

Creating a Proposal and Submitting Draft Budget & Justification to ORA

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How to Use this Guide

This guide will show a person how to begin creating a proposal and submit a draft budget and justification to ORA for review. This is the first guide that should be used when notifying ORA of a proposal submission.

The first step of ORA's [internal deadlines](#) is to create a proposal and submit a draft budget and justification within **RES** 12 business days before the sponsor due date. This guide leads you through this process.

★ **Note:** The process of submitting a draft budget to ORA does not need to go through the approval process. The draft budget will be submitted directly to ORA.

The only sections that are required to be completed within RES to submit a draft budget to ORA are:

- Create a Proposal Shell
- Complete the following sections:
 - **Basics**
 - Personnel
 - Proposal Details
 - S2S Opportunity
 - Delivery Info
 - Sponsor and Program Information
 - Organization and Location
 - **Attachments**
 - Internal Tab only
 - **Questionnaire**
 - Draft Budget Notification questions only.

Once those sections are complete and the proposal is **saved** in RES, ORA will **automatically** receive a **notification** that a draft budget is ready for review. The PI and College Research Administrator will be cc'd on that email notification.

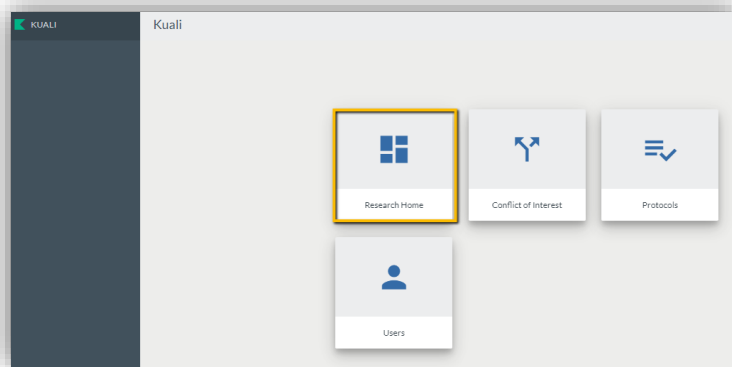
ORA will then work with the PI to finalize their budget. While this finalization is happening, the remainder of the proposal can be completed within RES.

To complete the rest of the required fields and submit the proposal through routing in the RES system, please follow the **next guide** titled "**Complete Proposal and Submit to Routing.**"

Logging in

Log on to RES using the following link: <https://uml.kuali.co/dashboard/>. RES uses single sign-on. To log-in use your regular UML credentials, as you would to access HR or your email.

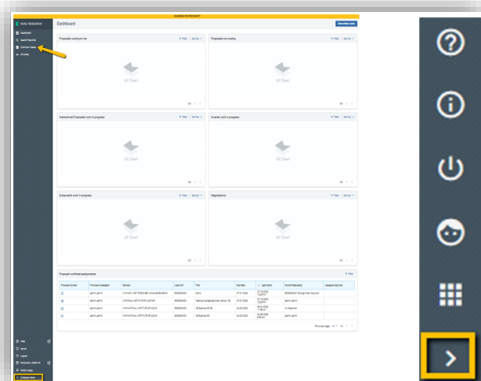
Click the **Research Home** tile.



Lefthand Menu in RES

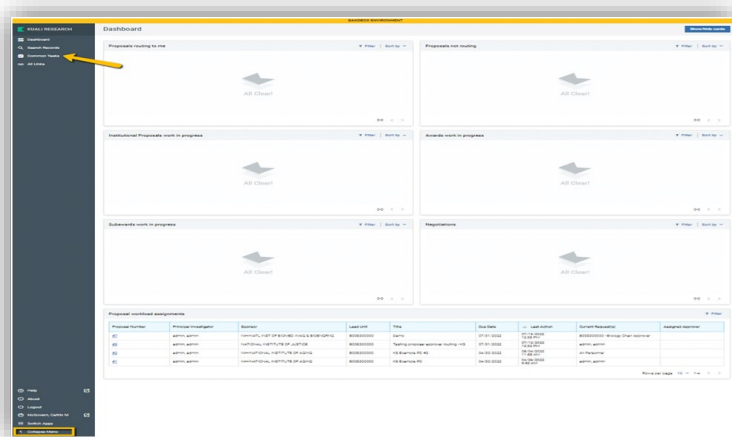
RES has a lefthand navigational menu throughout the research module.

