

KUALI RESEARCH: PROPOSAL DEVELOPMENT SPECIAL USE CASES

March 20, 2024

OBJECTIVES

Describe Special Use Cases for Quali Research (KR)

- Non-Funded Agreements - NDA, DAA, MOU, MTA
- Sub Outs - Sending \$ to co-applicants
- Amendments – Changes to Existing Projects, Agreements
- CAM – Contract Approval Memo
- PI Certification – Adjunct, URA, PDF, non-SFUFA
- Contract, no proposal

GOAL: Provide Better Clarity for Unusual Scenarios

Not in Kualī, Business as Usual

- ✓ Sub Outs - Sending \$ to co-Applicants, Transfer Funds
 - [Use SFU Sub Out Request Form](#)
 - Will add to Kualī later

- ✓ Amendments – Changes to Existing Projects, Agreements
 - No new money!
 - Email ORS (extensions, PI change, sponsor approval)

- ✓ CAM – Contract Approval Memo
 - Will add to Kualī later

Transfer Funds



OFFICE USE ONLY	
ID#	
<input type="checkbox"/>	TriAgency eligible
<input type="checkbox"/>	TriAgency non-eligible
<input type="checkbox"/>	Prime contract
<input type="checkbox"/>	Other

Request to Subgrant to Co-PI Form

Available for download at ORS website: www.sfu.ca/ors/forms.html

1. SFU Grant Holder

Date:
Name:
SFU Department:
Phone & Email:

2. Project/Grant Information

FUNDS ARE FROM: <input type="checkbox"/> TRI-AGENCY (SSHRC, CIHR or NSERC) <input type="checkbox"/> INDUSTRY <input type="checkbox"/> OTHER
Granting Agency's/Sponsor's name:
SFU Project Account Number:

3. Co-Investigator, Co-PI / Recipient Institution

Co-Investigator or Co-PI:
Recipient Institution & Dept:
Was Co-Investigator named on your grant application? <input type="checkbox"/> Yes <input type="checkbox"/> No
Transfer Amount (include currency):
Budget period:
<i>Note: unless specified otherwise, equipment purchased by the co-investigator with these funds will belong to the Recipient Institution.</i>

COMPLETE EITHER THE ATTACHED APPENDIX A OR APPENDIX B AS FOLLOWS:

APPENDIX A. If transferring from a **Tri-Agency grant**, complete Appendix A. For all other subgrants, or subcontracts, complete Appendix B.

On the attached Appendix A, please provide a brief statement of work and budget breakdown. Note that the subgrant budget must adhere to Tri-Agency guidelines & approved use of funds. This Appendix must be typed and signed as it will form a part of the transfer agreement.

APPENDIX B. If transferring funds from a **Non-Tri-Agency grant, industry award or other contract**, complete Appendix B.

On the attached Appendix B, please provide information about the transfer. ORS must ensure that the subgrant funds are transferred in accordance with, and subject to, the sponsor's terms & conditions and/or contract.

4. Other instructions:

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5. Send to ORS:

Please complete and sign the appropriate Appendix and scan it along with this form to email: ors@sfu.ca

These transfers often take several weeks to complete. Please let the Co-Investigator/Co-PI know that he or she must complete necessary forms as required by the Recipient Institution in order to receive this subgrant, including relevant certificates such as Ethics, biosafety, animal care if applicable.

- A: Tri Agency
- B: Non- Tri Agency
- Budget
- Project Info
- Grant Holder Signature
- ors@sfu.ca


Amendments

1) [Tri Agency Grant Amendment Form](#)

- 1) Deferrals
 - 2) Extensions
 - 3) Leaves
 - 4) Eligibility
 - 5) Change of Institution
 - 6) Change of Grant Team
 - 7) Termination
- ors@sfu.ca

- ## 2) Non-Tri Agency
- Email request with details
ors@sfu.ca

- ## 3) Contracts
- Email request with details
rescontract@sfu.ca

	Canadian Institutes of Health Research Natural Sciences and Engineering Research Council of Canada Social Sciences and Humanities Research Council of Canada	Instituts de recherche en santé du Canada Conseil de recherches en sciences naturelles et en génie du Canada Conseil de recherches en sciences humaines du Canada	Protected B when completed
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Grant amendment form

Information and instructions

This form is applicable to all CIHR, NSERC and SSHRC grants that are paid by an institution and administered in accordance with the [Tri-agency Guide on Financial Administration](#) (TAGFA).

