selected/deselected options

Search Records

The search option in the Dashboard menu allows you to search across all modules by a single criterion and by a subset of criteria. This allows additional flexibility for search needs beyond the existing lookups (i.e. Proposal, Award, etc.) that are limited to the given module. This search will only return records if you've been granted the appropriate permissions/roles to view the associated documents.

1. Select **Search Records** from the left-hand navigation menu. **Search Records** is where you can search across all sponsored programs modules. More information can be found [here](#).

> Q Search Records
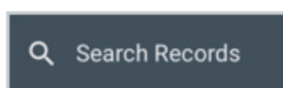
2. When you initially navigate to Search it will have the **'Search Everywhere'** option selected which allows you to search by a given entry across all sponsored modules and all fields within these document types. After entering a value in the field you can simply hit enter or the **Go** button on the far right to initiate the search. The search results will display every record where that entry exists across all Document types.

Search

| Search Everywhere ▾ | Search... | Q Go |

3. If you want to search by a specific category rather than searching everywhere you can click the dropdown of Search Everywhere to open the category options.

☺ **NOTE:** *Search Everywhere option will allow one entry for a given search so if you want to search across all modules by a certain criterion but also apply specific category filters you should add those first and then apply the search everywhere option last. In addition, if you search by a given entry under Search Everywhere but decide to use criteria instead you can change the dropdown to a specific selection and click go again; it will retain the entered value.*

4. Once criteria is selected you will see the added filters below the search screen. You can clear out categories by click the **X** button to remove or if you desire to remove all you can use the **Clear All** option.

♀ **TIP:** *The number of results returned per page is limited to 10, but in the bottom right-hand corner, you can select a larger number of rows per page (up to 100). You can also cycle through the pages using the arrow buttons.*

Searching for Proposals by Sponsor

| **Sponsor** | 1. In the Type something, enter: **e.g. National Institute of Health** |
| | 2. Click the **Go** button or hit enter on your keyboard. |

| **Document Type** | 1. In the Type something, enter: e.g. **Proposal** |
| | 2. Click the **Go** button or hit enter on your keyboard. |

Searching for Proposals by Lead Unit / Department

| **Lead Unit** | 1. In the Type something, enter: **[any department you have access to]** |
| | 2. Click the **Go** button or hit enter on your keyboard. |

| **Document Type** | 1. In the Type something, enter: e.g. **Proposal** |
| | 2. Click the **Go** button or hit enter on your keyboard. |

Wildcard Character Examples

💡 **TIP**: *Wildcards are characters that represent one or more other characters and can be used to help maximize your search results*

The **asterisk *** and **percent** % characters can be used at the beginning of a field or in the middle of text to help find partially known entities.

Searching for a common last name

Use the last name and one or more characters of a first name and one of the wildcard characters to limit the results.

Example: Searching for Jane Doe
1) Enter **Doe** into the last name field.
2) Search **Ja*** or **Ja%** to find all first names that starts with the letters **Ja.**
3) Search results should contain all employees with a first name beginning in **Ja** and last name **Doe.**

Not sure how to spell their last name?

Enter the letters you know and use one of the wildcard characters to limit the results.

Example: Searching for John Smith
1) Enter **John** into the first name field
2) Enter **Smi*** or **Smi%** into the last name field
3) Search results should contain all names with first name, John and last name starting with **Smi**.

Searching for a last name with a suffix (11, Jr., Sr.)

Enter the full last name and use one of the wildcard characters to limit the results.

Example: Searching for John Smith Jr.
1) Enter John into the first name field
2) Enter **Smith* or Smith%** into the last name field
3) Search results should contain all names with the last name Smith, including suffixes.

Searching for a Sponsor

Example: Searching for an NIH sponsor
1) Enter ***NIH*** or **%NIH%** into the sponsor field
2) This will populate all sponsors that contain NIH in their names

*Use the wildcard | **(Vertical Bar)** character to return only the number of records you wish to see (The Vertical Bar is the 'shift' character on the backslash key of the keyboard, near the 'Enter' key usually)*

Searching for multiple Records

Example: I want to view the statuses of 3 "New" proposals that I have submitted recently

1) Enter the 3 numbers into the Proposal Number field, separated by a 'pipe' character: **123456 | 123455 | 12344**

The results should only populate the above proposal numbers

*For fields that are formatted for number searches, you can use the **two-dot separator wildcard (..)** between partial numbers to see a range*

Viewing a range of   Example: I want to view proposal number results from 123001 to 123999
numbers for a search   1) Enter **123001..123999** into the Proposal Number field
                                                2) This example will return proposal number results from 123001 to **123999**
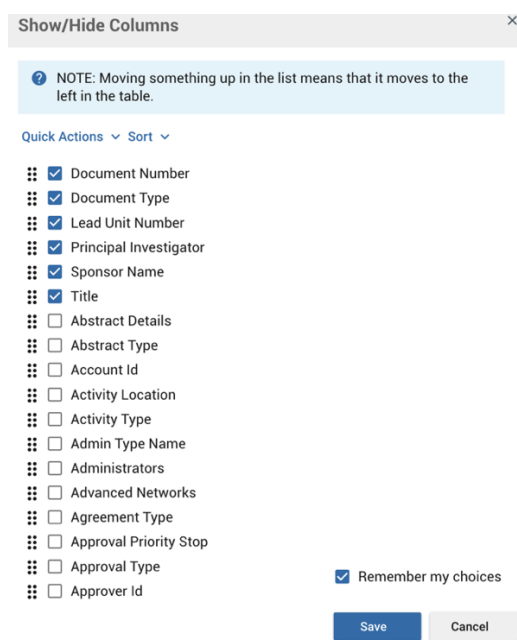
Show/Hide Columns

1. Click on the **Show/Hide Columns button**

    👁 Show/Hide Columns

2. You will see a list of fields to select and return as columns in the search results screen. Any checked items will be a column in the results and the order of the. Fields can be change by dragging and dropping the fields using the left icon.

3. **Remember my choices** will make the options permanent for your search results view until you modify them again. If you uncheck this, then the selections will only be for that session use.

    ☑ Remember my choices

4. Also, within the Show/Hide options, you can use **Quick Actions** to:
    a. Select all
    b. Deselect All
    c. Restore to Defaults
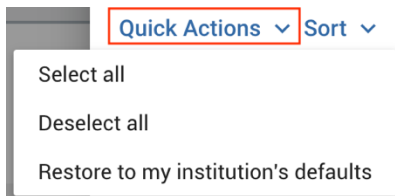
5. Within the Sort Options, you can organize the column fields alphabetically or pull all the checked fields to the very top to order as desired.
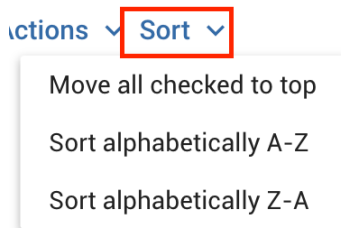
6. Notice the Search Result columns update based on your changes
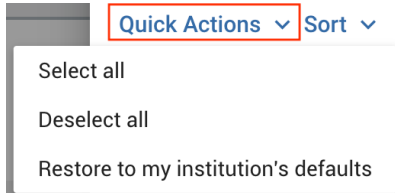
7. Within the Sort Options, you can organize the column fields alphabetically or pull all the checked fields to the very top to order as desired.
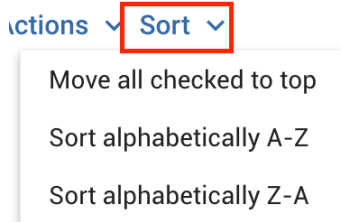
8. Notice the **Search Result** columns update based on your changes

Common Tasks

A place where you can easily access your most common tasks whether that's searching, creating new records, or other actions. Also available is the search option at the top to give easy access to any system action. More information can be found *here.*

Quick Links

Action List	Allows a user to see any proposals in routing, awaiting approval.
Doc Search	Admin use only
Current & Pending Support	Not used for SFU
Person Training	Not used for SFU
View S2S Submissions	Not used for SFU
Locks	Admin use only

Award

All My Awards	Allows a user to see all awards routed to a proposal (admin only)
Create Award	Allows user to create awards (admin only)
Search Awards	Allows user to search Awards (within clearance levels)

Institutional Proposal

Create Institutional Proposal	Allows user to create Institutional Proposal (admin only)
Create Proposal Log	Allows user to create proposal log (admin only)
Search Institutional Proposals	Allows user to search all institutional proposals (within clearance levels)
Search Proposal Logs	Allows user to search all proposal logs (within clearance levels)

Negotiation (NOT USED BY SFU)

All My Negotiations	These are negotiations in which the user is a named PI.
Create Negotiation	This link will take a user to the main create negotiation portion of Kuali.
Search Negotiation	This link will lead a user to the main search bars for proposals. Here a user can search by PI, Title, Sponsor, Due Date, etc.

Proposal Development

All My Proposals	These are proposals in which the user is a named PI.
Create Proposal	This link will take a user to the main create proposal portion of Kuali.
Search Proposals	This link will lead a user to the main search bars for proposals. Here a user can search by PI, Title, Sponsor, Due Date, etc.

All Links

To access all available links in the system or search available options at the top. This is an administrator use only section.

Reports

If user has the Global Reports role, they will have the Reports link to take them to the reporting tool.