★**Note:** *If the lefthand menu is collapsed, click the arrow at the very bottom to expand or collapse.*

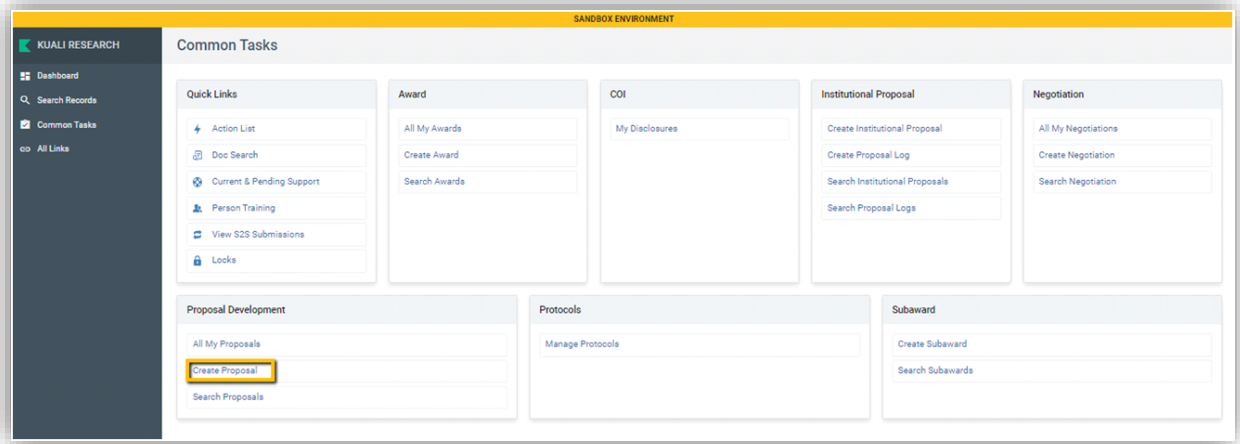


Creating a Proposal Initial Screen

- Click the Common Tasks in the lefthand menu.

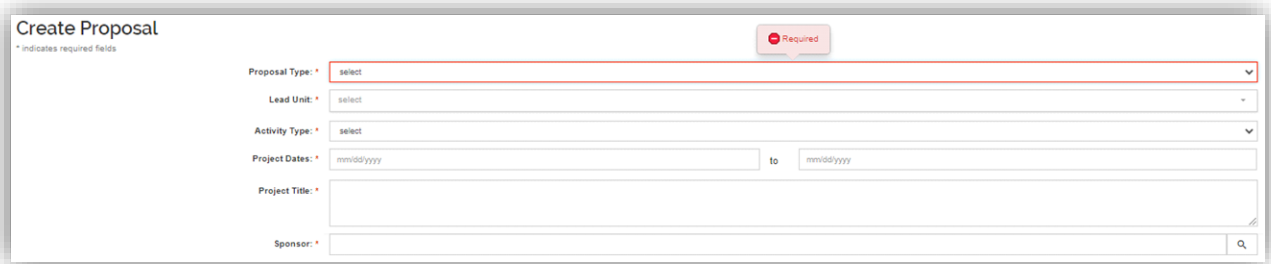


- Click the Create Proposal link under Proposal Development:



- You will be brought to the Create Proposal Page. Once the proposal is saved a number is assigned.
- Complete all applicable and required sections and click Save and Continue

★ Use the dropdown menus and lookup magnifying glasses to populate the fields or start typing, and Kuali will provide predictive text.



Proposal Type Definitions

Description	Definitions
Continuation	Additional funds for an existing award that will extend the project period of performance.
Grant Transfer	Transfer of an award to UML from another organization
New	New Proposal: Submitting an application for the first time or Initial request for support of a project that has not yet been funded. <ul style="list-style-type: none"> • This includes new task orders under a Master Agreement.
New – Change/Corrected	ORA Use Only - Change or Correcting a Pending New Application
Pre-Proposal/Letter of Intent	Preliminary Application to Sponsor in advance of submission of a full proposal (per FOA guidelines) These only require routing through RES when: The sponsor requires an institutional official to sign or submit the Pre-Proposal or LOI A detailed budget is required (this does not include total cost estimates without detail).
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 end.