This form is to be completed and submitted by the relevant institutional representative: research grants officer, business or financial officers, as applicable.

Complete section 1 and the necessary fields in section 2 in accordance with the amendment being requested and attach all required supporting documentation.

One form may be submitted for multiple amendments to the same grant.

Submit the completed form and required attachment(s) by email to

- NSERC and SSHRC at grantsadministration@nserc-crsc.gc.ca
- CIHR at support-soutien@cihr-irsc.gc.ca

SECTION 1 – GRANT RECIPIENT AND INSTITUTIONAL REPRESENTATIVE INFORMATION		
GRANT RECIPIENT INFORMATION		
Family name		Given name
Email address		Telephone number
Administering institution	Agency	Agency application or grant reference number
INSTITUTIONAL REPRESENTATIVE INFORMATION		
Family name		Given name
		Telephone number
Position title		Email address

Contract Approval Memo

Attachment to Final Contract

- Signed by PI, Chair/Director, and Dean
- Informs resource, space and financial commitments
- Informs compliance with Collective Agreement
- Includes nonpayment guarantee.
- Requests PI to grant SFU **only** those IP rights necessary to comply with agreement (since SFU has inventor-owned IP)

Contracts Officer initiates during execution

CONTRACT APPROVAL MEMORANDUM Research Funding Agreement

DATE:

TO: #FIRST_NAME# #SURNAME#, Project Leader

Simon Fraser University ("SFU") Research Services ("Research Services") on behalf of the Vice-President, Research and International, has completed its review in accordance with SFU Policy R10.01, "External Research Funding Agreements," of the research funding agreement between SFU and #FUNDING_SOURCE_NAME# (the "Sponsor") (#GRANT_ID#) governing your research proposal in this matter as comprised of the following documents:

1. (collectively the "Research Funding Agreement" or "RFA"),

Research Services is prepared to recommend SFU accept, execute, and deliver the RFA documents and approve a research account for your use. To do so, Research Services requires the approvals in this Memorandum. In addition to providing your personal approval, Research Services requests your assistance in seeking the approvals from your Chair/Director and Dean, after which Research Services will seek any approval required from the Vice-President, Finance and Administration. The approvals sought are specific to the RFA and are in addition to those concerning the research proposal and application provided under your Research Funding Application Signature Sheet.

