

Kuali Proposal Development - BASICS

UMass Amherst Best Practices & Kuali Knowledge Base Guide

Version 2: 1/21/21

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<https://umass.kuali.co/dashboard>

GET HELP

- The **Help Icon** in Kuali brings you to Kuali knowledge base:
<https://kuali-research.zendesk.com/hc/en-us/categories/115001645868-Knowledge-Base>
- Research & Engagement website: www.umass.edu/research/kuali-guides
- Kuali Knowledge Base **Field Definitions by Tab**:
<https://kuali-research.zendesk.com/hc/en-us/articles/115012912788-Proposal-Field-Definitions-by-Tab>

BASICS SECTION

<https://kuali-research.zendesk.com/hc/en-us/articles/115015568147-Proposal-Details>

- TIP: Use **Wildcard asterisk (*before and after*)** to assist with searching for sponsors, people, etc. in Kuali.
- Kuali Knowledge Base **Field Definitions by Tab** -
<https://kuali-research.zendesk.com/hc/en-us/articles/115012912788-Proposal-Field-Definitions-by-Tab>
- **Proposal Details** - If UMass is a subrecipient, indicate entity submitting proposal in **Sponsor** section. You will then add the **Prime Sponsor** to the **Prime Sponsor Code** field. Ex. UMass is a proposed subrecipient to Harvard (Sponsor) on a NSF (Prime Sponsor) proposal. **Keywords** are being used to identify special designations for reporting purposes. (I.e. PRTs, COVID Special Funding, COVID Related Research, etc.)
- **Delivery Information** - Insert relevant **URL, User Name, & Password** for non-S2S proposals with independent submission portals in the **Submission description field**. Other important submission information that you would like the OPAS-Reviewers to be aware of can be added here as well.
<https://kuali-research.zendesk.com/hc/en-us/articles/115015568407-Proposal-Delivery-Information>
- **Sponsor & Program Information** – UMass is now requiring faculty to identify their proposal with a **NSF Science Code** even if the proposal is not to NSF. This will assist with campus-wide reporting.
<https://kuali-research.zendesk.com/hc/en-us/articles/115015653588-Proposal-Sponsor-Program-Information>
- **Organization & Location** – Only subrecipient organizations to the **Other Organizations** tab. <https://kuali-research.zendesk.com/hc/en-us/articles/115015569087-Proposal-Organization-Location>

KEY PERSONNEL

<https://kuali-research.zendesk.com/hc/en-us/articles/115015653628-Proposal-Personnel>

NOTE: For S2S proposals **ONLY**, you must add all subrecipient PI's and Co-I's to the Key Personnel Screen as a "Non-Employee". If their name is not already in the system, you must add them to the system via the "Add New Address Book" button.

- **Details** –
 - **Proposal Role:** (PI/Contact, Co-Investigator, Multi-PI, or Key Person). All roles EXCEPT "Key Person" will be automatically added to the **RTF** and **Intellectual Credit Distributions**. If this is an NIH Multi-PI proposal with the sub as a Multi-PI, add them in as a Key-Person first, then go back and change their designation to Multi-PI and add "000001 UMass Amherst" to their "Unit Details" (see below).
 - **eRA Commons User Name:** For all S2S Proposals add the PI's eRA/NIH Commons User ID.

- **Organization** – Go to the bottom of the screen and add in the faculty **Percent of Effort** for the effort calculated in the **First Year** of the budget (Calendar, Academic, & Summer). If the percent effort is zero, leave the field blank. This data will assist with annual **Effort Certification**. The “Total Effort” field will **ALWAYS** be left blank.
- **Extended Detail:** *This tab is not normally used for UMass Amherst Employees.* However, for **S2S proposals**, you will need to add the subrecipient Co-Investigator’s “**Directory Department**” (aka their School/Department).
- **Degrees:** *This tab is NOT currently being used by UMass Amherst.*
- **Unit Details** – This is where you can add **Centers & Institutes for routing, RTF distribution, and future reporting**. Simply, click on the blue “Lookup/Add Multiple Lines” link and do a **Wildcard asterisk (*before and after*)** for the Center/Institute that you would like to add in the **Unit Name** field. Keep in mind, that often names are truncated or abbreviated in the system, therefore, do not get discouraged if you do not locate the center on your initial search.
 - **Note:** UMass cannot retroactively assign proposal to Centers and Institutes after the proposal is submitted to the sponsor. To search, click on **Lookup/Add Multiple Line**.
- **Person Training Details:** *This tab is NOT currently being used for Proposal Development.*
- **Proposal Person Certification** – These are questions that the **PI’s and Co-PI’s** will have to fill out themselves during the proposal routing process.

