Proposal Development Guide
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The Proposal Development Document

The Proposal Tab

Document Overview Panel

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

The recommended data to include in this description:

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

Recommended format: MM/DD/YY_LastNameF_SPONSOR_MEC_Short Title

Example: 07/04/14_TrojanT_NIH_R01_Studies on XYZ

Required Fields for Saving Document Panel
Proposal Number: (Automatically Generated)
A system generated number that can be later used as search criteria in Proposal Development Lookup. This field will remain empty until the proposal development document has been saved for the first time.

Proposal Type: (Mandatory)

- **New** – Represents an original funding request made to a sponsor for a proposed project. No prior proposal has been submitted to the sponsor for the proposed project and the sponsor has not previously made an award to support the proposed project.

- **Resubmission** – Represents an application that was previously submitted, but was not funded, and is now being resubmitted for new consideration. A resubmission is generally submitted to make a significant change (e.g., scope of work, budget, facilities, subawards) to a previously submitted proposal not yet funded by the sponsor.

  - If selected, the Original Institutional Proposal ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup (     ) to link the previous proposal to the current Resubmission.

- **Renewal** – Represents a request for additional funding that is intended to extend, or results in the extension of, a project beyond the originally approved project period.

  - If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Renewal.

- **Continuation** – Represents a non-competing application for an additional budget period within a previously approved project period. This proposal type is typically used when the sponsor commits to funding the entire project period but requires the submission of a continuation or progress report to monitor progress.

  - If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Continuation.

- **Revision** – Represents a request to modify a proposal that is pending or is otherwise unfunded, but not officially declined by the sponsor.
If selected, the Original Institutional Proposal ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the previous proposal to the current Revision.

**Supplement** – Represents a request for additional funds to support an existing project during the same project period.

If selected, the Previous Award ID field in the Institutional Fields Conditionally Required Panel is mandatory. You will need to use the lookup to link the connected award to the current Supplement.

**Pre-Proposal** – Represents a preliminary proposal submitted to the sponsor in order to determine whether a full proposal should be subsequently submitted or to help the sponsor organize a full proposal review.

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

**Activity Type: (Mandatory)**

- **Clinical Trial** – The controlled, clinical testing of investigational and/or approved drugs, devices, treatments or diagnostics in human subjects where such testing is performed under a sponsor or investigator-developed protocol covered by an IND or IDE from the FDA.

Note: When Clinical Trial is selected as the Activity Type, an additional Panel will open up that contains a quick-link to the OnCore login page as well as a free text field used to enter the OnCore ID.

- **Conference** – Supports the costs of a meeting or meetings.
✓ **Data Use** – The sharing of data and an agreement that establishes the ways in which the information in a limited data set may be used and how it is protected.

✓ **Equipment** – The acquisition of equipment, including grants of equipment or full or partial funding to enable the purchase of equipment and where the title to such equipment vests with USC.

✓ **Fellowship** – Training or subsistence during training to either graduate students or post-doctoral candidates training in research techniques.

✓ **Instruction** – The development or enhancement of a curriculum.

✓ **Non-Disclosure** – The exchange or disclosure of proprietary information between two or more parties.

✓ **Participant Support** – Stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.

✓ **Public Service** – Scholarly or professional training or services to individuals or sponsor-designated recipient groups, where such groups are external to the University.

✓ **Applied Research** – The systematic use and practical application of findings/theories in studies involving useful products, where such studies are designed to test and/or evaluate practical application of proposed solutions.

✓ **Basic Research** – Directed toward research that increases knowledge of the subject being studied. This includes activities that seek to increase the understanding of fundamental phenomena.

✓ **Developmental Research** – Normally follows basic research and attempts to expand the potentialities of new discoveries.

✓ **Training** – Scholarly, professional, or occupational instruction primarily for graduate students or University employees (including post docs) and includes training awards made to USC that provide for selection of student recipients by academic units.
✓ **Tuition** – Funding to provide tuition remission for students.

✓ **Collaboration** – Unfunded activity with the intent to work together to submit a proposal and/or achieve a common goal.

✓ **Service** - Providing consulting or other services, including business services, testing (re-charge centers); work-for-hire; independent contractor agreements.