PROJECT LEADER APPROVAL

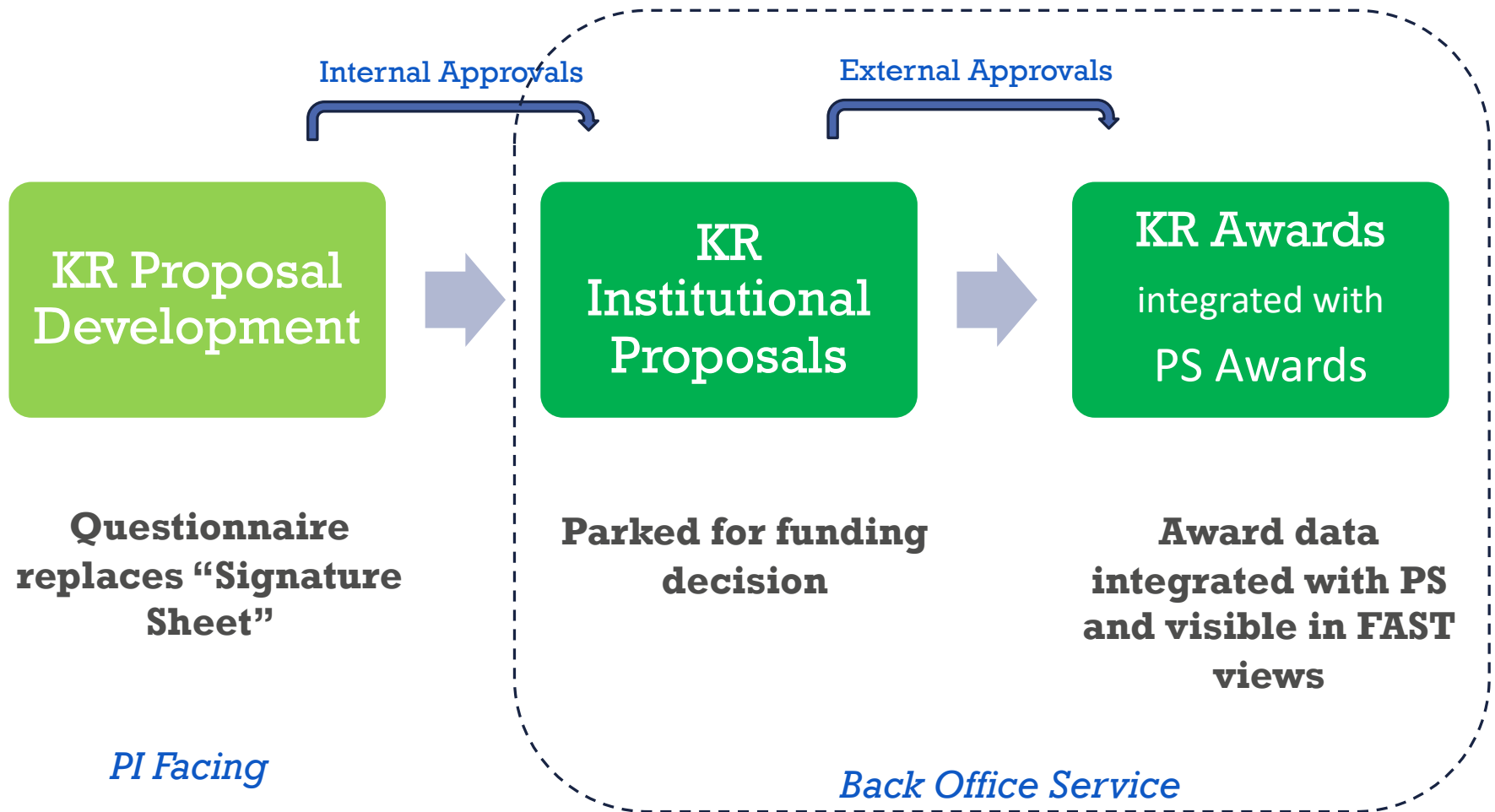
To induce SFU to accept, execute, and deliver the RFA pursuant to which funding will be provided for my research, I **AGREE WITH SFU** as follows:

1. I have read, understood, approved, and accept the RFA and confirm my willingness to carry out the Research within the established budget, the availability and sufficiency of the internal and external resources identified in the Research project description under the RFA (the "Research");
2. I acknowledge that:
 - 2.1. I am generally responsible for administering and completing the Research in compliance with the RFA on behalf of SFU;
 - 2.2. I am specifically responsible for and must fulfill each extraordinary responsibility listed in Exhibit 1, if any, and, in this regard, I will do or cause to be done all acts in connection with or incidental to the RFA that are necessary to enable SFU to comply with the RFA;
3. I will, on a timely basis:
 - 3.1. perform the Research in accordance with SFU policies and within the established budget and project protocols,
 - 3.2. implement all relevant compliance processes and secure all relevant approvals under SFU policies,
 - 3.3. make arrangements for repayment or return of funds to the Sponsor as a consequence of over-expending on the Research or defaulting in my obligations under this Memorandum ("Internal Compliance Issues") as contrasted with any without cause non or under-payment by the Sponsor ("External Compliance Issues"),
 - 3.4. complete all technical and other non-financial reporting required under the RFA,
 - 3.5. facilitate all financial reporting on, and billing of, the Research work, including:
 - 3.5.1. promptly notifying SFU Research Accounting of the satisfaction of any conditions or milestones tied to the payment schedule specified in the RFA, and
 - 3.5.2. reporting on any in-kind or matching contributions/funding for the Research and submitting to SFU Research Accounting any supporting documentation for submission of any financial reports required by the Sponsor for their funding under the RFA, and
 - 3.6. provide Research Services with copies of all applications, contracts, and any subsequent award notifications, reports, or materials related to the Research;
4. **TO THE EXTENT REQUIRED BY SFU TO COMPLY WITH THE RFA, BUT NO FURTHER**, I hereby
 - 4.1. transfer to SFU (with the right to re-transfer in whole or in part) the necessary interest in the intellectual property resulting from the Research (excluding thesis copyright and publication rights for academic and

Kuali, Online Workflow

- Non-Funded Agreements - NDA, DAA, MOU, MTA
- Amendments – Changes to Existing Projects, Agreements
 - New Money
- PI Certification – Adjunct, URA, PDF, non-SFUFA
- Contract, no proposal

WHAT IS KUALI RESEARCH?