CREDIT ALLOCATION

<https://kuali-research.zendesk.com/hc/en-us/articles/115015653688-Proposal-Credit-Allocation>

https://www.umass.edu/research/sites/default/files/quick_guide_-_rtf_credit_dist.pdf

- This section is where you indicate both the **RTF** and **Intellectual Credit** distribution.
- **RTF Distribution** - The aggregate **Investigator(s) Total** should equal 10% and the aggregate **Unit Totals** should equal 16%. Do not exceed the cumulative 26% even if a division of the RTF exceeds that amount and draws down a portion of the RTF (74%) that accrues to the central administrative indirect return. Load MOUs as needed for specially negotiated indirect cost rate returns to the Internal Attachments section of the Kuali record. Also, please make sure that any center or institute approved RTF return from the 26% is distributed accordingly.
- **Intellectual credit** – This should aggregate to 100% in the **Faculty Name lines**.
 - **IMPORTANT:** Regardless of how many PIs you have on the file or how the Intellectual Merit is split up, you **MUST** make sure that each PI/Co-PI has **100** listed in their department line.

COMPLIANCE

<https://kuali-research.zendesk.com/hc/en-us/articles/115015653708-Proposal-Compliance>

- Choices to add in the Compliance Section are: Human Subjects, Animal Usage, Institutional Biosafety Committee, Conflict of Interest, Clinical Trial, Dual Use Biologics, Custom Antibodies, Biological Substances, or Select Agents.
- Adding entries here are **IN ADDITION TO** the items on the **Questionnaire**.
 - Adding entries here maps to **GRANTS.GOV** required field and forms. (<https://kuali-research.zendesk.com/hc/en-us/articles/115010827528-S2S-Supported-Forms>)
- In most cases, it is typical to select **Pending** in the **Approval Status**.
- **Leave this screen blank if none apply to your proposal.**
- The NIH **PHS Human Subjects and Clinical Trials Information** form is uploaded under the “Human Subjects” compliance entry in the “Human Study Attachment” field.
(https://www.umass.edu/research/sites/default/files/quick_guide_-_human_subject_study_record_attachment.pdf)

ATTACHMENTS

<https://kuali-research.zendesk.com/hc/en-us/articles/115015569247-Proposal-Attachments>

- The **Attachments** section is the primary repository for most proposal documents on Grants.gov submissions.
 - **Proposal:** Upload all major documents for submission to grants.gov into this tab (Research Strategy/Project Description, Specific Aims, Facilities, etc.). **This tab is NOT used for Non-S2S Proposals.**
 - **Personnel:** Upload all personnel documents for submission on grants.gov into this tab (Biosketches, Current and Pending Support documents, & Conflict of Interest forms). **This tab is NOT used for Non-S2S Proposals.**
 - **Abstracts:** Used to completed text boxes for specific S2S forms (please refer to your solicitation)
 - **Internal:** Upload UMass specific/internal documents needed for the OPAS-Review. ***This is also where you upload documents being sent to an email recipient such as a foundation or the lead organization when UMass is a subrecipient.***
 - **Notes:** This is an optional field that can be used to provide information to the OPAS-Reviewer.
- Users can upload documents in bulk to minimize effort (such as subrecipient packages).
- Files should be marked appropriately as either “DRAFT” or “FINAL”. Please refer to the UMass 5-Day Proposal Submission Procedure (<https://www.umass.edu/research/guidance/five-day-proposal-submission-procedure-overview>).

QUESTIONNAIRE

<https://kuali-research.zendesk.com/hc/en-us/articles/115015653788-Proposal-Questionnaire>

- When submitting a **GRANTS.GOV** proposal, additional tabs appear to assist in populating certain fields in the proposal form set.
- Aggregators (proposal development specialists) must consult with the PI

ACCESS & SUPPLEMENTAL INFORMATION TABS

<https://kuali-research.zendesk.com/hc/en-us/articles/115011806167-Proposal-Access-Tab-Roles>

<https://kuali-research.zendesk.com/hc/en-us/articles/115015569267-Proposal-Supplemental-Information>

- Users can add access by other users on a proposal by proposal basis in the **Access** section. The recommended role for maximum editing rights is “Aggregator Document Level”
- Please include both Pre-award and Post-award administrator contact information in the **Supplemental** section.

SUMMARY/SUBMIT

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