✓ **Other** – Serves as the catchall for activities not reflected in the rest of the list.

**Proposal Title: (Mandatory)**
The title of the proposal. This should match the face page of the proposal.

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

**Project Start Date: (Mandatory)**
The anticipated date the project will begin. For continuations or renewals, the date should mark the beginning of the new period of performance. For supplements or revisions, the date should match the current project period.

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

**Award Type: (Mandatory)**
✓ **Grant** - Award of financial assistance with PI-defined work scope.

✓ **Contract** - An agreement to procure research services or other services from USC. Activities performed under contract are more closely controlled by the sponsor than those performed under a grant.

✓ **Cooperative Agreement** - An award of financial assistance in which the sponsor may be actively involved in defining the scope of work or program and/or anticipates
having substantial involvement in the performance of the project.

- **Subcontract** - A document written under the authority of and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement) that transfers a portion of the research or substantive effort of the prime award to USC.

  - If Subcontract is selected as the award type, the *Prime Sponsor ID* field in the Sponsor & Program Information Panel becomes mandatory. The prime sponsor is the entity that will issue an award under which USC will receive its Subaward.

    For example, the National Science Foundation is a prime sponsor if it makes an award to the California Institute of Technology (Cal Tech) and Cal Tech issues a Subaward to USC under its NSF prime award.

- **Data Use Agreement** - An agreement that governs the sharing of data. It establishes the ways in which the information in a limited data set may be used and how it is protected.

- **Equipment Agreement** - An agreement to provide equipment and/or funding to purchase equipment.

- **IDIQ Master Agreement** - (Indefinite Delivery, Indefinite Quantity) A type of contract issued when a sponsor has identified a need for services, but does not know precisely how or when these services will be required. The terms and conditions of the IDIQ Master Agreement are negotiated and accepted by both parties, but it does not contain a statement of work or provide any funding.

- **Master Agreement** - An agreement that embodies established terms and conditions of a basic relationship between USC and a sponsor. A Master Agreement typically covers publication, confidentiality, intellectual property, indemnification, publicity, notice and access to information, but it does not contain a specific statement of work or provide funding.

- **Non-Disclosure Agreement** - An agreement to treat specific shared information as confidential, proprietary or trade secret and to prohibit disclosure to others without proper authorization.
✓ Collaboration Agreement - An agreement involving USC and additional parties who plan to combine resources to work together to submit a proposal and/or achieve a common goal.

Institutional Fields (Conditionally Required)

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

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

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

1. Select either the Previous Award ID or Original Institutional Proposal ID lookup depending on the type of proposal you are currently submitting (see above).

2. Enter any relevant search criterion that best helps locate the Previous Award ID or Original Institutional Proposal ID you are trying to link.

   - For Previous Award ID, the recommended search criteria are Account ID, Sponsor Award ID or Investigator.
   - For Original Institutional Proposal ID, the recommended search criteria are Proposal Title or Unit ID.

3. Click “Search”.

Revised 5/12/2016
4. Click “Return Value” next to the previous Award or Institutional Proposal you want to link.

5. The Previous Award ID or Original Institutional Proposal ID (whichever you searched for) will be loaded into the relevant field as indicated by its numeric identifier (see below).

**Sponsor & Program Information Panel**

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

**Deadline Dates (Mandatory):**
You must enter deadline date information for *at least one* of the fields below:

1. **Sponsor Deadline Date**
The sponsor’s deadline date indicated in the solicitation.

2. **USC Deadline Date**
The date by which the PI expects the proposal to be submitted to the sponsor.

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

3. **After the Fact?**
   This box should be marked for proposals submitted after the sponsor’s due date or at the time of the award.
**Prime Sponsor ID (Conditionally Mandatory)**
This field is mandatory only when “Subcontract” is selected as the Award Type. The prime sponsor is the entity that will issue an award under which USC will receive its Subaward. Utilizing the lookup ( ), search for and select the Prime Sponsor’s ID. Once populated, this field will include both the name of the Prime Sponsor as well as the Prime Sponsor’s ID number.