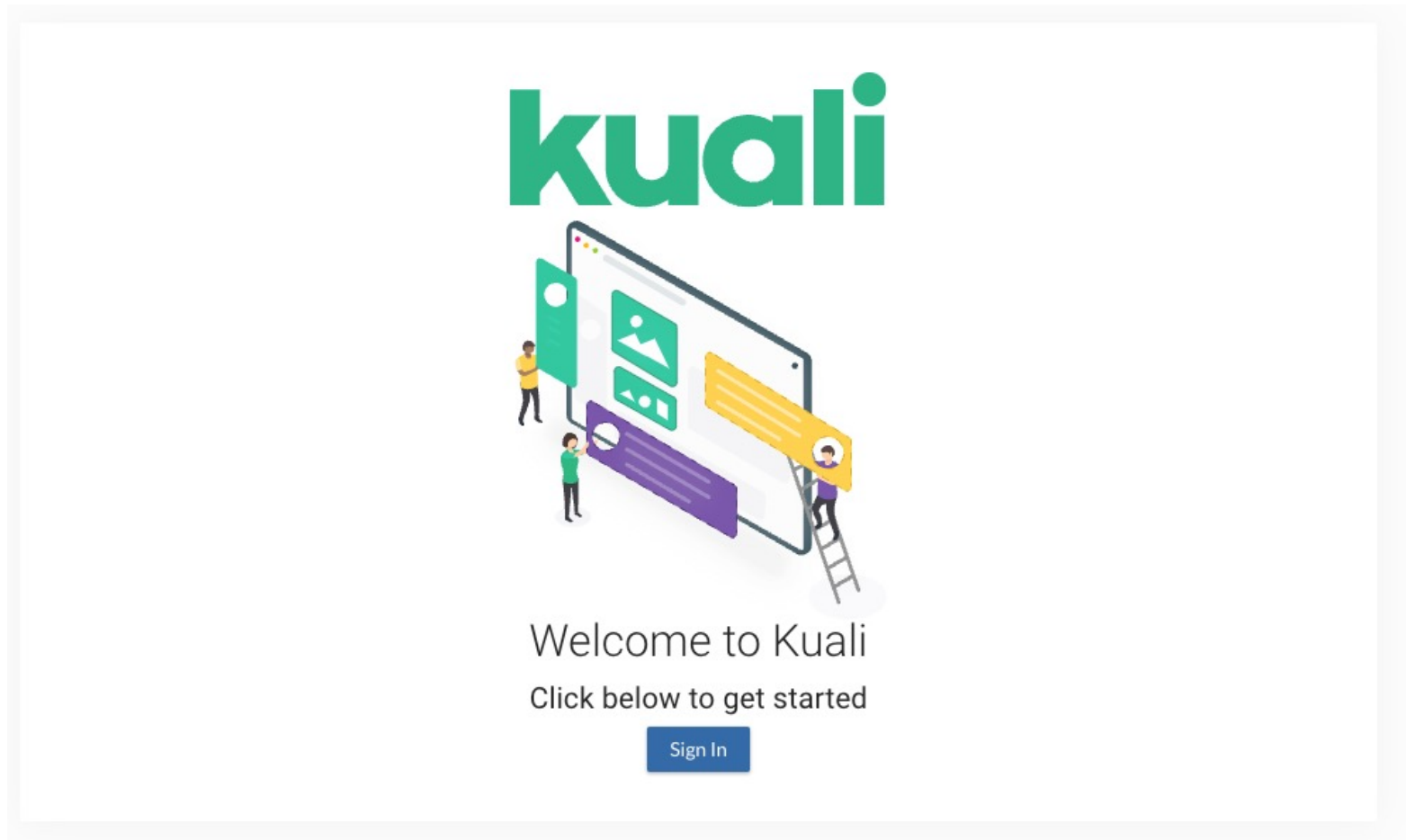


KUALI PROPOSAL TERMS TO REMEMBER

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

HOW DO I LOG INTO KUALI RESEARCH?

- Most users will be pulled through the HR system and use SSO to sign-in.
- Some users may need to request access, please contact ors@sfu.ca.