PRE-AWARD WORKFLOW TIMELINE

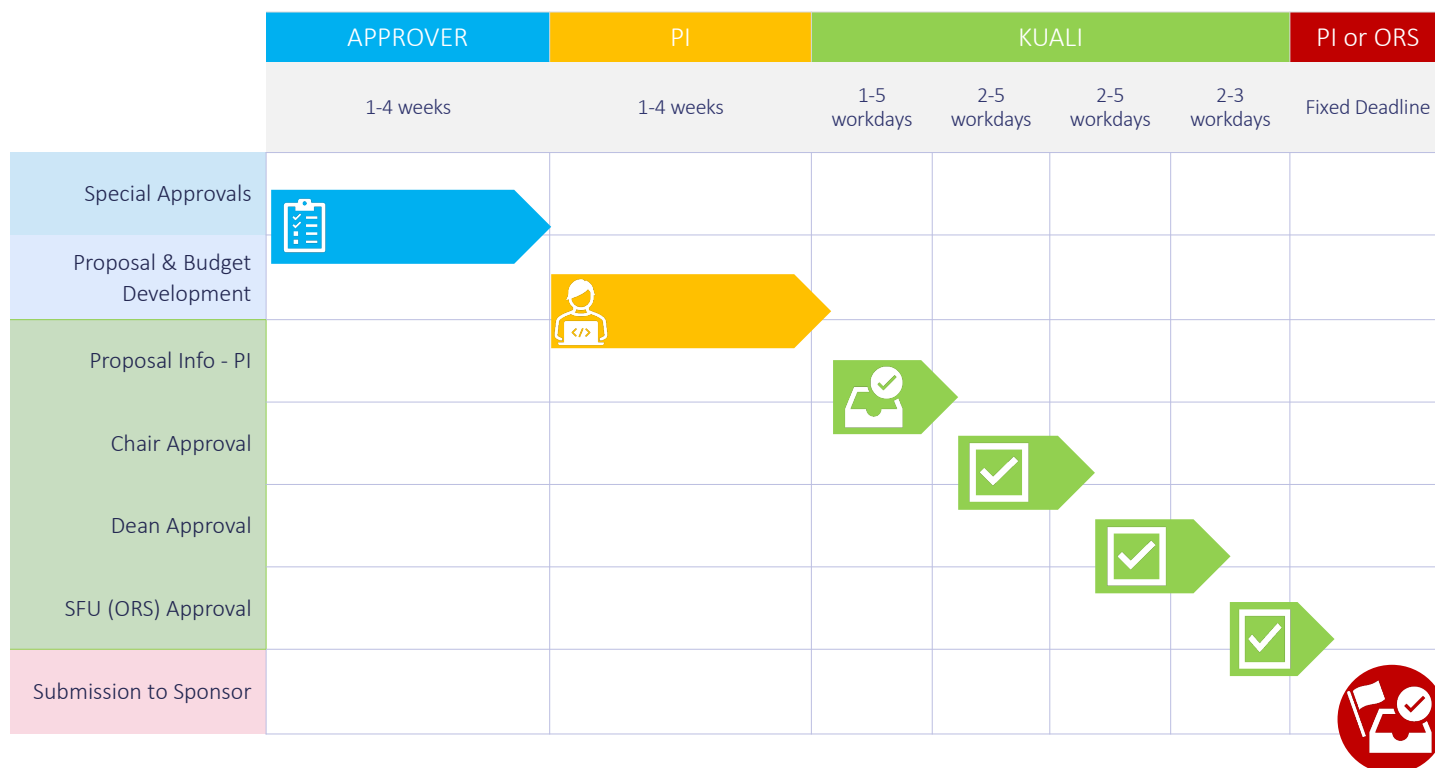|	APPROVER	PI	KUALI				PI or ORS
	1-4 weeks	1-4 weeks	1-5 workdays	2-5 workdays	2-5 workdays	2-3 workdays	Fixed Deadline
Special Approvals							
Proposal & Budget Development							
Proposal Info - PI							
Chair Approval							
Dean Approval							
SFU (ORS) Approval							
Submission to Sponsor							

A "Proposal" in Kuali Research is the equivalent of the current Signature Sheet (internal approval workflow for externally funded research as per policy R.10.01) and is not to be confused by the (research) proposal the PI is submitting to the funder, which will form an attachment to this approval workflow. The purpose of the Kuali Proposal is to provide high level information to SFU approvers (Chair, Dean and Research Services) about the proposed activities so they can confirm SFU is eligible, compliant, and ready to undertake the research if funded under the parameters described in "Proposal Development" – aka signature sheet information.

Kuali Proposal Development is used for submitted signature sheets for internal approval for Fund 31 or CFI externally funded research. Do not use Kuali for Fund 25, please use the current paper signature sheet for externally funded non-research. This includes all funded grants and contracts as well as new money coming to existing projects. You will also use Kuali Proposal Development for all research-related non-funded agreement request like nondisclosure, material transfer, data access, memorandum of understanding, etc. If you need to submit a sub-out request, please use current paper-based process for the request. This activity will be added to Kuali at a later stage. If you need to request an amendment that does not come with additional funds (change of end date or change of PI), do not use Kuali, contact ORS through email.

If special requirements are part of the research proposal (e.g., PI fees, release time, renovations, special equipment, letter of support or other SFU commitments), those must be negotiated and approved prior to starting the Kuali Proposal since evidence of decisions regarding these special approvals need to be part of the Kuali Proposal for the decision makers to be able to approve the activities. Please start special approvals early enough (2-4 weeks depending on complexity) to allow negotiations, justification, and approvals prior to creating Kuali Proposals.

Creating a Proposal (formerly known as the Signature Sheet)

This is a step that occurs before submission to the sponsor. This is the internal signature sheet process.

Proposal Development: Navigating to the Create Proposal Form

When starting a new Kuali Proposal for internal approval workflow, the required fields in Proposal Details must be filled in to save a draft. After saving the Proposal Details, the Kuali Proposal can be updated any time.

1. Select **Common Tasks** from the left sidebar navigation menu. Please note there are other ways to land on the Create Proposal page, you will follow your preferred route once you are familiar with the system. Through Common Tasks is one way.
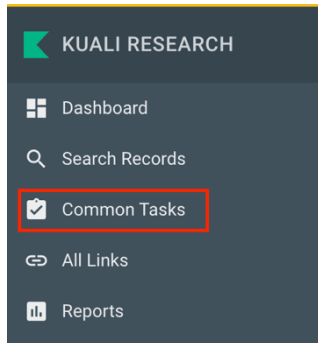
2. Once the **Common Tasks** page has appeared, select **Create Proposal** within the *Proposal Development* card

3. The **Create Proposal** form will appear prompting the user to answer initial questions related to the proposal.

You can also copy a previously submitted proposal to re-use for another funding opportunity.

Copying a proposal:
1. Select **Common Tasks** from the left sidebar navigation menu.
2. Once the **Common Tasks** page has appeared, select **All Proposals** within the *Proposal Development* card
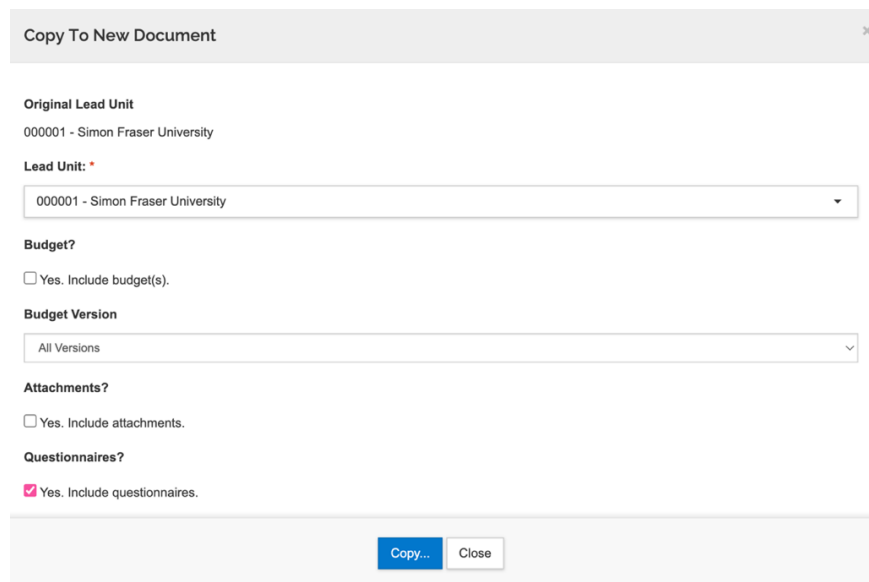
3. Scroll down and you will see a list of all your past proposals that have been created in Kuali.
4. Once you have found the proposal you want to copy, click **copy** in the **Actions column.**

5. When you click **Copy**, the **Copy to New Document pop-up** will appear. Select the options desired for the new proposal and click the **Copy** button at the bottom.

6. The copied proposal will automatically open, and you can make the needed changes appropriate for the new proposal.

Proposal Development: Filling out the initial details of the proposal

Kuali Research

Create Proposal
* indicates required fields

Field	
Proposal Type: *	select
Lead Unit: *	select
Activity Type: *	select
Project Dates: *	mm/dd/yyyy to mm/dd/yyyy
Project Title: *	
Sponsor: *	🔍
Principal Investigator: *	🔍
Anticipated Award Type: *	select

1. **Proposal Type:** Select the proposal type from the dropdown menu.

   New Most often, proposal type will be "**new**".

   NOI/LOI Select **NOI/LOI** if it is a Letter of Intent, Notice of Intent, or registration where the funder is only requiring limited information

       💡 *TIP: Some of these do not require pre-approval via Kuali Proposal, please contact **ors@sfu.ca** to verify whether a Kuali Proposal is required at this stage or only at the full application stage.*

   Renewal Please only use **Renewal** if that is what the funder calls the proposal in their funding opportunity description.

   Resubmission Please only use **Resubmission** if that is what the funder calls the proposal in their funding opportunity description.

   Revision Please only use **Revision** if that is what the funder calls the proposal in their funding opportunity description.