	<ul style="list-style-type: none"> Only use this type of proposal when the sponsor requires it, e.g. NIH. This should be a new performance period and new funding for an existing project. Typically, the sponsor grant number remains the same.
Renewal - Changed/Corrected	ORA Use Only - Change or Correcting a Pending <i>Renewal</i> Application
Resubmission	<p>An unfunded application that has been modified following initial review and resubmitted for new consideration.</p> <ul style="list-style-type: none"> This should only be used when the sponsor (e.g. - NIH) requires the submission to be labeled a resubmission withing Grants.gov or other funding portal.
Resubmission - Changed/Corrected	ORA Use Only - Change or Correcting a Pending <i>Resubmission</i> Application
Supplement	<p>Supplement is a request for additional funds during a current project period on an Existing Award (per FOA, Program Guidelines)</p> <ul style="list-style-type: none"> If a Grants.gov (S2S) submission requires a "Revision" proposal type, select Supplement as the proposal type within RES. This designation is generally only used by the National Institutes of Health (NIH) for supplemental funding requests.
Supplement – Change/Corrected	ORA Use Only – Change or Correcting a Pending <i>Supplemental</i> Application

[Lead Unit](#)

The lead unit must be the HR department of the PI. **Once the Lead Unit is selected it cannot be changed.**

[Activity Type](#)

Select the activity type that most closely aligns with your proposed project.

[Project Dates](#)

Enter the start and end dates for your project's performance period.

[Project Title](#)

Enter the title of your proposal.

- When entering the title for your proposal, use care if copying and pasting to avoid extra or hidden characters and additional "carriage returns" (hitting the enter key in the middle of the title). These titles flow through RES directly into PeopleSoft and SUMMIT, special characters and extra carriage returns create significant issues with reporting.

[Proposal Sponsor](#)

Enter UML's direct sponsor. If UML is a sub-contract on a proposal, this would be the organization that is sub-contracting to UML.

- The sponsor may be added by typing the sponsor's name directly in the Sponsor field and selecting from the options that populate. There is a scroll bar on the right that can be used to view all options that fit the typed-in text.

★ **Note:** If the sponsor is **not available** for selection in RES, you will need to request the sponsor be added, and a [temporary placeholder sponsor](#) may be used while your new sponsor is being created in the system.

Originating Sponsor

An originating sponsor is chosen if the funds from our direct sponsor are coming to them from another agency/foundation/non-profit/company. If UML is a sub-recipient, indicate the entity submitting the proposal in the Sponsor section. You will then add the **Originating Sponsor** to the Originating Sponsor field.

- Example - UMass Lowell is a proposed sub-recipient to Harvard (Proposal Sponsor) on an NSF (Originating Sponsor) proposal.

If there is a **new sponsor**, please follow the below instructions for adding a temporary sponsor and requesting a new sponsor.

Temporary Sponsor

If a sponsor does not exist in RES, you may use the temporary sponsor:

- Sponsor Number: 999
- Sponsor Name: Sponsor TBD

★ **NOTE:** The sponsor must be updated once set up in RES/PeopleSoft. Your proposal cannot be submitted for review and approval until the actual sponsor has been identified and updated.

Requesting a New Sponsor

A new sponsor must be requested by filling out the New Sponsor Request Form. This form and instructions for the form are available on the RES Website. Once your new sponsor has been set up, you will be notified that it is available for selection in RES so you may update your proposal with the correct sponsor.

[Opportunity ID](#)

Unique opportunity identifier from the sponsor. Examples include:

- Funding Opportunity Announcement
- Program Solicitation ID
- Program Announcement Number
- Broad Agency Announcement Identifier

For a federal Notice of Opportunity (Federal, SBIR, or STTR Solicitations) an Opportunity ID is required.

- If no unique opportunity identifier or link exists, state “see upload” and add the solicitation information as an upload (for example: email or PDF) to the [attachments](#) section.

[Opportunity Title/Link](#)

Add the title of the opportunity/program proposal guidelines, and/or hyperlink to the opportunity. Otherwise, leave it blank.

[Principal Investigator](#)

To add the PI, use the magnifying glass lookup tool. Do not start typing text in the PI field. PIs must be added through the lookup and any text added here will populate into the wrong place in the lookup tool.

Click the magnifying glass and enter the PI's first name or last name.

- ★ Remember that in RES an Asterix (*) functions as a wildcard.

See how the * wildcard is used to aid a search:

The screenshot shows a 'Lookup' window titled 'KcPerson Lookup'. It contains several input fields: 'KcPerson Id' (empty), 'Last Name' (Chen), 'First Name' (Jul*), 'User Name' (empty), 'Email Address' (user@domain.com), 'Office Phone' (empty), 'Active' (radio buttons for Yes, No, Both, with Yes selected), 'Home Unit' (empty), and 'Campus Code' (empty). At the bottom are buttons for 'Close', 'Clear Values', and 'Search'.