KUALI RESEARCH HOME


 KUALI

 Kristine Kwan


 Sign Out

 Collapse Menu


Kuali



Research Home



Protocols



Users

KUALI RESEARCH DASHBOARD

KUALI RESEARCH

- Dashboard
- Search Records
- Common Tasks
- All Links
- Reports
- Help
- About
- Logout
- Kwan, Kristine
- Switch Apps
- Collapse Menu

Dashboard

Show/hide cards

Proposals routing to me

Filter | Sort by

All Clear!

0-0 < >

Proposals not routing

1 Filter Applied | Sort by

Proposal Proposal #174 – PI: Kwan, Kristine – Sponsor: BC Academic ...
Due date: 10/07/2023 Last action: 10/03/2023 5:58 PM

1-1 < >

Institutional Proposals work in progress

Filter | Sort by

Institutional Proposal Institutional Proposal #00002633 – PI: Unrau, Peter – Sponso...
Denied Last action: 8/16/2023 12:31 PM

Institutional Proposal Institutional Proposal #00002634 – PI: Wister, Andrew – Spon...
Approved Last action: 8/16/2023 12:31 PM

Awards work in progress

Filter | Sort by

Award Award #000032-00004 – PI: admin, admin – Sponsor: Canada...
Awarded - Pending activation Last action: 10/05/2023 10:32 AM

1-1 < >

Proposal workload assignments

Filter

Proposal Number	Principal Investigator	Sponsor	Lead Unit	Title	Due Date	Last Action	Current Request(s)	Assigned Approver
#183	Hosseini, Vahid	Canada Foundation for	2150	Studying alternative transportation decarbonization		10/23/2023 12:31 PM	Hosseini, Vahid	

CREATING A NEW PROPOSAL

 KUALI RESEARCH

 Dashboard

 Search Records

 Common Tasks

 All Links

 Reports

Proposal Development

All My Proposals

Create Proposal

Search Proposals

CREATING A NEW PROPOSAL

✓ Data Validation (off) Print Copy Medusa Hierarchy Budget Versions Link Help

Proposal Details

* indicates required fields

Document was successfully saved.

Proposal Type: * a. New

Lead Unit: 000001 - Simon Fraser University **Lead Unit cannot be changed once saved**

Activity Type: * Funded - Research

Project Dates: * 10/01/2023 to 10/03/2024

Project Title: * The Mitochondria is the Powerhouse of the Cell, 2024

Sponsor: * 0000001123 BC Academic Health Science Network Socie

✗ Prime Sponsor Code: **Do not use**

Save

Save and Continue

Close

New Proposal Number created, available on Dashboard

Kuali, Online Workflow

- ✓ Amendments – Changes to Existing Projects, Agreements
 - **New Money**
 - **Proposal Type: Continuation**

- ✓ Contract, no proposal

Follow Funded Research Process (see PI training for Proposal Development)

Kuali, Online Workflow

- ✓ Non-Funded Agreements - NDA, DAA, MOU, MTA

ACTIVITY TYPE SELECTIONS



ACTIVITY TYPE

- Funded Research
- **Non-Funded (NDA, MTA, DAA, Research)**
- Infrastructure
- Clinical Trial
- Fellowship
- Chairs
- Donation

NO BUDGET FOR NON-FUNDED

NON-FUNDED RESEARCH INFO

Supplemental Info

 Document was successfully saved. 

Sponsor Program

Sponsor Program

Sponsor Program:

(4000 characters max)

Mandatory to enter text, type “none” if not applicable

NOTE: same language is used for funded and non-funded activity types

NOTE: sponsor program will need to be entered as “none”

Anticipated Award Type: Select C-Contract

Please note we cannot configure “programs” in Kualu like sponsors. Supplemental Info is the only place we can collect this information!

MTA Questionnaire

1. **Contact info** (Name and Email) of the other party's representative (e.g. Scientist).

ORS will connect with the partner organization to finalize the agreement.

2. **Description** of Material

Helps with context to draft or review agreement

3. **Providing or receiving** the Material?

Select one of the options

4. Who **owns** the Material?

Provide the name(s)

5. Who is paying for the **shipping costs** and arranging for the transfer?

Select one of the options

MTA Questionnaire Cont.

6. What will the Material be **used for**?

Summary

7. Will the Material be used in **conjunction with** any **other** materials from a third party?

If yes, provide name of the third party and a description of materials.

ORS will review any existing agreements to ensure compliance

8. Are there existing or contemplated **agreements** regarding the Material?

If yes, provide name of all existing or contemplated collaborators.