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

**Does This Proposal Include Subawards? (Conditionally Mandatory)**
This box should only be checked if there are Subawards included in the proposal. If this box is checked, all Subawards should be listed in the Subawards Panel.

### Subawards Panel (Conditionally Mandatory)

<table>
<thead>
<tr>
<th>* Organization Name</th>
<th>* Amount</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>1 Psychic Bunny, Incorporated</td>
<td>$50,000.00</td>
<td>delete</td>
</tr>
</tbody>
</table>

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

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

2. The Subaward organization and amount is also reflected in the budget, budget justification, and technical scope of work.

3. FCOI documentation is uploaded for each Subaward if the proposal is for a PHS sponsor.
Organization/Location Panel

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

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

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

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

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

**Other Organizations:**
If other organizations will be involved in the project, they can be added here.

**Key Personnel Tab (Mandatory)**

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

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

If you have Key Personnel at other schools at USC (e.g. Co-Investigators), you may enter them as Key Personnel. This will automatically generate an “Ad Hoc FYI” (See Route Log Section - Page 35) to the person and the Dean of their school. If you do not wish to enter the additional Key Personnel, you will need to “Ad Hoc FYI” the Key Personnel directly so they are notified that they have been included in the proposal. The schools housing any Key Personnel do not need to approve the proposal in order to successfully route and submit the proposal as this only occurs for those listed as Principal Investigators (PI's) and Co-Principal Investigators (Co-PI's).
Definitions

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

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

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

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

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

Personnel Subpanels

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

Extended Details
Contains extended information regarding the selected individual.

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

Unit Details
Specifies the unit associated with the selected individual.

Proposal Person Certification (Mandatory)
The PI and Co-PI(s), if any, must answer these certification questions in order to complete the proposal.
• If the Principal Investigator is the person creating the proposal in KC, these questions should be filled out at this time.

• If the Research Administrator is the person creating the proposal in KC, these questions will be answered once the proposal has been routed to the PI for approval.

• Any Co-Principal Investigators listed in the KC proposal will be required to answer these questions once the proposal has been routed to them for approval.

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

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

**Special Review Tab (Conditionally Mandatory)**

![Special Review Tab](image)

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

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

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

**Type**
The type indicates which compliance item, if any, is relevant to the proposal.
o IRB - Institutional Review Board
   This should be selected if the proposal contains human subjects.

o IACUC - Institutional Animal Care and Use Committee
   This should be selected if the proposal contains animal subjects.

o CIRC - Conflict of Interest Review Committee
   This should be selected if a conflict of interest must be resolved.

o CTO – Clinical Trials Office
   This should be selected if the proposal is for a clinical trial with patient care costs.

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

  o Approved
    If selected, the Protocol #, Application Date, and Approval Date must be provided.

  o Exempt
    If selected, the Protocol #, Application Date, and Approval Date must be provided.

  o Pending
    If selected, only the Application Date needs to be provided.

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

**Application Date**
The date the protocol was submitted to the regulatory committee.

**Approval Date**
The date the protocol was approved by the regulatory committee.

**Expiration Date**
The date after which the existing protocol expires.

**Comments**
A free-text field for adding any relevant information regarding regulatory review.
Exemption #
One of six categories of exempt research specified by the Code of Federal Regulations (45 CFR 46.101(b)).

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

The Six Exemptions:

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

- **E2** – “Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:

  (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.”

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

- **E4** – “Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.”
E5 – “Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.”

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

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

Proposal Attachments Panel

**Attachment Type** (Mandatory)
The proposal document(s) that are to be submitted to the sponsor.

- Equipment
- Bibliography
- Other
- Additional Key Persons
- Additional Equipment
- Table of Contents
- Supplementary Documentation
- Subaward Budget
- Abstract
- Sponsor Guidelines
- Budget Justification
- Project Summary
- Narrative
- Grants.gov Package

Revised 5/12/2016
Notes About This Section:

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

Status (Mandatory)
Denotes whether the attachment is complete/incomplete.

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

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

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

Uploaded By (Automated)
Automatically displays the name of the individual who uploaded the attachment.

Posted Timestamp (Automated)
Automatically displays the exact date/time the attachment was uploaded to the system.

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

Contact Name (Optional)
The name of the individual to be contacted if subsequent viewers/approvers have questions regarding the document.