   Continuation Please only use **Continuation** if that is what the funder calls the proposal in their funding opportunity description.

   Migrated/Legacy (Do not use) Please do not select, it is for historical records only.

2. **Lead Unit:** The drop-down list for Lead Unit (Your Department/School where you will be performing the proposed research) is quite long. Rather than looking for your unit in the drop down, please type your department /school name and the list will automatically filter to give you only a few options to choose from. Unit numbers and unit names both work with this search function. If you have dual appointment, please make sure you select the unit where the activities will take place, so the right Chair and Dean are pulled into the approval workflow.

       💬 *NOTE: This field is **NOT** editable in the next screen, so please double-check that you have chosen the correct department before saving this form.*

       💬 *NOTE: If you're applying from **Beedie School of Business, Faculty of Health Science, or Faculty of Education,** please use the following department codes listed below:*

- Beedie School of Business: 2830
- Faculty of Health Science: 4010
- Education - 3430

3. **Activity Type:** Select the activity type from the dropdown menu. This will determine the type of proposal you are working on for external funding.

Funded Research	Select **Funded Research** if your proposal is requesting money for a research project.
Non-funded Agreement	Select the **non-funded agreement** type that applies (*material transfer, non-disclosure, etc.*) if the activity for the purpose of internal approval is a contract that is not about funding but requires agreement/contract negotiation.

> 💡 **TIP**: *If unsure about the activity type for a non-funded agreement, please contact ors@sfu.ca to make sure the right option is selected.*

Infrastructure	Select **Infrastructure** if the proposal is requesting funds for a building a site or a lab, but not for research costs (*e.g. CFI*).
Fellowship-Faculty	Select **Fellowship – Faculty** if the proposal is for salary compensation through fellowship for you as PI.
Donation	Select **Donation** if the research project is funded through unrestricted funds specified for research purposes. Donations for research purposes need to be onboarded through Kuali Proposal and approved by the Chair/Dean/ORS similarly to research grants and contracts. However, they need to be marked as donation for SFU Advancement to be able to track it and for SFU to be able to provide charitable receipt and acknowledgement to the funder.
Chair	Select **Chair** if the funding is for a Chair position (e.g. CRC).

4. **Project Dates:** Please select the dates when the proposed activities will start and when they are planned to end as stated in the research proposal to be submitted to the funder. If not known exactly, please make your best estimates.

5. **Project Title:** Please enter or copy the title of your research proposal as to be submitted to the funder.

6. **Sponsor:** While the lookup (magnifying glass) is functional, the list of sponsors is quite long. Please start typing the name of the sponsor to see a shorter and more relevant selection. (*For example, official abbreviations like SSHRC and NSERC can be typed in to get the right funding agency.*)

If you choose to use the look-up option instead, select the magnifying glass and type in the name of the entity/sponsor in the **Sponsor Name** field using an asterisk* to narrow your search results (example: *NSERC*) (*See more wildcard characters* here). Select **Search** at the bottom of the **Sponsor Lookup** screen. All results with NSERC in the name will appear, allowing you to select the appropriate sponsor.

If the sponsor does not exist in the drop-down list:
1. Please search for ***not*** in the sponsor name box of the search function (magnifying glass).
2. Select **"sponsor not found"** from the search results. This will let ORS know to onboard the sponsor.
3. The new sponsor will be activated in the system within 48 hours. You do not need to wait 48 hours with your signature sheet information, you can proceed with the rest of the proposal.

💬 **NOTE:** *The following phrases are interchangeably refer to the agency/company/institution you are sending the proposal to: "sponsor", "funder", "funding agency", "granting agency" "tri agency" sometimes even "contractor". Kuali Research uses the term "sponsor" in reference to "sponsored research".*

7. **Principal Investigator:** when searching for a PI in the Principal Investigator field, select the magnifying glass and search for the person by: last name, combination of first and last name, or SFU computing ID.

💡 **TIP**: *Username field is the equivalent to the SFU employee ID*
💡 **TIP**: *Using * as a wild card makes the search easier and quicker. See more wildcard characters here*
💡 **TIP**: *Kuali will mark an employee's preferred name as the default, so please search for the PI's preferred name if known*

💬 **NOTE:** *Predictive typing only works on the Sponsor field not for PI. Please also note that Kuali is configured by the SFU email linked to computing ID; the first name- underscore – last name alias will not work.*

8. **Anticipated Award Type**: Please select **G-Grant** or **C-Contract** only and ignore the other options. The list is created in PeopleSoft and is important for ORS to be able to set awards up properly. At the proposal stage, only the grant versus contract types are tracked.

   - Please select **G-Grant** if the funding opportunity is through a granting agency whose mandate is to fund research (NSERC, NIH, MITACS, etc).

   - Please select **C-Contract** if the funding (or non funded agreement) is from a non-profit or from private industry for a specific research project.

💬 **NOTE:** *If unsure, please select the best match. ORS will update the Award type at the time of funding based on the award letter and terms and conditions around the funding.*

9. Select the **Save and Continue** button to save the proposal.
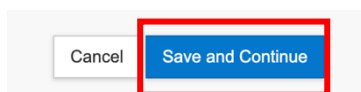
💬 **NOTE: Save and Continue** *of each section walks the proposal through the fields of the navigation pane and any field can be clicked on if update to the Kuali Proposal is necessary. Missing information will be flagged, and the Kuali Proposal will not be forwarded for approvals until information is provided.*

10. The system will generate a new proposal number and you will be taken to the **Proposal Details** section. The left side navigation pane shows the proposal components. Up to **Save and Continue** on this page is the minimum information that is required to start a new internal approval workflow (Kuali Proposal Development or the former signature sheet)

💬 **NOTE:** *Kuali Proposal has a **data validation option** that is off by default at the start of a new Kuali Proposal. It is better practice to keep it off and turn it on when closer to internal submission to validate the data entry. This will minimize too much and irrelevant feedback as you are working through drafts.*

Proposal Development: Basics Tab

The **Basics Tab** consists of the following:
- **Proposal Details**
- **Deadline & Other Information**

1. **Proposal Details:** Once you have saved the details in the create proposal form, the system will generate a new proposal number and the data will be populated in this section. Please verify if these details are correct. Please note that this section (except for the **Lead Unit** field) can be edited any time before submission. The red asterisks (*) indicate that the field is mandatory. Click **Save and Continue** once completed.

   ☺ *NOTE: Please leave the **Prime Sponsor Code** blank. The field cannot be removed, but SFU is not using Prime Sponsor Codes for internal approval workflow.*

2. **Deadline & Other Information:** In the **Sponsor & Program Information** section, please fill out the fields described below (if applicable) regarding deadlines: Click **Save and Continue** once completed.

1. **Deadline Type:**.
   a. Select **Sponsor Deadline** if the external deadline is known.
   b. Select **Rolling Intake** if submission is not linked to any deadline (e.g. some MITACS programs)
   c. Select **Internal Target** to communicate a target date for internal approvals.

2. **Deadline**: If the funder's external deadline is known, click in the field to open the calendar tool to select the date, or type in mm/dd/yyyy format to populate the box with the date the proposal is due to the sponsor. Some funding opportunities specify the time of day by when the application must be submitted. If this is the case, please specify Hour and Minutes as well.

3. **Anticipated Award Type**: This field will auto-populate based on the selection you have made in the initial details of the proposal.

NOTE: Completion of this section is not mandatory. However, if the funder's external deadline is close to the time of creating the Kuali Proposal, it is good practice to let the approvers know what the deadline is so they can sort by urgency.

Proposal Development: Funding Program Tab

In the **Funding Program** tab, under **Supplemental Info,** you can enter the "**sponsor program**" or "**funding program**" that is specific to the current Kuali Proposal if this is the case. Please note that we cannot configure programs in Kuali like sponsors so Supplemental Info is the only place we can collect this information. Additionally, during the pre-approval stage in the Kuali Proposal Development workflow the exact program name is not always available. ORS will fill in the exact program based on the award letter in Kuali Awards to maintain consistency and accuracy in the records. Please provide the sponsor program to your best understanding in this field for the reviewers and approvers to know what you are applying for.

> ☺ *NOTE: If the funder (sponsor) has several streams of funding opportunities, they provide a name to each new program (e.g. NSERC Alliance and NSERC Discovery; or SSHRC Insight and SSHRC Partnership Development).*

Supplemental Info

ⓘ Document was successfully saved.   x

Sponsor Program

Sponsor Program

Sponsor Program:

(4000 characters max)

1. Please enter the **program name** into the **Sponsor Program** text box *(e.g. Alliance or Discovery or Insight or partnership Development).*
2. Click **Save and Continue**.

> ☺ *NOTE: If the proposal is to an industry partner or funder with no programs, please enter "none" since program is a required field, and something must be entered.*

Proposal Development: Key Personnel Tab

In the **Key Personnel** tab PI is automatically included. There are only 2 scenarios in which it is necessary to add another "**Key Personnel**".

1. If you have a co-investigator from SFU who is promising resources towards your project, please enter the co-PI and answer the related questions in the questionnaire.

    💬 *NOTE:* *If a promise was made to you, you will need to provide evidence such as email or other documentation regarding the promise and the co-PI needs to make sure their Chair and Dean are in agreement with the promise (e.g. access to facilities, or equipment, etc). Please select* **co-applicant** *as type of personnel.*

2. If you are applying for NIH funding, in which case, you will need to list all your co-PIs to comply with FCOI requirements and training. If you apply to NIH, you will see a new question regarding co-PIs in the questionnaire as well.

If any of the above scenarios applies to you, please follow the steps below:

1. Select **Add Personnel** to open the Employee look-up. Enter search criteria to find the person you are looking for; such as the first and last name of your co-PI.