ORS will review any existing or contemplated agreements

9. Is the Material relevant to any previous or pending **invention disclosures** to SFU or TLO?

If yes, provide details

ORS will liaise with the TLO to ensure compliance with all contractual obligations

MTA Questionnaire Cont.

10. Please select **all that apply**:

- Includes **Recombinant** DNA
- Purpose is **product testing** & evaluation (i.e. testing an expression system)
- Is a **tool, kit, or instrument** that will be used in the conduct of research
- Is a **reagent**
- Progeny, unmodified **derivatives**, or descendant copies will be made from it.
- None**

11. Will Material be **modified**, produce modified derivatives, or **combined** with other?

If yes, explain

12. Will funding from any SFU projects be used to develop the Material?

If yes, provide accounts (Rxxxxx)

13. Are there other collaborators involved with the use of the Material through SFU?

If yes, provide names and organizations

NDA Questionnaire

1. **Contact** info (Name and Email) representative (e.g. Scientist)

ORS will connect to finalize agreement

2. **Description** of Information (i. e. Confidential, Trade Secret)

If trade secrets, identify as such

Context to draft/ review agreement

3. **Providing, receiving** Information, or both?

Select one of the options

4. Who **owns** the Information SFU is providing?

Provide the name(s) of the owner(s)

5. Who owns the Information SFU is receiving?

Provide the name(s) of the owner(s)

6. **Purpose** of sharing the Information?

Provide summary of purpose

7. Name(s) of **Representative(s)** at SFU providing/receiving the Information?

Names of all applicable SFU individuals

NDA Questionnaire Cont.

8. Who will have **access** to the Information in addition to the Representative(s) at **SFU**?

Names of all applicable SFU individuals

9. Name(s) of the **other Party's Representative(s)** providing/receiving the Information?

Names of all applicable non-SFU individuals

10. Who will have **access** in addition to the Representative(s) at the other Party?

Names of all applicable non-SFU individuals

11. Effective **Date** of the NDA

Start date of the NDA

12. How many months after the Effective Date will the Information be **shared**?

Time period to exchange the information

13. How many months after the Effective Date must the Information be kept **confidential**?

Time period to keep the information confidential

14. Are there any existing or contemplated **agreements** regarding the Information?

If yes, provide name of all existing or contemplated collaborators

ORS will review any existing or contemplated agreements

NDA Questionnaire Cont.

15. Anyone else have ownership interest or a right to require it to be confidential?

If yes, provide name of all applicable individuals or organizations

16. Current, pending, or anticipated patent application regarding the information?

If yes, provide details, including names of all relevant individuals or organizations

17. Relevant to any previous or pending invention disclosures to SFU or its TLO?

If yes, explain

ORS will liaise with TLO to ensure compliance

18. Confidential that cannot be marked as “CONFIDENTIAL”?

If yes, explain

19. Funding from another project (including student/post-doc funding sources) used in creating the Information?

If yes, explain

ORS will review all existing agreements related to the information

DAA Questionnaire

1. **Contact** info (Name and Email) of other party's representative (e.g. Scientist).

ORS will connect with the partner organization to finalize the agreement.

2. **Providing, receiving** the Information, or both?

Select one of the options

3. **Description** of the data.

Context to draft / review the agreement

4. Who **owns** the data that SFU is providing?

Provide name(s)

5. Who **owns** the data that SFU is receiving?

Provide name(s)

6. Summary of how the data will be **used**

Context to draft / review the agreement

7. Name(s) of the **Representative(s) at SFU** providing/receiving the data

Provide name(s)

DAA Questionnaire Cont.

8. **Access** to the data in addition to the Representative(s) **at SFU?**

Provide name(s)

9. **Name(s) of other Party's** Representative(s) providing/receiving the data

Provide name(s)

10. **Access** to the data in addition to the Representative(s) at the **other Party?**

Provide name(s)

11. Does the data contain **personal** information?

If yes, yes or no for whether the data is de-identified

12. Where will the data be **stored?**

Explain

13. Where will the data be **accessed** from?

Explain

DAA Questionnaire Cont.

