Continuation

Noncompeting continuation proposals request the next year’s funding within a multi-year grant. A continuation application does not represent new or supplemental funds originally requested from the sponsor. Continued support is usually dependent on satisfactory work progress and the availability of funds. Generally these consist of a progress report, budget as applicable, and other relevant materials such as research results, reprints, vitae for new personnel, etc. They sometimes include a financial status report showing the unobligated balance for the current year. These include NIH progress reports, also known as Research Performance Progress Reports (RPPR).

Tips:

Noncompeting continuation proposals are routed through Kuali and submitted to the sponsor by the Office of Pre-Award Services (OPAS).

**Basics > Proposal Details > Award ID** field must be populated with the existing Kuali Award ID number.

Internal (No Submission)

Internal proposals are routed through Kuali and processed internally by OPAS. Not submitted externally.

The proposal was submitted directly by a student or PI to the sponsor without following the UMass Proposal Submission process which requires submission through OPAS. OPAS reviews the proposal for internal purposes, does not submit to the sponsor, and communicates with the PI if anything is out of compliance with university policy and procedures, or as needed, in anticipation of an award. These
submissions are not compliant with university policy but can happen with proposals like student led projects submitted by students who might not be aware of the university’s proposal submission process.

Tips:

Load the following to the Attachments > Internal section of the Kuali proposal record:

- Final proposal submitted to the sponsor.
- Sponsor guidelines.
- Other relevant documentation including an explanation describing why the proposal was not originally submitted through OPAS.
- If the sponsor has already made the award, load the award document and any other relevant sponsor correspondence. This applies for newly awarded and for additional funds issued to an existing account.

Reminder: Since the proposal has already been submitted to the sponsor, these proposals are reviewed for internal purposes and not submitted to the sponsor by OPAS.

The awards will either be processed by OPAM, or UMII if funded solely by industry.

Do not use the following Proposal Types for this type of action:

- P&A (Unrestricted Award) – see P&As below for more information
- Continuation

If additional funding on this project will be funded in the future under the same account, do not use “Continuation.” Continue to use “Internal (No Submission)” – be sure to populate the Award ID field when additional funds are issued:

Basics > Proposal Details > Award ID field must be populated with the existing Kuali Award ID number

Letter of Intent

A Letter of Intent (LOI) is a brief proposal statement, usually two to three pages, but sometimes as little as one page in length, describing the proposed project to the sponsor. The LOI can sometimes resemble a pre-proposal in length and breadth of information and may include a budget (not common) rather than just consisting of a brief project statement.

An LOI must be routed through Kuali when:

- The sponsor requires an institutional official to sign or submit the LOI, AND
- It includes a detailed budget

It is not necessary to route an LOI for institutional approval if it:

- Includes a total cost estimate without a detailed budget
- Is not expected to result directly in an award without a full detailed proposal or pre-proposal
Some sponsors like the National Science Foundation (NSF) will require the submission of an LOI by an authorizing official (OPAS), but because the NSF does not require or want a detailed budget, OPAS can submit these types of LOIs without the need to process the LOI within Kuali.

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**New**

A proposal that requests new funding that does not qualify as any of the other proposal types (renewal, continuation, supplement, etc.).

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**P&A (Unrestricted Award)**

P&A stands for “Proposal and Award” and generally consists of unrestricted grants where a sponsor provides an award letter and a check (or evidence of wire transfer), bench fees, or fellowship institutional allowance awards where there is no proposal.

P&A’s follow a different processing route through OPAM (or UMII if solely funded by industry). They do not generally get processed by OPAS and get directly assigned to the award administrator for that sponsor.

Load the following to the **Attachments > Internal** section of the Kuali proposal record as applicable:

- Award documentation and award check – redact the routing and account numbers from the copy
- Indirect cost rate unless restricted should be 10%
  - Be sure the proper F&A rate type is selected in **Budget Settings** even if a Summary Budget – select **Unrestricted Grant**.

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**Pre Proposal**

A pre-proposal (sometimes called a white paper, letter proposal, preliminary proposal, pre-application, or concept paper) is a short description of the proposed project. Usually, the purpose of a pre-proposal is to inform and interest the potential sponsor in the project, resulting in a request for a more detailed formal proposal.

A pre-proposal must be routed through Kuali when:

- the sponsor requires an institutional official to sign or submit the pre-proposal, or
- It includes a detailed budget

It is not necessary to route a pre-proposal for institutional approval if it:

- Includes a total cost estimate without a detailed budget
- Is not expected to result directly in an award without a full detailed proposal

See “**Letter of Intent**” on previous page.
Renewal

A competing renewal proposal (also called a competing continuation) is a request for continued funding of a project for which the funding or project period is about to terminate. Such proposals are similar to "new" proposals and must be routed and approved in the same manner as new proposals.

Tips:

Only use this proposal type when the sponsor requires it, e.g. for the National Institutes of Health and the US Department of Energy when submitting an application for a new round of funding for an existing project; otherwise use the proposal type “New”.

Typically the Renewal retains the same sponsor grant number as the existing award, but will receive a new UMass account number. As such, do not populate the Award ID field in the Basics > Proposal Details screen of the proposal record in Kuali.

Not to be confused with “Continuation”.

Resubmission

Use this proposal type only with National Institutes of Health (NIH) proposals or as required by other Grants.gov based submissions as applicable – see sponsor guidelines.

Revised Budget

When a sponsor wants to fund a proposed project at an amount different from that originally proposed, the sponsor asks the investigator to submit a "revised" budget supporting the amount to be funded.

If the revision amounts to 25% or greater from the original proposal, a revised budget must be routed through the University proposal routing process to document the signatories’ approval of the budget revisions. See Revised Budget Questionnaire in the Kuali proposal record.

If the sponsor reduces the budget, the investigator must determine whether the originally proposed scope and objectives of the project can be met under the revised budget. If not, the investigator and sponsor must redefine the scope and objectives in writing and this revised scope of work will be submitted to the sponsor along with other items requested by the sponsor.

Tips:

Be sure to complete the Original Institutional Proposal ID field in Basics > Proposal Details.
Supplement

A supplement adds funding to an existing grant/contract typically either through supplementation or amplification of the original aims of the project. A revised scope of work and budget are typically in play.

If a Grants.gov (S2S) submission requires a “Revision” proposal type, select Supplement as the proposal type within Kuali. This designation is generally only used by the National Institutes of Health (NIH) for supplemental funding requests.

NIH also uses the “Revision” option for “Change of Grantee Organization” applications – applicable for incoming faculty transferring NIH awards to UMass from another institution. Again, within Kuali, select Supplement. Contact OPAS to coordinate the grant transfer process.

Proposal types used only by OPAS:

- New – Changed/Corrected
- Renewal – Changed/Corrected
- Resubmission – Changed/Corrected
- Supplement – Changed/Corrected
- Revision (S2S/NIH only) – Changed/Corrected