2. Click **Continue** to proceed with the search.
3. Review search results and click the radio button at the beginning of the personnel you want to select; click **Continue**.
4. With a selected person, assign a role by clicking a radio button beside one of the options.

Add Personnel

Assign a role

Assign a role: *

( ) Co-Applicant

( ) Key Person

[Add Person] [Go back] Cancel

5. Click the **Add Person** button to complete this task.

> 💬 **NOTE:** *Key personnel is not a required field; you may leave it blank. If the PI was defined under Principal Investigator, they automatically appear under key personnel.*

> 💬 **NOTE:** *If someone needs permission to modify proposals, the PI should invite them to the team.*

Proposal Development: Internal (Sig Sheet) Budget

Kuali Proposal does not require you to re-enter budget information. You only need to enter high level items necessary for SFU approvers for decision making. It is the equivalent of the "signature sheet" budget information. The detailed budget you are creating for the funder will be an attachment to the Kuali Proposal and will provide details, when applicable.

Budget

Budgets   **+ Add Budget**
The following budgets are linked to this proposal.

You will be able to create as many high level (signature sheet) budgets as you wish in case you are not sure what scenario you will submit. It is best to enter one budget once you know the parameters you need for approval purposes to avoid confusion unless you want to start fresh and abandon an earlier version.

Once a budget is created, it cannot be deleted, but only one can be marked to enter internal approval workflow for Chair/Dean and ORS review and approval. Budgets can be named to make it easy to distinguish between scenarios if you are using them. Otherwise, **please enter one high level budget**.

Create a Budget Version   ✕

Proposal:
174
Budget Name: *
> Budget 1

Please click the radio button below to start internal approval budget: *
🔘 Start internal approval budget

Create Budget   **Cancel**

Based on the Project dates, Kuali Proposal will configure the right number of budget periods where you can enter the information required for internal approvals. You can edit the periods if necessary.

Periods & Totals   **Recalculate with changes**   **Reset to period defaults**

+ Add Budget Period

Period Start Date *	Period End Date *	Months	Total Sponsor Cost	Direct Cost	F&A Cost	Unrecovered F&A	Cost Sharing	Cost Limit	Direct Cost Limit	Actions
10/01/2023	09/30/2024	12.0	0.00	0.00	0.00	0.00	0.00	0.00	0.00	🗑
10/01/2024	10/03/2024	0.1	0.00	0.00	0.00	0.00	0.00	0.00	0.00	🗑
		Total: 12.10	Total: 0.00	Total: 0.00	Total: 0.00	0.00 Total:	Total: 0.00	Total: 0.00	Total: 0.00	

In the budget periods, **please enter the Total Direct Costs and F&A costs directly into the table**. All other budget components will be auto-generated or are not required.

Formulas

SFU Overhead Rate (F&A)   **25% on Direct Costs**

> 💬 **NOTE:** *Kuali calls overhead (or indirect costs) F&A that is from the US terminology of Facilities and Administration costs. F&A will refer to overhead throughout Kuali Research. At SFU, our overhead policy is 25% on direct costs. Please apply this rate unless the funder has a published policy that is different in which case, please include the funder's set rate. If you do not apply SFU or funder policy to overhead, you need to attach an approval from ORS. Please contact ata26@sfu.ca for overhead related questions.*

F&A (Indirect Costs)   **Direct Costs/Overhead Rate (1.25 or 25%) – Direct Costs**

> 💬 **TIP:** *Helpful hint to calculate the 25% F&A amount correctly if sponsor has an upper limit to funding:*
>
> *e.g. You can only request $100,000 total, so you cannot ADD $25,000 to your ask to cover indirect costs.*
>
> *In this case, you need to divide your total by 1.25 to get your total direct costs and subtract it from the total to get the F&A amount*
>
> *e.g. For the $100,000 example, the direct costs will be:*
> *$100.000/1.25 = $80,000 and the F&A $100,000 - $80,000 = $20,000)*

Direct Cost ⬍	F&A Cost ⬍
80,000.00	20,000.00
-----------------	-----------------
0.00	0.00
---------	---------
Total: 80,000.00	Total: 20,000.00

Total Budget   **Direct Costs + F&A**

> 💬 **NOTE:** *Direct costs PLUS F&A will add up to the total budget you are requesting from the sponsor. Once entered, please press "recalculate with changes" to show "total sponsor cost" in the calculated field. Please do not enter anything into: "Unrecovered F&A" or "cost sharing" or "Cost limit" or "direct cost limit".*

> 💬 **NOTE:** *SFU is not using detailed budget in the 2024 implementation of Kuali Research*

> 💡 **TIP:** *You can start a budget without clicking "start internal approval budget". If you have more scenarios, you will have to click this every time, but only one will be selected at the end to enter approval workflow.*

Budget Summary will show non-personnel and total direct costs. Since we are only using the budget for high level "signature sheet" approvals, you do not need to break down personnel; it will be available in the budget document you are submitting to the funder.

Budget Summary

	P1 (10/01/2023 - 09/30/2024)	P2 (10/01/2024 - 10/03/2024)	Totals
Non-personnel			
Calculated Direct Costs	$0.00	$0.00	$0.00
Non-personnel Subtotal	$0.00	$0.00	$0.00
Totals			
Total Direct Cost	$0.00	$0.00	$0.00
Total F&A Costs	$0.00	$0.00	$0.00
Totals Subtotal	$0.00	$0.00	$0.00

If you only have one high level budget, click: "**ready for submission to sponsor**". Please note you are not submitting this to the sponsor, only to internal approval workflow, but the wording cannot be changed.

Is this budget complete?   ✖

☑ Is this budget ready to be submitted to the sponsor?

Cancel   OK

If you had more than one scenario, select "**Return to Proposal**" to see the list and select "**include for internal approval**" under **Actions**.

Proposal Development: Questionnaire

In Kuali, the Questionnaire replaces the "special requirements" and some of the follow up questions on the former signature sheet. These items are all important to make sure Chair / Director / Dean and SFU are agreed to the proposed activities and parameters and can track promises made.

Most research proposals will not require special requirements. In this case you will not be asked for additional detail or documentation, but to just select the appropriate response and move on. If you – in the future – will apply to the same or similar program, you can utilize the "copy" function and copy a previous "proposal" in Kuali where you only need to update information that has changed.

If you do have items that require special approval, this section will take time to complete. Please allow enough time. Some of the questions (e.g. PI Fee, Release Time) will require that you secured approval or agreement already. You will be asked to upload evidence of the agreement as per Chair / Director / Dean process in your unit.
Other items will generate to-dos for action when you receive the funding decision (e.g. field activity plan, etc). To speed up access to funds, make sure you have these and items marked in the Compliance section ready before account setup.

1. In the **Questionnaire tab,** answer all questions and click **Save** at the bottom of the screen.

2. If all questions have been answered, the title should say "**(Complete)**" at the top.

3. Click **Save and Continue.**

    💬 **NOTE:** *Some answer options may reveal additional questions. Please ensure you answer all questions.*

Budget Questions

Question 1 - Budget currency:
Budget should be entered in currency of the funder and not converted to CAD. Please select currency of funder from drop down list. Drop down list will show if "no" is selected for CAD. No action if "yes" is selected.

Question 2 - PI Fees, Additional Compensations, or Salary Recovery:
If the funds you are applying for will be in part used for PI fees, additional compensation, or salary recovery for yourself, it needs to be approved by your Chair and Dean before you enter Kuali Proposal information. In this case, please select "yes" and provide the amounts per period that was approved through your Dean's process outside of Kuali.

Once approved, the email or form you received must be uploaded to the Kuali Proposal Attachment section. Please keep in mind that each chair and dean has their own process for these approvals, and you need to give ample time for negotiations and decision making. If you answered "no", there is no further action required.

> ☺ **NOTE:** *If the additional compensation, course release or other commitments towards the proposed research are not paid from the funder's money but provided by your department, faculty or SFU, do not enter the information here.*

Question 3 - RTS, Teaching Release, or Course Buy out:
If the funds you are applying for will be in part used for Release time stipend or teaching release or course buyout for yourself, it needs to be approved by your Chair and Dean before you enter Kuali Proposal information. In this case, please select "yes" and provide the amounts per period that was approved through your Dean's process outside of Kuali. Once approved, the email or form you received needs to be uploaded to the Kuali Proposal Attachment section. Please keep in mind that each chair and Dean has their own process for these approvals, and you need to give ample time for negotiations and decision making. If you answered "no", there is no further action required.

Question 4 - Does the Applied F&A follows SFU policy:
This question is to confirm that SFU's overhead policy is properly followed. If you have included 25% indirect costs (F&A in Kuali) on total direct costs in the internal budget section, please select "yes" and there is no further action. If the funder has a policy different than the SFU one, please select "no" and enter a link to the funder policy regarding indirect cost or overhead or facilities and admin costs or explain variance (e.g. Funder is Tri Agency, no overhead was applied; OR Funder is NIH and 8% overhead was applied on modified direct costs OR Funder only allows line item budget for indirect cost $x was included in the budget…). If there is a special agreement on overhead, please add a note and attach the relevant documents. Please contact ata26@sfu.ca for all overhead related questions.

Proposal Questions

Question 5 - International Collaboration:
This is for tracking purposes to be able to answer in what countries SFU conducts research. If there is no international collaboration, select "no" and no further action. If you collaborate with researchers in other countries, select "yes" and select the applicable countries from the drop-down lists.

Question 6 - Will you Conduct the Proposed Research Only on SFU premises:
If all your proposed activities are at SFU campuses or working from home, please select "yes" and there is no further action. This includes SFU office and lab space, not businesses, services, or leased facilities happening to be on SFU campuses like institutes, elementary school, and daycare.