14. Intend on **publishing** the results from the use of the data?

Select one of the options

15. Existing or contemplated **agreements** regarding the data?

If yes, provide name of all existing or contemplated collaborators

ORS will review any existing or contemplated agreements

16. Relevant to any previous or pending **invention disclosures** to SFU or its TLO?

If yes, explain

ORS will liaise with TLO to ensure compliance

17. Related to any **previous or existing project** at SFU (including student/post-doc funding sources)?

If yes, explain

ORS will review to ensure compliance

Non-Funded Research

1. **Contact** (Name and Email)

ORS will connect with partner organization to finalize the agreement

2. **Purpose** of this collaboration and proposed research activities?

Describe or **upload** a separate document

Context to draft / review agreement

3. Intend to provide or receive **materials of confidential info**?

To determine whether an NDA or MTA will also be required

4. Intend to contribute your **existing intellectual property** to the project?

This is to determine whether intellectual property **terms** are required

5. Anticipate a **new invention**, method, process, material, or other discovery?

This is to determine whether intellectual property terms are required

6. Do you intend to **publish** the results of this research project?

If yes, also indicate whether you anticipate publishing **jointly** with collaborators

7. Existing or contemplated **agreements** related to this collaboration?

If yes, provide the name of all existing or contemplated collaborators

ORS will review any existing or contemplated agreements related to the project

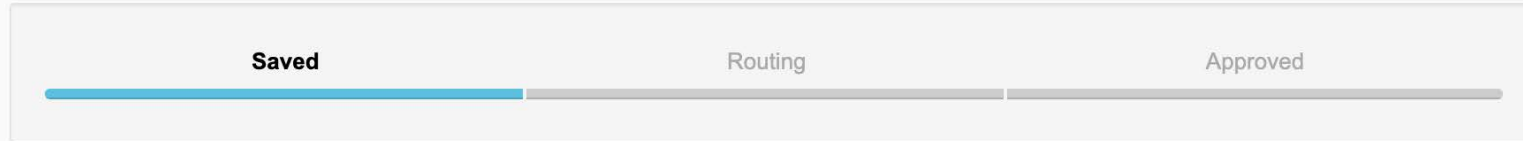
ATTACHMENTS

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

Attachment Type	Description
Sponsor Proposal	Mandatory
Sponsor Budget	Mandatory
Letter of Support	If selected on the questionnaire
Approver-Requested Justification	As applicable
CFI Approved line-item budget	Mandatory
Dean Approval	For PI fees/additional compensation/salary recovery – if selected in the questionnaire
Conflict of Interest (COI) Management Plan Approved by the Dean	If applicable
Statement of Work (SOW) for Contracts	If applicable
Course Release Paid by SFU	If applicable
RTS/Course Release	If applicable
Approver Attachment	If applicable
Other	If applicable

Summary/Submit Tab

Submit



- 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

MODIFIED APPROVAL WORKFLOW STEPS IN KR



- Approves
when working
with proxy

- Automatic
routing when
filling out own
KR Proposal

Director ORS

Non- funded Research


Kuali, Online Workflow

- ✓ PI Certification – Adjunct, URA, PDF, non-SFUFA

Data Validation – Key Personnel

Researchers who are not part of SFUFA (e.g. Adjunct, URA) will be flagged during submission to approval workflow:

Key Personnel	The Investigators are not all certified. Please certify.	Error	Fix It
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PI Certification

Adjunct Professors appointed under Policy A12.08

Postdoctoral Fellows appointed under Policy R50.03

University Research Associates appointed under Policy R50.01

under certain conditions can apply/hold research grants (not contracts)

(i) term of appointment **longer than 3 years** and maintained throughout funding

(ii) agree to abide by all **University Policies and Procedures** related to research

(iii) **not paid from the grant** on which they intend to be a PI or co-PI on

(iv) meet all **sponsor eligibility for the grant opportunity**

(v) Department monitor, prevent and –if needed– cover **over-expenditures**

(vi) Department monitor, prevent and –if needed– cover **ineligible compensation**

SFU Policies and Procedures at <http://www.sfu.ca/policies/>

Vice President, Research (<http://www.sfu.ca/research>)

PI Certification

Eligibility Certification

Are you SFU's Lead PI on this Proposal?

Yes/No

Is Simon Fraser University your primary employer?

Yes/No

Appointment Start Date:

Appointment End Date:

Are you or will you be compensated from other sources of funding at SFU?

Yes/No

ORS will review response to questions and follow up if needed

Questions

Contact ata26@sfu.ca or ors@sfu.ca