- Because multiple users can help prepare a proposal in KC, this field allows subsequent approvers (including DCG) to directly contact the person who uploaded the proposal attachment, should they have questions.
Email Address (Optional)
The e-mail address of the individual named in the Contact Name field.

Phone Number (Optional)
The phone number of the individual named in the Contact Name field.

Description (Optional)
A brief summary of the attachment that is being uploaded.

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

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

To Upload a File:
- Choose File Button → Click the file (on your local PC) → Add

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

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

**Personnel Attachments Panel**

<table>
<thead>
<tr>
<th>Add Personnel Attachments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Posted Timestamp</strong></td>
</tr>
<tr>
<td>Add:</td>
</tr>
</tbody>
</table>
The Personnel Attachments Panel is where documents related to each of the PI's, Co-PI's, and Key Persons are uploaded. Each PI, Co-PI, and Key Person that was previously added in the Key Personnel Tab will be listed here in the Person dropdown menu, and documentation can be uploaded specific to each listed individual.

**Posted Timestamp (Automated)**
Automatically displays the exact date/time the attachment was uploaded to the system.

**Uploaded By (Automated)**
Automatically displays the name of the individual who uploaded the attachment.

**Person (Conditionally Mandatory)**
The individual to whom the attachment is relevant. This dropdown is automatically populated with the names of the individuals listed in the Key Personnel Tab.

**Attachment Type (Conditionally Mandatory)**
The type of personnel document to be submitted to the sponsor:

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

**Description (Optional)**
A brief summary of the attachment that is being uploaded.

**File Name (Automated)**
Automatically displays the file name of the file that has been attached as it appears on the user's local hard drive.

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

**To Upload a File:**
- Choose File Button → Click the file (on your local PC) → Add
Confirm that all attachments uploaded are required, per the solicitation.

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

Internal Attachments Panel

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

Posted Timestamp (Automated)
Automatically displays the exact date/time the attachment was uploaded to the system.

Uploaded By (Automated)
Automatically displays the name of the individual who uploaded the attachment.

Attachment Type (Conditionally Mandatory)
The type of internal document that is to be uploaded.

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

**Description (Optional)**
A brief summary of the attachment that is being uploaded.

**File Name (Automated)**
Automatically displays the file name of the file that has been attached as it appears on the user's local hard drive.

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

**To Upload a File:**
- Choose File Button → Click the file (on your local PC) → Add

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

### Routing Package Documents for Upload

#### New Proposals

<table>
<thead>
<tr>
<th>Documents to Upload in this Section</th>
<th>Attachment Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Sponsor Solicitation/Guidelines →</td>
<td>Sponsor Solicitation/Guidelines</td>
</tr>
<tr>
<td>● Cover Page (SF424/NSF) →</td>
<td>Cover Page</td>
</tr>
<tr>
<td>● Budget                           →</td>
<td>Budget</td>
</tr>
<tr>
<td>● Budget Justification →</td>
<td>Budget Justification</td>
</tr>
<tr>
<td>● Cost Sharing Approval →</td>
<td>Cost Sharing Approval</td>
</tr>
<tr>
<td>● Disclose Printouts →</td>
<td>Disclose Documentation</td>
</tr>
<tr>
<td>● Other (Certifications etc.) →</td>
<td>Other</td>
</tr>
<tr>
<td>● Draft of Scope of Work or Summary →</td>
<td>Scope of Work</td>
</tr>
</tbody>
</table>
(For NSF please be sure this includes the broader impacts section for review.)

- Subaward Institutional Commitment, Budget, Budget Justification, Statement of Work and Conflict of Interest Verification
- Consultant Letter

(To agree to participate. Budget information can either be referenced in the letter or submitted on a separate sheet.)