Only answer "no" if you conduct work at facilities of an SFU affiliate, or other external organization including leased space, partner organization, industry partner facility, or doing fieldwork. In this case, you will have follow-up questions to answer depending on your proposed research:

Question 6.1. Will you conduct the proposed research at the facilities of SFU's Affiliates?
If you do not work with any of SFU's affiliates (if unsure, select "yes" and look at the institutions listed), select "no" and move onto the next question. If you do work with one of the listed affiliates, please select "yes" and select the appropriate affiliate. SFU has a finite list of Affiliation Agreements that govern our relationship and requires that we track research activities we perform on their premises. If you have questions about SFU's Affiliates, please contact ors@sfu.ca to help you make the selection.

Question 6.2. Will you conduct the proposed research at the premises of any other organization (e.g. leased space, partner organization, industry partner lab)?
If your external activities are not at a leased space, partner organisation or industry partner facility, please select "no" and move to the next question. If you select "yes", please specify the name of the organisation and/or the location.

Question 6.3. Does the proposal include field work?
If your external activities do not include fieldwork on land, air, or water, please select "no" and move on to the next question. If you are planning to conduct research in the field, please select "yes" and describe in the text box where will the field work take place.

💬 *NOTE: Principal investigators must submit annual Field Activity Plans at least 2 weeks ahead of any fieldwork. While this is a proposal and it is uncertain whether or when the activities will start until a funding decision is made, completing the plan and related paperwork can be time consuming, please become familiar with the requirements to ensure you have everything in place by the time project activities start. Field Activity Safety Guidelines and relevant forms are available from the Safety & Risk Services Field Activities webpage. https://www.sfu.ca/srs/work-research-safety/research-safety/field-safety.html.*

💬 *NOTE: Make sure all your external research activities are following all applicable permit, license, compliance, security, certificate, training, etc. requirements. You may need to research and follow-up on what is relevant to your specific activities at the site.*

Question 7 - Indigenous Research:
If you are not working with indigenous people, cultures, or knowledge systems, please select "No" and move to the next question. Conducting indigenous research in the context of this questionnaire is defined as:

Research in any field or discipline that is conducted by, grounded in, or engaged with First Nations, Inuit, Métis, or other Indigenous nations, communities, societies, or individuals, and their wisdom, cultures, experiences, or knowledge systems, as expressed in their dynamic forms, past and present. Indigenous research can embrace the intellectual, physical, emotional, and/or spiritual dimensions of knowledge in creative and interconnected relationships with people, places, and the natural environment. Canada-specific, not international. If you are indigenous and working in your own community, this is not applicable.

If this applies to you, please select "yes" and answer the follow-up questions in the text boxes.
1) List indigenous groups involved
2) Describe how will you (or have already) secure indigenous groups' approval for the proposed activities.

Question 8 - Are you seeking any of the following Physical Resources:
1) additional space, 2) additional facilities, 3) renovations, 4) retrofitting, 5) new equipment, or 6) other resources.

If your proposal does not require any of the listed special resources, please select "no" and move to the next question. If any of these resources are applicable to your proposal, please select ALL THAT APPLY. If you have a special requirement not listed, please select "Other". In the text box, please provide justification to EACH ITEM SELECTED and attach supporting documents/approvals in the attachment section.

💬 *NOTE: Special requirements regarding your proposed research need to be approved before you route your application for Chair and Dean approval. Please secure these commitments ahead of time and allow enough time for negotiation and decision making. Once you secured the special requirement or commitment, click the type of resource that is needed to complete your research activities and were approved by your dean. Please attach the approval for the KR record. Each Dean has their own process for approval, please make sure you are familiar with the requirements of your faculty. Please note that if there is a special requirement, the attachment of a supporting document is mandatory in Kuali to proceed.*

Question 9 - SFU Core Facilities:
SFU has 8 core facilities and 4 other central and faculty-based facilities (e.g., 4D labs, Big Data Hub, Digital Research Alliance Canada) and several extra Departmental Units. These units provide services to researchers and it is important to track what research activities are utilizing their services. If you do not work with any of these units (select "yes" to see the list if unsure), please select "no" and move on. If you do work with them, please select ALL THAT APPLY.

Question 10 - Does your proposal include Co-applicants:
Please select "no" if you have no co-PIs named on the proposal or contract and move on. Please answer "yes" if you have included your co-PIs in the proposal to the funder and move onto the follow up question.

Question 10.1 Are any of your co-applicants from SFU?
If none on your co-applicants are from SFU, you do not need to provide any more detail (as long as the list of co-applicants is available in the proposal or draft contract you are attaching). In this case, please select "no" and move on.
If you have SFU co-PIs, please answer "yes" and move onto the next follow up question.

Question 10.1.1- Are any of your SFU Co-Applicants providing additional space/facilities/renovations/retro-fitting/human resources?
Similarly to tracking special approvals for physical resources in your Faculty, if your co-PI made promises towards your activities, they need to be approved by their Dean. Please answer "no" if no promises were made regarding special resources by your SFU co-PIs. Please answer "yes" if there were. If your answer was "yes", please select all that apply and move to the next follow up question.

Question 10.1.1.2 – Has the Co-Applicant received approval from their Chair / Dean for each selected item?
If yes, then please follow your department/faculty's internal process regarding what information needs to be submitted. If your SFU co-PI is contributing resources and has made accommodations towards your grant application, please attached supporting documentations as applicable in the Attachments section. If the co-PI did not receive approval yet, please select "no" and check the acknowledgement that commitments from your co-applicants must be approved for them to participate in the proposed activities.

Question 11 – Institutional support letter or contributions committed by the Office of the Vice-President Research and International (OVPRI) (e.g., Graduate Fellowships, cash or in-kind support):
If your proposal is not accompanied by an SFU support letter or promise of contribution by the OVPRI, please select "no" and move on. If you did receive support, please select what type:
- support letter only, no contribution
- support letter with contribution
- contribution with no support letter

Please upload signed support letter as an attachment and enter 'See attachment" in the text box below OR provide the three-digit identifier provided to you by Institutional Strategic Awards (ISA)

> 💬 **NOTE:** *Commitments and support letters take time and are processed by Institutional Strategic Awards, contact isa@sfu.ca for more information and please allow ample time to secure these commitments.*

FAS Equipment Questions
These questions are only visible to and mandatory for PIs from Applied Sciences. Please answer the questions as per your faculty's requirements. The questions are only for NEW equipment.

1. **Are you acquiring new equipment as part of this proposal?**
   Please answer "yes" if you are using the proposed funds for any equipment purchase, including servers and computers.

If yes, the following question will appear:

2. **Are you planning to buy ONLY a small number of computers or laptops?**
   Please answer "no" if the computers require extra space or you will need technical support for installation

If no, the following questions will appear:

3. **Where will the equipment be housed?**

4. **Does the equipment require additional space resources?**
   Please describe space needed or necessary facility upgrades

5. **Please provide complete information about electrical, plumbing, heating, cooling, ventilation, dimensions (W.H,D) and weight of equipment and any other special requirements.**
   It is important to disclose any requirement for the equipment to avoid unforeseen cost not covered by the grant.

6. **Does the equipment have modular components that require installation, service, repair or replacement? Please list component and frequency of service/repair/replacement for each.**
   It is important for FAS to know what will be required to install, operate, and maintain the equipment and to make sure that maintenance cost is covered by the grant or other funding sources.

Non-funded Agreements

If you have selected a non-funded agreement in the Activity Type field of the Proposal Details tab, then you will receive a different set of questions.

Material Transfer Agreement (MTA) Questionnaire

1. **Please provide the contact information (Contact Name and Email) of the other party's representative (e.g. Scientist).**
   ORS will connect with the partner organization to finalize the agreement.

2. **Please provide a description of the Material**
   This helps ORS with the necessary context to draft the agreement, or to review the collaborator's draft agreement

3. **Are you providing or receiving the Material?**
   Please select one of the options.

4. **Who owns the Material?**
   Please provide the name(s) of the owner(s).

5. **Who is paying for the shipping costs and arranging for the transfer of the Material from the Provider?**
   Please select one of the options.

6. **What will the Material be used for?**
   Please provide a brief summary of what the material will be used for.

7. **Will the Material be used in conjunction with any other materials received from a third party?**
   If yes, please provide the name of the third party and a description of the third party materials. ORS will review any existing agreements related to the materials to ensure compliance with all of our contractual obligations.

8. **Are there any existing or contemplated agreements regarding the Material?**
   If yes, please provide the name of all existing or contemplated collaborators. ORS will review any existing or contemplated agreements related to the material to ensure compliance with all of our contractual obligations.

9. **Is the Material relevant to any previous or pending invention disclosures to SFU or its TLO?**
   If yes, please provide details and ORS will liaise with the Technology Licensing Office to ensure compliance with all contractual obligations.

10. **Please select all that apply:**
    - The Material includes Recombinant DNA.
    - The Material will be provided for the purpose of product testing & evaluation (i.e. testing an expression system).
    - The Material is a tool, kit, or instrument that will be used in the conduct of research.
    - The Material is a reagent.
    - Progeny, unmodified derivatives, or descendant copies will be made from the Material.
    - None

11. **Will the Material be modified, used to produce modified derivatives, or combined with other materials?**
    If yes, please provide an explanation.

12. **Will funding from any related SFU projects (e.g. Rxxxxx) be used to develop the Material?**
    If yes, please provide all relevant SFU project accounts.

13. **Are there other collaborators involved with the use of the Material through SFU?**
    If yes, please provide the names of all collaborators and their respective organizations.

Non-disclosure Agreement (NDA) Questionnaire

1. **Please provide the contact information (Contact Name and Email) of the other party's representative (e.g. Scientist).**
    ORS will connect with the partner organization to finalize the agreement.

