

## QUICK GUIDE

### PROPOSAL ROUTING & APPROVALS

The goal of this quick guide is to provide a summary of how to view, review, and approve proposals to the Office of Pre-Award Services (OPAS) for sponsor submission.

**Procedure Overview:** Kuali routing follows the same rules as with SmartGrant, requiring the standard two-stage approvals process (i.e. department and college level approvals). There are no changes to existing policies related to proposal routing, including the OPAS five-day submission policy and the two-day deadline for final science documents.

**IMPORTANT:** Principal Investigators (PIs) and Co-PIs are now required to also certify their proposal by directly answering a few questions. When approving, PIs and Co-PIs will receive an error warning. Click **Fix It** and then **Certify**. Then go back to **Summary Submit** and **Approve**.

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**STEP 1** – When a proposal is ready for review, all approvers and delegates will receive an email with a link to the proposal **and** the option to go to your **Action List** (if you have multiple proposals to review).

**Alternatively**, you can log directly into Kuali and find proposals needing your approval via the Dashboard. See guide on Logging in and Navigating the Kuali Dashboard for additional information.

#### Example Email:

**Subject:** Kuali Research Action - Proposal - APPROVE - PI: Tom T Brady - Due Date: 03/25/2019 - Lead Unit: A999999 - Sponsor: CAPE COD CRANBERRY GROWERS' ASSOC - Title: Test 1234

Please complete the APPROVE action for Tom T Brady in Proposal for "Test 1234"  
Your timely action is requested.  
Failure to act when an approval is requested will stop routing.

To review the requested action: [Document #6742](#)  
<https://umass-sbx.kuali.co/res/kc-pd-krad/proposalDevelopment?methodToCall=docHandler&docId=6742&command=displayActionListView>

Or, to see all actions requested: [Action List](#)  
<https://umass-sbx.kuali.co/res/kew/ActionList.do>, and then click on the numeric Document ID: 6742 in the first column of the List.

**STEP 2 – Proposal Summary** – When you access the proposal record, you can review proposal related information prior to routing, including: credit allocations, questionnaires, routing map, etc.

Saved
Routing
Approved

Proposal Summary
Personnel
Credit Allocation
Compliance
Attachments
Questionnaire
Supplemental Info
Keywords
Budget Summary

### Proposal Summary

Title	IAN Budget guide practice proposal
Principal Investigator	Michael Zink
Lead Unit	A090900 - Dept: Elect Computer Engineering
Activity Type	Research
Proposal Number	244
Project Start Date	09/01/2019
Project End Date	08/01/2022
Include Subaward(s)?	No
Sponsor Name	NATIONAL SCIENCE FOUNDATION
Sponsor Deadline Date	
Sponsor Deadline Type	

Submit for Review
Ad Hoc Recipients
[View Route Log](#)
Cancel proposal
[More Actions](#) ▾
Close

**STEP 3 – Evaluating Credit Allocations** – Click the **Credit Allocation** tab to evaluate both RTF and Intellectual distributions.

### Credit Allocation

	RTF	Intellectual
<b>Tom T Brady</b>	5	50
A606300 - Cntr: Models to Medicine	0	0
A9999 - Coll: Athletics - TEST	4	0
A999999 - Dept: Athletics - TEST	4	0
<b>Unit Total:</b>	8	0
<b>Bethany T Hamilton</b>	5	50
A9999 - Coll: Athletics - TEST	4	0
A999999 - Dept: Athletics - TEST	4	0
<b>Unit Total:</b>	8	0
<b>Investigator Total:</b>	10	100

Send Adhoc
[View Route Log](#)
[More Actions](#) ▾
Close

**STEP 4 – Evaluating Budget – Click the Budget Summary tab to view and evaluate the budget.**

Proposal Summary Personnel Credit Allocation Compliance Attachments Questionnaire Supplemental Info Keywords **Budget Summary**

### Budget Summary

Cost Sharing Amount:	0.00	Underrecovery Amount:	0.00	
Program Income:	0.00	F&A Rate Type:	Standard Federal MTDC	
	P1(10/01/2019 - 09/30/2020)	P2(10/01/2020 - 09/30/2021)	P3(10/01/2021 - 09/30/2022)	Totals
<b>Personnel</b>				
▶ Salary	\$2,046.67	\$0.00	\$0.00	\$2,046.67
▶ Fringe	\$450.27	\$0.00	\$0.00	\$450.27
Calculated Direct Costs	\$0.00	\$0.00	\$0.00	\$0.00
Personnel Subtotal	\$2,496.94	\$0.00	\$0.00	\$2,496.94
<b>Non-personnel</b>				
Calculated Direct Costs	\$0.00	\$0.00	\$0.00	\$0.00
Non-personnel Subtotal	\$0.00	\$0.00	\$0.00	\$0.00
<b>Totals</b>				
Total Direct Cost	\$2,496.94	\$0.00	\$0.00	\$2,496.94
Total F&A Costs	\$1,485.68	\$0.00	\$0.00	\$1,485.68
Totals Subtotal	\$3,982.62	\$0.00	\$0.00	\$3,982.62

▶ F&A Rates

**STEP 5 – PI Certification (only for Key Personnel on the routing map) - When entering the proposal for review and approval, faculty will be directed to certify their proposal. Once complete, faculty will be able to approve the proposal.**

▼ Serena T Williams (PI/Contact) (Certification Incomplete) Notify Serena T Williams

Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed

Details Organization Extended Details Degrees Unit Details Person Training Details **Proposal Person Certification**

### Proposal Person Certification

[Clear All Answers](#)

Can you certify that the information submitted within this application is true, complete and accurate to the best of your knowledge? That any false, fictitious, or fraudulent statements or claims may subject you, as the PI/Co-PI/Co-I to criminal, civil or administrative penalties? That you agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of this application. ⓘ

Yes

No

Is there any potential for a perceived or real conflict of interest as defined in UMass' Policies and Procedures with regard to this proposal? ⓘ

Yes

No

If this is a NIH/NSF proposal have you submitted the required financial disclosures in the Conflict of Interest module? ⓘ

Yes

No

Have lobbying activities been conducted on behalf of this proposal? ⓘ

Yes

No

Are you currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from current transactions by a federal department or agency? ⓘ

Yes

No

Please certify that you have reviewed and confirmed the accuracy of the information in the questionnaire section of this proposal? ⓘ

Yes, I certify I have reviewed and confirm the accuracy of this information

No, I cannot certify

**STEP 6 – Approve or Return Proposal – On the Proposal Summary screen, click Approve or Return.**

Submit

**Reviewer/Approver Actions:** The following are the approver options when a document is routed:

- **Approve:** This signifies your approval of the proposal and allows it to continue along the workflow path. You may receive a message asking if you wish to receive future approval requests if you also appear in a future workflow stop. Clicking **Yes** will require you to approve again at the future stop, whereas, clicking **No** will automatically approve on your behalf at the future stop.
- **Return:** If the proposal requires substantial corrections, the return action will return the proposal to the aggregator for necessary changes. If you click **Return**, you must then enter a reason for the action in the confirmation window that appears. Once returned, all of the proposal details, narratives, and budget can be fully edited by the aggregator and then resubmitted into the approval routing workflow for submission.

**GET HELP**

**KUALI KNOWLEDGE BASE GUIDE TO PROPOSAL SUMMARY/SUBMIT:**

<https://kuali-research.zendesk.com/hc/en-us/articles/115015653868-Proposal-Summary-Submit>

**KUALI FAQs:** <https://www.umass.edu/research/kuali-research-faq>

**KUALI HELPDESK:** <https://www.umass.edu/research/webform/kuali-help-desk>