

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**.

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

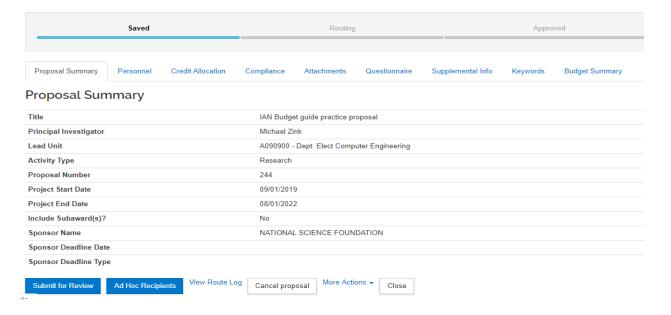
 $\underline{https://umass-sbx.kuali.co:/res/kc-pd-krad/proposalDevelopment?} \underline{methodToCall=docHandler\&docId=6742\&command=displayActionListView.}$

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.

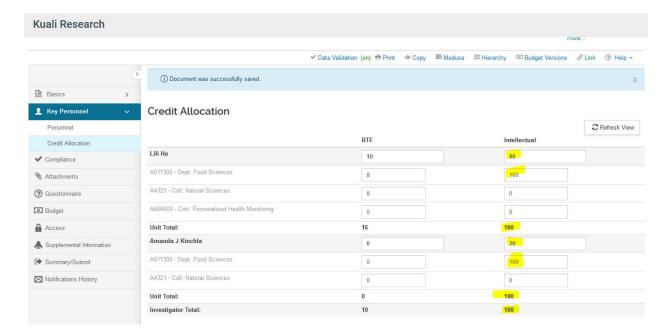


STEP 2 – Proposal Summary – When you access the proposal record, you can review proposal related information prior to routing, including: credit allocations, questionnaires, routing map, etc.



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

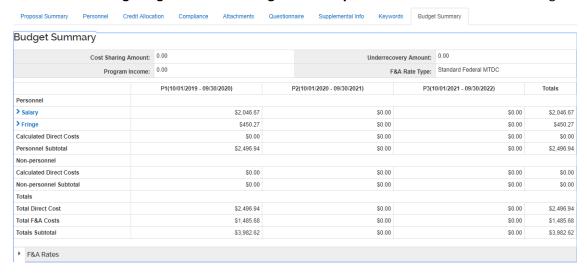
IMPORTANT: Regardless of how many PIs you have on the file or how the Intellectual Merit is split up, make sure that each PI has **100** listed next to their department line.



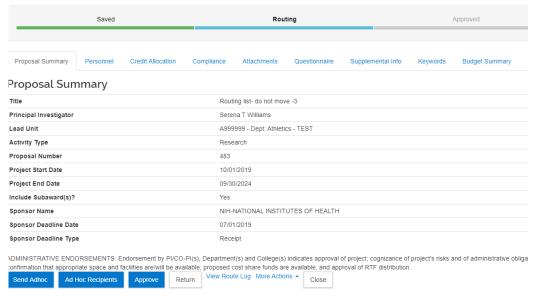
Research & Engagement



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



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

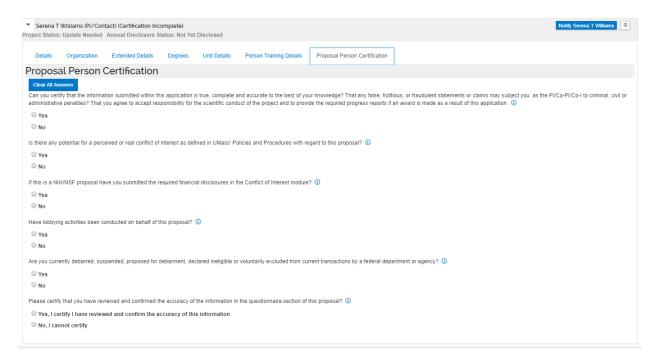


From there a data validation will appear. Where is says "The Investigators are not all certified...", click the blue **Fix It** link.

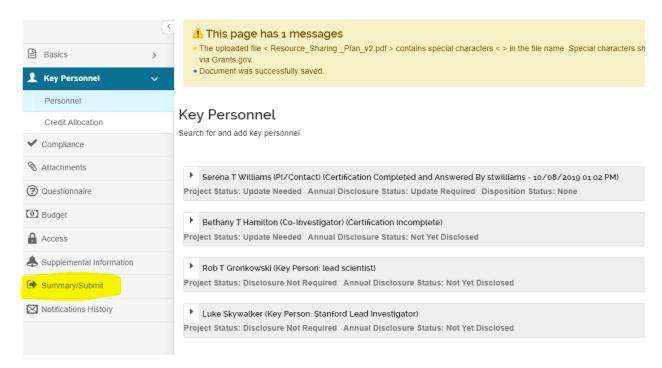




Investigators need to answer the certifications question, then click save.

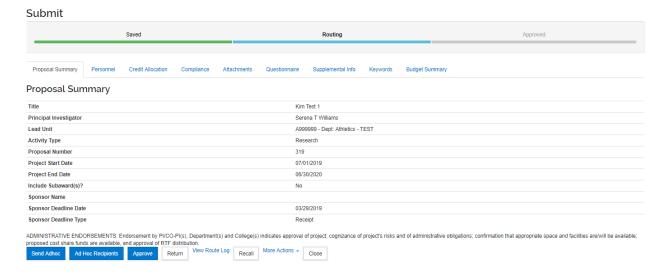


PLEASE NOTE: AFTER INVESTIGATORS CERTIFY, THEY MUST GO BACK TO THE **SUMMARY/SUBMIT** SCREEN TO **APPROVE.**





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



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