2. **Please provide a description of Information to be shared (i.e. Confidential Information, Trade Secret)**
    If any of the information involves trade secrets, please identify them as such. This helps ORS with the necessary context to draft the agreement, or to review the collaborator's draft agreement

3. **Are you providing, receiving the Information, or both?**
    Please select one of the options.

4. **Who owns the Information SFU is providing?**
    Please provide the name(s) of the owner(s).

5. **Who owns the Information SFU is receiving?**
    Please provide the name(s) of the owner(s).

6. **What is the purpose of sharing the Information?**
    Please provide a summary of the purpose for the exchange of information.

7. **Please provide the name(s) of the Representative(s) at SFU providing/receiving the Information?**
    Please provide the names of all applicable SFU individuals.

8. **Who will have access to the Information in addition to the Representative(s) at SFU?**
    Please provide the names of all applicable SFU individuals.

9. **Please provide the name(s) of the other Party's Representative(s) providing/receiving the Information?**
    Please provide the names of all applicable non-SFU individuals.

10. **Who will have access to the Information in addition to the Representative(s) at the other Party?**
    Please provide the names of all applicable non-SFU individuals.

11. **Please provide a proposed Effective Date of the NDA.**
    The Effective Date is start date of the NDA.

12. **How many months after the Effective Date will the Information be shared?**
    Please specify the time period to exchange the information.

13. **How many months after the Effective Date must the Information be kept confidential?**
    Please specify the time period to keep the information confidential.

14. **Are there any existing or contemplated agreements regarding the Information?**
    Is yes, please provide the name of all existing or contemplated collaborators. ORS will review any existing or contemplated agreements related to the material to ensure compliance with all of our contractual obligations.

15. **Does anyone else have an ownership interest in the Information or a right to require it to be kept confidential?**
    If yes, please provide the name of all applicable individuals or organizations.

16. **Is there a current, pending, or anticipated patent application regarding the information?**
    If yes, please provide details of the patent application, including the names of all relevant individuals or organizations involved.

17. Is the Information relevant to any previous or pending invention disclosures to SFU or its TLO?
If yes, please explain and ORS will liaise with TLO to ensure compliance with all of our contractual obligations.

18. Is there any Information to be treated as confidential that cannot be marked as "CONFIDENTIAL"?
If yes, please explain.

19. Was funding from another project (including student/post-doc funding sources) used in creating the Information?
If yes, please explain and ORS will review all existing agreements related to the information to ensure compliance with all our contractual obligations.

Data Access Agreement (DAA) Questionnaire

1. Please provide the contact information (Contact Name and Email) of the other party's representative (e.g. Scientist).
ORS will connect with the partner organization to finalize the agreement.

2. Are you providing, receiving the Information, or both?
Please select one of the options

3. Please provide a description of the data.
This helps ORS with the necessary context to draft the agreement, or to review the collaborator's draft agreement

4. Who owns the data that SFU is providing?
Please provide the name(s) of the owner(s).

5. Who owns the data that SFU is receiving?
Please provide the name(s) of the owner(s).

6. Please provide a summary of how the data will be used.
This helps ORS with the necessary context to draft the agreement, or to review the collaborator's draft agreement

7. Please provide the name(s) of the Representative(s) at SFU providing/receiving the data.
Please provide the names of all applicable SFU individuals.

8. Who will have access to the data in addition to the Representative(s) at SFU?
Please provide the names of all applicable SFU individuals.

9. Please provide the name(s) of the other Party's Representative(s) providing/receiving the data.
Please provide the names of all applicable non-SFU individuals.

10. Who will have access to the data in addition to the Representative(s) at the other Party?
Please provide the names of all applicable non-SFU individuals.

11. Does the data contain personal information?
If yes, please indicate yes or no for whether the data is de-identified.

12. Where will the data be stored?
Please explain.

13. Where will the data be accessed from?
Please explain.

14. Do you intend on publishing the results from the use of the data?
Please select one of the options

15. Are there any existing or contemplated agreements regarding the data?

If yes, please provide the name of all existing or contemplated collaborators. ORS will review any existing or contemplated agreements related to the material to ensure compliance with all of our contractual obligations.

16. **Is the data relevant to any previous or pending invention disclosures to SFU or its TLO?**
    If yes, please explain and ORS will liaise with TLO to ensure compliance with all of our contractual obligations.

17. **Is the data related to any previous or existing project at SFU (including student/post-doc funding sources)?**
    If yes, please explain and ORS will review to ensure compliance with all of our contractual obligations.

Non-Funded Research Questionnaire

1. **Please provide the contact information (Contact Name and Email) of the other party's representative (e.g. Scientist).**
   ORS will connect with the partner organization to finalize the agreement.

2. **What is the purpose of this collaboration and the proposed research activities? (Briefly describe or upload a separate document).**
   This helps ORS with the necessary context to draft the agreement, or to review the collaborator's draft agreement

3. **Do you intend to provide or receive materials or confidential information in the course of the research project?**
   This is to determine whether an NDA or MTA will also be required.

4. **Do you intend to contribute your existing intellectual property to the research project?**
   This is to determine whether intellectual property terms are required.

5. **Do you anticipate that a new invention, method, process, material, or other discovery might arise from this research project?**
   This is to determine whether intellectual property terms are required.

6. **Do you intend to publish the results of this research project?**
   If applicable, ORS will ensure that the agreement complies with SFU policies. If yes, also please indicate whether you anticipate publishing jointly with collaborators in this research project.

7. **Are there any other existing or contemplated agreements related to this collaboration**?
   If yes, please provide the name of all existing or contemplated collaborators. ORS will review any existing or contemplated agreements related to the material to ensure compliance with all of our contractual obligations.

Proposal Development: Compliance

The Compliance section includes compliance and certification requirements that require evidence of completion in order for research activities to commence. The compliance types tracked in Kuali are:

- Human Ethics
- Animal Care
- Biohazard
- Conflict of Interest Management Plan
- Radiation
- Cannabis

At the proposal stage, researchers need to disclose to ORS which of these compliance entries will be applicable to the proposed activities and start the certification processes on time so there is no delay in access to funds when the proposal is awarded. Compliance entries can be added, viewed, and edited in this section.
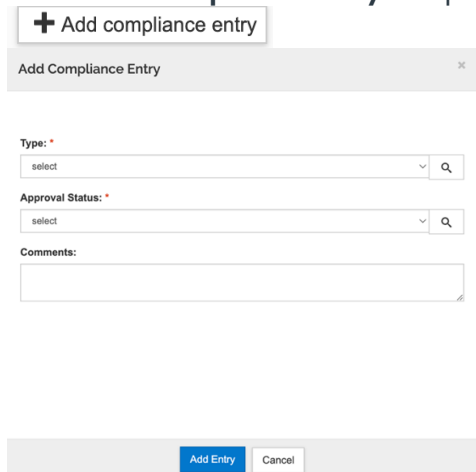
☺ **NOTE**: *SFU cannot release funds until ORS verifies that the following certificates or approvals are in order:*

- *Human Ethics*
- *Animal Care*
- *Biohazard*
- *Conflict of Interest Management Plan*

☺ **NOTE:** *there are several other certification and compliance entries that your research may need to comply with that is specific to your line of research. Make sure you do your diligence in exploring what is applicable to the proposed project and completing it before starting the funded project. Please contact ors@sfu.ca for a list of most common requirements.*

☺ **NOTE:** *You cannot proceed without choosing a compliance entry. If you have none, you will have to select "none" for compliance type and "not applicable" for approval status before you can proceed.*

1. Select **Add Compliance Entry** to open the Compliance entry form.
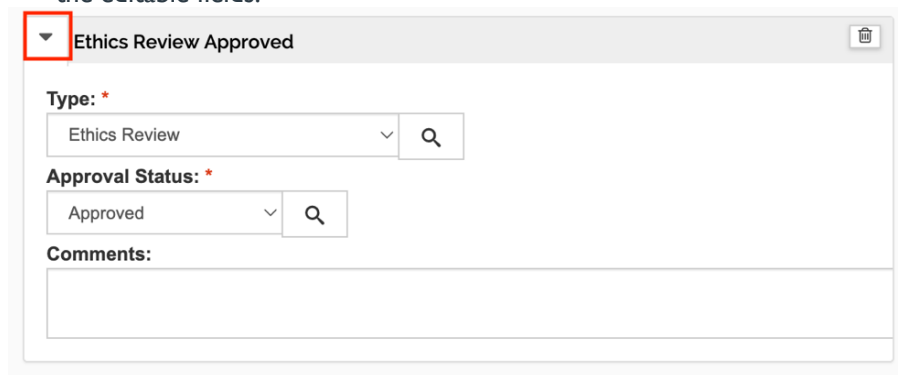
2. Select a **Type** from the drop-down list.
3. Select the **Approval Status**.
4. Add comments in the textbox if you would like to provide more information.
5. Select **Add Entry** to complete the entry.
6. To make edits to the added Compliance entry, click the dropdown arrow to the left of the entry to makes updates to the editable fields:
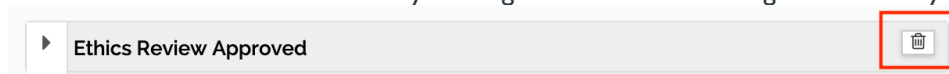
7. Added entries can be deleted by clicking the trashcan to the right of the entry:
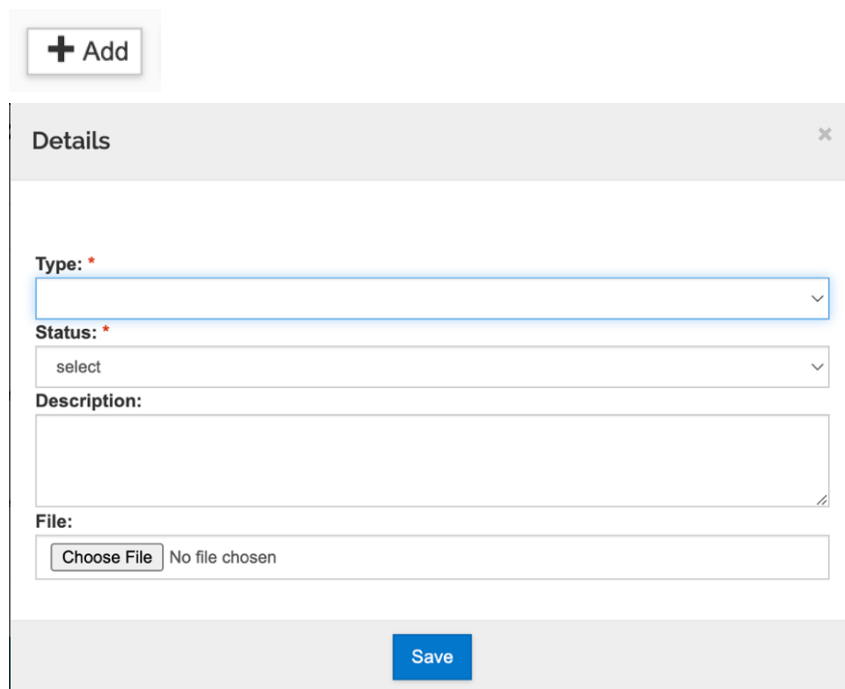
Proposal Development: Attachments