### Revisions/Continuation Proposals

**Documents to Upload in this Section** | **Attachment Type**
---|---
- Cover Page | Cover Page
- Budget | Budget
- Budget Justification | Budget Justification
- Scope of Work Change | Institutional Narrative
(or Annual Report Document)
- Subaward Revision to Commitment, Budget, Budget Justification, and/or Statement of Work | Subaward Packet
- Consultant Letter | Consultant Packet
(If changing letter of participation. Budget information can either be referenced in the letter or submitted on a separate sheet.)
- Cost Sharing Approval | Cost Sharing Approval
(if new or update due to Revision)
The Notes Panel is a place to enter any additional information relevant to the proposal. This is where any/all critical notes regarding the proposal will be located. If the proposal is returned for revision at any point in the routing process, this section will collect the comments for why the proposal was returned.

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

| **Posted Timestamp** (Automated) | Automatically displays the exact date/time the note was added to the system. |
| **Author** (Automated) | Automatically displays the name of the individual who added the Note Text. |
| **Note Topic** (Mandatory) | A brief description of the note topic is entered here. |
| **Note Text** (Mandatory) | The main content of the note is entered here. |
| **Add** | Adds the note to the proposal. |

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

For every note added in the Notes Panel, an additional row will be generated reflecting the entered note (see below).
If the Proposal is returned for revision, any notes entered in the “Return to Initiator” comments section (located in the Approver View Tab) will automatically populate here in the Notes Section. (See Below)

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

* Please enter the reason below:

Cost Sharing Not Reflected in Proposal

<table>
<thead>
<tr>
<th>Added</th>
<th>Post Date</th>
<th>Author</th>
<th>Note Topic</th>
<th>Note Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>02/01/2014 09:07 AM</td>
<td>Congelliere, Noah</td>
<td>Returned to Initiator</td>
<td>Cost Sharing Not Reflected in Proposal</td>
</tr>
</tbody>
</table>
The Questions Tab contains a series of proposal questions, broken down into three panels.

**ALL of the questions must be answered.**

The questions are broken down into the following panels:

- General Proposal Questions
- Clinical Trials
- Export Control
- Cost Share Type

The first three Panels contain the following fields:

**Question** (Automatically Provided)
The content of the question.

**Answer** – Yes, No, or N/A. (Mandatory)
- If you answer “Yes” to some of the questions, the *Explanation* field will become mandatory.
- If you answer “Yes” to some of the questions, the *Review Date* field will become mandatory.

**Review Date** (Conditionally Mandatory)
The Date that the content of the question was reviewed.

**Explanation** (Conditionally Mandatory)
Used if it is necessary to expound upon the Answer. Some questions that are answered “Yes” require an explanation.
Complete List of Questions

General Proposal Questions
1. Is there an institutional limit on the number of proposals?
   - If “Yes”, the Approval Date becomes mandatory.
   - If “Yes”, upload Provost Approval documentation to:
     Abstracts and Attachments Tab → Internal Attachments → Other

2. Will additional space or renovation on existing space be required?
   - If “Yes”, the Explanation field becomes mandatory.

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

4. Is the proposal a full application related to submission of a preliminary application?
   - If “Yes”, ensure that the preliminary application is uploaded to:
     Abstracts and Attachments Tab → Internal Attachments → Other

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

Revised 5/12/2016
1. Does this trial involve an IDE/IND?
   o If “Yes”, the Explanation field becomes mandatory.

2. Is this trial part of a Multi-Site Study?
   o If “Yes”, the Explanation field becomes mandatory.

3. Is this trial registered on Clinicaltrials.gov?
   o If “Yes”, the Explanation field becomes mandatory.

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

1. Will the research be performed, in whole or in part, outside the United States (including international travel)?
   o If “Yes”, the Explanation field becomes mandatory.

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

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

**Cost Share Type Question**
If the proposal does not contain cost share, leave this section blank. If the proposal does contain cost share, select the appropriate cost share type code from the dropdown:

- **Mandatory:** Mandatory Cost Sharing is required by the sponsor. The solicitation and/or sponsor guidelines identify and require cost sharing as a condition of the award.

- **Voluntary Committed:** Voluntary Committed Cost Sharing is not required by the sponsor but is voluntarily proposed, quantified or quantifiable in the proposal.

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

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

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

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

**Version #**
This is a system-assigned number.

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

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

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

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

**Final**
This checkbox indicates which budget version will be the final budget for the proposal after you have entered direct and indirect costs. *Note: Do not check this box until after you have entered budget details.*
**Open & Copy Buttons**
Clicking on the open button will open the budget document for editing. It will open the Budget Document to the Parameters tab where you can enter direct and F&A costs.

