

## 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.

Saved

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Approved

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## 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

**IMPORTANT:** Regardless of how many PIs you have on the file or how the Intellectual Merit is split up, make sure that each PI has **100** listed next to their department line.

pre-award@umass.edu

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

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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			
Personnel							
➤ Salary	\$2,046.67	\$0.00	\$0.00	\$0.00	\$2,046.67		
➤ Fringe	\$450.27	\$0.00	\$0.00	\$0.00	\$450.27		
Calculated Direct Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
Personnel Subtotal	\$2,496.94	\$0.00	\$0.00	\$0.00	\$2,496.94		
Non-personnel							
Calculated Direct Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
Non-personnel Subtotal	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
Totals							
Total Direct Cost	\$2,496.94	\$0.00	\$0.00	\$0.00	\$2,496.94		
Total F&A Costs	\$1,485.68	\$0.00	\$0.00	\$0.00	\$1,485.68		
Totals Subtotal	\$3,982.62	\$0.00	\$0.00	\$0.00	\$3,982.62		
<div> <div>▶ F&amp;A Rates</div> </div>							

**STEP 5 – PI Certification (only for Key Personnel on the routing map)** - When entering the proposal for review and approval click **Approve**.

Saved

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**Proposal Summary**

Title	Routing list- do not move -3
Principal Investigator	Serena T Williams
Lead Unit	A999999 - Dept. Athletics - TEST
Activity Type	Research
Proposal Number	483
Project Start Date	10/01/2019
Project End Date	09/30/2024
Include Subaward(s)?	Yes
Sponsor Name	NIH-NATIONAL INSTITUTES OF HEALTH
Sponsor Deadline Date	07/01/2019
Sponsor Deadline Type	Receipt

ADMINISTRATIVE ENDORSEMENTS: Endorsement by PI/CO-PI(s), Department(s) and College(s) indicates approval of project; cognizance of project's risks and of administrative obligations; confirmation that appropriate space and facilities are/will be available; proposed cost share funds are available, and approval of RTF distribution.

Send Adhoc

Ad Hoc Recipients

Approve

Return

View Route Log

More Actions

Close

From there a data validation will appear. Where it says “The Investigators are not all certified...”, click the blue **Fix It** link.

Data Validation

Turn Off

Show 10 entries

Search:

Area	Description	Severity	Actions
<b>Error</b>			
Key Personnel	The Investigators are not all certified. Please certify Serena T Williams.	Error	Fix It

Investigators need to answer the certifications question, then click **save**.

▼ 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

**PLEASE NOTE: AFTER INVESTIGATORS CERTIFY, THEY MUST GO BACK TO THE SUMMARY/SUBMIT SCREEN TO APPROVE.**

<

- Basics >
- Key Personnel** ▼
- Personnel
- Credit Allocation
- ✓ Compliance
- Attachments
- ? Questionnaire
- 9 Budget
- Access
- Supplemental Information
- Summary/Submit**
- Notifications History

**This page has 1 messages**

- The uploaded file < Resource\_Sharing \_Plan\_v2.pdf > contains special characters < > in the file name. Special characters sh via Grants.gov.
- Document was successfully saved.

### Key Personnel

Search for and add key personnel

▶	Serena T Williams (PI/Contact) (Certification Completed and Answered By stwilliams - 10/08/2019 01:02 PM)
Project Status: Update Needed Annual Disclosure Status: Update Required Disposition Status: None	
▶	Bethany T Hamilton (Co-Investigator) (Certification Incomplete)
Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed	
▶	Rob T Gronkowski (Key Person: lead scientist)
Project Status: Disclosure Not Required Annual Disclosure Status: Not Yet Disclosed	
▶	Luke Skywalker (Key Person: Stanford Lead Investigator)
Project Status: Disclosure Not Required Annual Disclosure Status: Not Yet Disclosed	

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

Submit

Saved

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### Proposal Summary

Title	Kim Test 1
Principal Investigator	Serena T Williams
Lead Unit	A999999 - Dept: Athletics - TEST
Activity Type	Research
Proposal Number	319
Project Start Date	07/01/2019
Project End Date	06/30/2020
Include Subaward(s)?	No
Sponsor Name	
Sponsor Deadline Date	03/29/2019
Sponsor Deadline Type	Receipt

ADMINISTRATIVE ENDORSEMENTS: Endorsement by PI/CO-PI(s), Department(s) and College(s) indicates approval of project, cognizance of project's risks and of administrative obligations; confirmation that appropriate space and facilities are/will be available; proposed cost share funds are available, and approval of RTF distribution.

Send Adhoc

Ad Hoc Recipients

Approve

Return

View Route Log

Recall

More Actions -

Close

**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>