In the Attachments tab, this is where documents for the proposal, budget, and internal approval attachments are uploaded to be part of the submission.

There are two methods to add attachments:

1. **One attachment at a time** (**+Add**) - Use this option when you only have one attachment to upload.
This button will open the pop-up entry form.

2. **Bulk uploads of multiple attachments** (**Upload & Add**) - Use this option when you have several attachments ready to upload. This will open your computer's file explorer and you can upload multiple files at once.

Attachment Types
- ✓ Sponsor Proposal (mandatory)
- ✓ Sponsor Budget (mandatory)
- ✓ Letter of Support (if selected in the questionnaire)
- ✓ Approver-Requested Justification (as applicable)
- ✓ Draft Contract (mandatory)
- ✓ Attestations, Confirmations (as applicable)
- ✓ SFU Appointment Letter (if needed for eligibility determination)
- ✓ ORS Overhead Rate Waiver/Reduction Approval (if applicable)
- ✓ CFI Approved line-Item Budget Document (mandatory)
- ✓ Outside Activity Report (FAS only)
- ✓ Dean Approval – PI Fees/Additional Compensation/Salary Recovery (if selected in the questionnaire)
- ✓ COI (Conflict of Interest Management Plan approved by the Dean)
- ✓ SOW (statement of work for contracts)
- ✓ Other
- ✓ Course Release Paid by SFU (if applicable)
- ✓ RTS/Course Release (if applicable)
- ✓ Approver Attachment (if applicable)

3. Once you have uploaded your attachments, the system should populate each file as a separate entry. You can edit each entry with the appropriate file type, status, and description (if relevant).

4. Actions Column

- **Details:** This will open the pop-up entry form for the attachment.
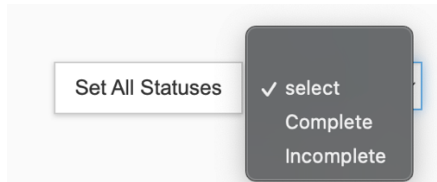- **View/edit rights:** Use this if you wish to change a user's access rights to the attachment.

- **Trash Can**: Select this to delete the attachment entry.

5. If you would like to set all the attachment entries to the same status, view the drop-down list in the upper right-hand side to view all statuses. Once you have selected the appropriate status, select **Set All Statuses** to update all entries.

💬 **NOTE:** *Mandatory attachments include: Proposal, Budget to Funder, and Approval of Special Requirements*

Proposal Development: Summary/Submit

The Summary/Submit screen provides a series of tabs with information across the entire proposal so you can better review the proposal from this single tab.

Submit

Saved	Routing	Approved

| Proposal Summary | Personnel | Questionnaire | Compliance | Attachments | Funding Program | Budget Summary |

Proposal Summary

Title	The Mitochondria is the Powerhouse of the Cell, 2024
Principal Investigator	Kristine Kwan
Lead Unit	000001 - Simon Fraser University
Proposal Type	a. New
Activity Type	Funded - Research
Proposal Number	174
Project Start Date	10/01/2023
Project End Date	10/03/2024
Include Subaward(s)?	No
Sponsor Name	BC Academic Health Science Network Socie
Prime Sponsor Name	
Sponsor Deadline Date	10/07/2023
Sponsor Deadline Type	Sponsor Deadline

Submit for Review   **Ad Hoc Recipients**   View Route Log   Cancel proposal   Delete Proposal   More Actions ▾   Close

Proposal preparers can review the summary for completion prior to using the **Submit for Review** button, as well as using the **View Route Log** button to preview the approval routing prior to submission.

The **Cancel Proposal** button can also be used if the proposal no longer needs to be submitted.

Once **Submit for Review** is selected, the proposal will route for review and approval. Please make sure to route your proposal with enough lead time for review.

If more edits need to be made after the proposal has been submitted but before it has been approved, a **Recall** button is available in this section. Clicking the **Recall** button will allow you to make edits to the proposal then submit again for review.

💬 *NOTE: Once you **recall** the record, Kuali will lock the PD record at the moment of your recall. You will need to go out of the PD record, search for and re-open up the proposal in order to make your revisions.*

Proposal Development: Access

In the **Access** tab, you can grant access to other Kuali Research users. To grant access to other users:
1. Click the **Add User** button

   👤 Add User

2. Use the search fields (such as the *Last Name* and *First Name* fields) to search for the Kuali Research user you would like to provide access to and click **Continue.**

3. Select the radio button to the left of the person and click **Continue**

4. Assign a role by selecting the radio button to the left of the role:

Assign a role

☐ Aggregator Only Document Level

☐ Budget Creator Only Document Level

☐ Viewer Document Level

☐ Budget Creator Document Level

☐ Narrative Writer Document Level

☐ Aggregator Document Level

Aggregator	The Aggregator has all permissions for a proposal. This is the highest-level administrative permission level for a proposal, and only individuals who have Aggregator permissions can submit a proposal for review. This role allows a user to see institutional salaries, modify budgets, rates, attachments, and recall a document that is part of the way through routing. The initiator of a proposal will automatically be granted the Aggregator role in the document.
Aggregator Only	This role is a more limited form of Aggregator. An Aggregator Only can modify all proposal, budget, and attachment data. They can also submit a proposal document for review. This role cannot recall, change rates, or see institutional salaries after a proposal is submitted for review. Members of this role are not included in the Aggregator search field in the Proposal Development search.
Budget Creator	SFU not using the budget functionality. Please do not use.
Budget Creator Only	SFU not using the budget functionality. Please do not use.
Narrative Writer	This role allows a user to modify the data in a proposal development document, including the attachments. It provides view only access to the budget.
Viewer	This role gives a user the ability to view all data in a proposal but does not allow them to change any data in the proposal or budget.

5. Click **Add Permission** to complete the entry.

Add Permission

Proposal Development: Notifications History

The Notifications History screen is where Kuali system generated notifications are listed, including the Principal Investigator certification notification. Each notification listed will note the Date Created, Recipients, Subject, and Message content.

Notifications History

| Date Created	Recipients	Subject	Message
10/03/2023 05:58 PM		Proposal No.174 in Department 000001 - Simon Fraser University has been created by Kristine Kwan	Attention Office of Sponsored Programs Proposal No. 174 has been created in Kuali Research. Proposal No: 174 Proposal Initiator: Kristine Kwan Department: 000001 - Simon Fraser University Sponsor: 0000001123 - BC Academic Health Science Network Socie Proposal Title: The Mitochondria is the Powerhouse of the Cell, 2024 Due Date:

Close

Institutional Proposal

Institutional Proposal records are a holding place for research proposals that were internally approved through Proposal Development and externally submitted to a funding organization while they are awaiting funding decision. While work-in-progress electronic proposals are stored and edited in the Proposal Development module, only complete and submitted works are tracked and stored in the Institutional Proposal module. Accordingly, Institutional Proposals will provide statistical information and reference and will not be editable by researchers, reviewers, and approvers, it is downstream from their activities. This is for back-office use only, department administrators and researchers will have no actions in this module, except for reporting. The records you see are role-dependent (for example, PI can only see their own records, department managers can only see records for their own department, etc.)

Until the reporting function is fully configured for Kuali, records (migrated from Grant Track (GTR) as well as new proposals entered into Kuali) can be accessed through searching Institutional Proposals (IP). This is where SFU collects all approved "signature sheets" that were submitted to external funders. ORS updates the status of IP records when a funding decision is received and creates an Award. This allows reporting on proposal success rates by number (not dollar amount).

Kuali Award will be used for account setup in PeopleSoft after Kuali / PeopleSoft integration is complete in the Summer of 2024. Until then, award dollar amounts and account information are only available in FAST, not in Kuali. For more accurate GTR data or special requests please contact RIO (Research Intelligence Office) rio@sfu.ca.

Navigating to the Institutional Proposal Module

1. Click on **Common Tasks**.
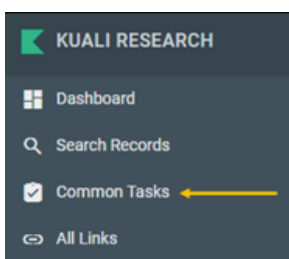
2. This will open the **Common Tasks** screen. Please navigate to the **Institutional Proposal** card to view the actions.