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

**Budget Periods & Totals Panel**

In the Parameters tab of the Budget Document, you will enter the Direct Cost, F&A Cost, and (if applicable) any Cost Share for each budget period. If your proposal is a multi-year proposal, a line item will be automatically generated for each budget period.

![Budget Periods & Totals Panel](image)

**Period Start Date: (Mandatory)**
This is the start date of the budget period and it is automatically generated. If period start date is different from what is generated, change the date accordingly.

**Period End Date: (Mandatory)**
This is the end date of the budget period and it is automatically generated. If period end date is different from what is generated, change the date accordingly.

**Direct Cost: (Mandatory)**
This is the total direct cost being requested from the sponsor for the budget period. You must enter the direct cost for each budget period.

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

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

**Cost Sharing (Conditionally Mandatory):**
This is the total cost share amount specified for the budget period. If any amount(s) are listed in this section, the amount(s) will be automatically reflected on the "Distribution & Income" Tab of the Budget eDoc under the "Cost Sharing" Panel. A "Source Account" number will be required for each amount (see below).
Navigating Back to the Proposal

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

Budget Versions Panel (Finalizing the Budget Version)

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

**Final: (Mandatory)**

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

**Budget Status: (Mandatory)**

Once the Final checkbox is selected, the Budget Status drop down for the budget will be enabled for you to select Complete.
Proposal Actions Tab (Mandatory)

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

Data Validation Panel

You can activate a Validation check to determine any errors or incomplete information. The following Validation types will be determined:
- errors that prevent submission into routing
- warnings that serve as alerts to possible data issues but will not prevent submission into routing
- errors that prevent submission to grants.gov

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

Data Validation Panel ➔ Turn On Validation

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

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

Validation Errors vs. Warnings

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

- **Validation Errors** – Prevent you from submitting the proposal into routing.
- **Warnings** – Alert you to possible data issues but do not prevent routing.
All validation errors must be corrected prior to clicking the “Submit” button at the bottom of the screen. For every validation error present, click the “Show” Subpanel for a brief description of the problem. To the right will be a button that reads fix. Click the “Fix” button for every validation error present and KC will take you directly to the error’s location in order to correct it (see below).

The Route Log Panel (Optional)

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

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

**How Is It Broken Down?**

![Route Log](image)

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

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

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

4. **Initiator**
   The person who created the proposal development document (Last Name, First
5. **Route Status**
   Tells you where the proposal development document is in the routing process. This will usually say *Enroute*, denoting that the document has pending approval requests.

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

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

8. **Last Modified**
   The time and date that the proposal development document was modified last.

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

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

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

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

12. **Taken By**
    The user responsible for the action.

13. **Time/Date**
    The time and date of the action/request.
14. **Annotation**
   A system-generated message related to the workflow of a document.

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

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

16. **Requested Of**
The user responsible for the action.

17. **Time/Date**
The time and date of the action/request.

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

**The Ad Hoc Recipients Panel (Optional)**

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

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

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

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

   *Use FYI when Ad Hoc Routing to Key Personnel.*

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

   **Acknowledge** – Do Not Use

2. **Person (Mandatory)**

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

3. **Actions**

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

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

### Submitting the Proposal (Mandatory)

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

**To Submit the Proposal into Routing:**
1. Review all of the data fields in the proposal development document.

2. Ensure all data is consistent between:
   - Sponsor Guidelines → Proposal → Proposal Development Document (KC)

3. Click the “Submit” button on the bottom of the Proposal Actions Tab.

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

**Approver View Tab**

(Only Viewable When Approving a Proposal)

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

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

- **Project Title**
- **Proposal Number**
- **Proposal Type**
- **Activity Type**
- **Sponsor**
- **Lead Unit**
- **Amounts**
  - Total Direct Costs
  - Total F&A Costs
- **Dates**
  - Proposal Due Date
  - Project End Date

**Proposal Certification Questions (Mandatory)**

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

- CO-PIs will answer these certification questions at the time that they approve the proposal development document.

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

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

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

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

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

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