Search Institutional Proposals via Common Tasks

This search function is more direct for looking at only institutional proposals without having to add a condition, but not as universal. It is however easier to quickly pull up high level information on your institutional proposals.

1. Select **Search Institutional Proposals** and the **Institutional Proposal Lookup** will appear.

Institutional Proposal Number:	
Proposal Development Number:	
Proposal Type:	select
Status:	
Account ID:	
Project Title:	
Unit ID:	
Unit Name:	
Proposal Person:	
Sponsor ID:	
Sponsor Name:	
Proposal Create Date From:	
Proposal Create Date To:	

Institutional Proposal

Create Institutional Proposal

Create Proposal Log

Search Institutional Proposals

Search Proposal Logs

search   clear   cancel

Within the **Institutional Proposal Look-up**, there are a handful of fields to search through (see below). Since Kuali IP contains historical as well as new records, it is recommended that you limit the search to avoid getting too many records. The information you can view is already limited to your department/ faculty/ portfolio. You can use * in the beginning and/or end of a phrase as a wildcard. Note that wildcards will increase the potential search results and may slow down the search.

Institutional Proposal Look-up

Institutional Proposal Number	If you know the Kuali code for the IP record, you can look it up directly, or you can look up a range of IP records (note that we have over 25000). IP records combine the historical data from GTR and new proposals entered into Kuali.
	Historical GTR records were numbered consistently with the historical GTR number, but Kuali added 0000 to the front of it, so you can use for a GTR number with * at front. (e.g. 00001234)
Proposal Development Number	If you know the proposal the PI created before it was approved by the Chair/Dean/VPR and you do not know what the IP number is, you can search records based on the proposal number. This number did not exist in GTR, it will only pull Kuali records. To understand the various numbering logics, please contact rio@sfu.ca.
Proposal Type	You can use Proposal Type "g. Migrated (do not use)" if you are only searching historical records pulled in from Grant Track, it is best to include all proposal types for excel download for new records.

       a. New
       b. NOI/LOI
       c. Renewal
       d. Resubmission
       e. Revision
       f. Continuation
       g. Migrated / Legacy (do not use)

Status	Statuses include historical statuses as well Kuali ones and need to be used carefully. Selection options are:

a. **Pending** – Pending funder decision, we do not yet know if we will receive funding or not. If the "proposal create date" is more than 3 years ago, update this status in the excel extract to "denied". On March 21, 2024 all pending proposals older than 3 years were already flipped to denied.

b. **Awarded** – SFU received an award letter and updated the status

c. **Returned** – should **not** be counted in "awarded"

d. **Cancelled** – should **not** be counted in "awarded"

e. **Withdrawn** - should **not** be counted in "awarded"

f. **Denied** - should **not** be counted in "awarded"

g. **Approved** – awarded and approved for account setup

h. **Approved** – no funding – awarded but no money is coming to SFU

i. **4A** - historical award type not used any more, count as **approved**

j. **Approved** – Protocol Development – awarded and approved for account setup with partial budget until ethics protocol is on file

k. **Executed** – finalized executed agreement or contract. Can be counted as "awarded" but may not have money coming to SFU

Account ID	Account ID is blank in Kuali. Account ID (Rxxxxx) is mapped to a custom field in Kuali in Supplemental Info. Please contact rio@sfu.ca if you need more information
Project Title	If you are looking for a specific title, you can use * as wildcards and enter the partial title to return records with the term
Unit ID	If you know the 4 digit code for your unit, you can search for it, otherwise you can search by unit name in the next box. Note that your access level automatically filters results for the unit you have access for.
Unit Name	Use * as a wildcard to find your unit by name. Please note that your access level automatically filters results for the unit you have access for.
Proposal Person	This is the PI. Please note that if PI has multiple names in the HR system, Kuali pulls the one flagged as "preferred name". Searching by name uses a convention of first name last name and has to be entered exactly as it is in the HR system. The magnifier glass brings in other search fields you can use to find a PI.

Sponsor ID	If you know the sponsor ID, you can use it here. Otherwise use the Sponsor Name below. This will limit your search to the selected sponsor only
Sponsor Name	Use * as a [wildcard](#) to find a sponsor by name
Proposal Create Date From/To	These dates can be used to limit your search to a desired time period. This is the date ORS entered the signature sheet (or the proposal application date) in Grant Track. In Kuali, this is the date the proposal was entered into Kuali. Because these are not exact dates, ensure that you search for a wider window as you can limit your selection later. (e.g. you are looking for proposals approved in the last year, set the "proposal create date" for 15 months ago. Use proposal create date "to" if you are looking for records in the past. Again, leave some buffer for pulling the data). Please note that data loads slowly on this page and it is recommended to use this search parameter to narrow your results.

Please note that data loads slowly on this page and it is recommended not to pull a lot of information at once. If you are looking for a large historical pull, please contact rio@sfu.ca.

Once you downloaded the search results, there will be new date options to help with more accurate ranges. The date available is "total requested start and end date" indicating when the project activities are expected to start and end. If you need to limit to different dates, please contact rio@sfu.ca.

2. Using [Kuali Research searching techniques](#), type in your search criteria and click on **Search**.

3. Selecting the **Search** button after entering search criteria will return a results list at the bottom of the lookup screen.

31 items retrieved, displaying all items.

Actions	Institutional Proposal Number	Proposal Type	Activity Type	Status	Lead Unit ID	Lead Unit Name	Account ID	Project Title	Sponsor ID	Sponsor Name	Prime Sponsor
open medusa	00161921	a. New	Infrastructure	Awarded	4570	Physics		High-momentum and high luminosity Muon beamlines for molecular materia...	0000001210	Canada Foundation for Innovation	Canada Foundation for Innovation
open medusa	00161925	a. New	Infrastructure	Awarded	4570	Physics		High-momentum and high luminosity Muon beamlines for molecular materia...	0000002251	BC Knowledge Development Fund	
open medusa	00161947	a. New	Infrastructure	Awarded	4520	Biomed Physiology Kinesiology		Infrastructure for the Laboratory of Brain Resilience	0000001210	Canada Foundation for Innovation	Canada Foundation for Innovation

4. Click on the "**open**" link to open the selected institutional proposal record.

31 items retrieved, displaying all items.

Actions	Institutional Proposal Number	Proposal Type	Activity Type	Status	Lead Unit ID	Lead Unit Name	Account ID	Project Title	Sponsor ID	Sponsor Name	Prime Sponsor
open medusa	00161921	a. New	Infrastructure	Awarded	4570	Physics		High-momentum and high luminosity Muon beamlines for molecular materia...	0000001210	Canada Foundation for Innovation	Canada Foundation for Innovation

💬 **NOTE:** If you would like to access a proposal questionnaire, please access it from the [Proposal Development module.](#)

Exporting Institutional Proposal Search Results

After you defined your search terms and pressed "search", results appear in a table below your search box. There are export options on the bottom right of the page where you can download your results as a csv or spreadsheet.

open medusa	00162257	a. New		Non-Fund Mate Trans Agree

Export options: CSV | spreadsheet | XML

The spreadsheet will have the same headings that now you can manipulate to make the report you wish.

Exported Spreadsheet Headings

Actions

Actions lets you open Medusa where you can find related proposals, proposal hierarchy and other information. This works in the Kuali search page, ignore in the excel extract. Please contact ors@sfu.ca if you need more information on Medusa.

IP Number

Please refer to Institutional Proposal Look-up.

Proposal Type

Please refer to Institutional Proposal Look-up.

Activity Type

Until there is new proposal added directly to Kuali, the results by Activity Type will all be migrated / legacy. This indicates that the data was pulled from GTR prior to March 22, 2024. All other records will have Activity Types as in search fields.

Status	Please refer to [Institutional Proposal Look-up](#).
Lead Unit ID	Please refer to [Institutional Proposal Look-up](#).
Lead Unit Name	Please refer to [Institutional Proposal Look-up](#).
Account ID	Please refer to [Institutional Proposal Look-up](#).
Project Title	Please refer to [Institutional Proposal Look-up](#).
Sponsor ID	Please refer to [Institutional Proposal Look-up](#).
Sponsor Name	Same as in search field. Sponsor and program names were standardized in 2022, before then you may find aliases for the same sponsor.
Prime Sponsor	If the sponsor that sent SFU the funds has used money from an already funded project they lead, SFU is considered a "sub" and needs to be aware of who the "prime" sponsor was (e.g. the sponsor is UBC, and UBC is sending us money from an NSERC project where NESERC is the prime). The historical GTR data will NOT capture this. Please contact rio@sfu.ca if you need more info.
Principal Investigator	Name of the SFU PI
Requested Start Date	Blank in migrated data.
Total Requested Start Date	Date the project activities expected to start. Please use this for statistical purposes only and refer to FAST for project dates. This field maps to the "funding from and to" columns in GTR.
	Note that not all grants (ie internal SFU ones) get setup with the project (award) information in GTR so using the "funding to and from" fields is not 100% accurate for reporting time ranges. FAST is the best source of truth for awards.
	If we need to break down a multiyear award into annual payments, contact rio@sfu.ca.
Requested End Date	Blank in migrated data.
Total Requested End Date	Date the project activities expected to end. Please use this for statistical purposes only and refer to FAST for project dates (see additional notes under total requested start dates).
Proposal Create Date	Please refer to [Institutional Proposal Look-up](#).
Direct Costs	Blank, ignore
F&A Costs	Blank, ignore
Direct Costs All Periods	Ignore
F&A Costs All Periods	Ignore

Total Costs All Periods   Use for proposed amount. Awarded amount will be available after PeopleSoft integration. Contact rio@sfu.ca if you need to report on award amounts before the Summer 2024 integration is complete.