When you click the search button you may see multiple available values, click select on the correct value to populate the selection in your proposal.

The screenshot shows the 'Lookup' window displaying search results in a table. The table has columns for Actions, KcPerson Id, Full Name, User Name, Email Address, Directory Department, Directory Title, Office Location, Office Phone, and School. Two entries are shown. The first entry has a yellow 'select' button, and the second has a blue 'select' button. Below the table, it says 'Showing 1 to 2 of 2 entries' and has navigation buttons: First, Previous, 1, Next, Last.

Actions	KcPerson Id	Full Name	User Name	Email Address	Directory Department	Directory Title	Office Location	Office Phone	School
select	295054	Julie Chen	julie_chen@uml.edu	Julie_Chen@uml.edu		Chancellor		978-657-8380	
select	1989798	Justin Chen	justin_chen1@student.uml.edu	Justin_Chen1@student.uml.edu					

Sponsor Deadline

Enter the deadline date. This is typically the due date specified on the proposal solicitation or otherwise defined by the sponsor.

- If UML is a **sub-recipient** on a proposal, this should be the **date** the **Lead organization** requests UML's document.
- If there is **no specific date**, enter a date that, *at minimum*, aligns with UML's [internal deadline](#) guidance.
- You may also capture the time the proposal is due, this field is not required, but is recommended if the time due is non-standard (such as 12 noon instead of 5 PM).



Sponsor deadline: * 12/15/2022 12:00 PM

Sponsor Deadline Type

Here is where you capture if the deadline date is exact or not. Below are the Deadline Type definitions.

Deadline Type	Description
Deadline	Firm Date
Rolling Submission	No Specific Due Date
Target/Rolling Submission Date	No firm, specific due date. Due date listed is based on the date the PI wants to try and submit.

Anticipated Award Type

Choose the award type that most closely aligns with the proposal.

Anticipated Award Type	Description
Contract	A Contract is defined as a binding agreement between parties for the purpose of securing goods or services. <ul style="list-style-type: none">• The principal purpose is for the mutual benefit of both parties.
Grant	An award of financial assistance, the principal purpose of which is to transfer a thing of value (e.g. - money) from the sponsor to the recipient (e.g. the University) to carry out a public purpose of support. <ul style="list-style-type: none">• Substantial involvement from the sponsor is not expected.• A grant is distinguished from a contract, which is used to produce something for the direct benefit of the sponsor.
Cooperative Agreement	An award of financial assistance, the principal purpose of which is to transfer a thing of value (e.g. - money) from the sponsor to the recipient (e.g. the University) to carry out a public purpose of support. <ul style="list-style-type: none">• Distinguished from a Grant as there is substantial involvement expected from the sponsor.

Sub-Contract	Awards received by UML that flow down from a prime contract (not a grant).
Sub-Award	Awards received by UML that flow down from a prime grant or cooperative agreement.
Equipment Grant	Grants where the purpose is to fund the purchase or fabrication of equipment.
Fellowship	Fellowships are grants that support the educational experience of the recipient. Fellowships may be research-related or non-research activities. These funds are not considered compensation for performance. The purposes of a fellowship are to enhance the academic experience and career growth.
Foreign Contract	Foreign contract means a contract from a sponsor organized or existing under the laws of a country other than the United States.
Foreign Grant	Foreign grant means a grant from a sponsor organized or existing under the laws of a country other than the United States.
Membership	An agreement between the university and another entity that has entered into a membership arrangement with the university.
Other Transaction Agreement	Federal government issued transactional agreements not otherwise defined in this list.
SBIR	Small Business Innovation Research (SBIR). An SBIR funding agreement is a contract, grant, or cooperative agreement entered into between an SBIR participating Federal Agency and a small business for the performance of research, experimental, or developmental work funded by the Federal Government <ul style="list-style-type: none"> • These come to us in the form of a subcontract
STTR	Small Business Technology Transfer (STTR). An STTR funding agreement is a contract, grant, or cooperative agreement entered into between an STTR participating Federal Agency and a small business for the performance of research, experimental, or developmental work funded by the Federal Government <ul style="list-style-type: none"> • These come to us in the form of a subcontract
Training Grant	Grants where the purpose is to develop or enhance training opportunities for individuals
Task Order (under a Master Agreement)	A project with a defined scope and funding amount that is linked to a Master Agreement.
Research Services Agreement	UML drafted agreements under which the sponsor procures the research services of UML to complete a specified scope of work. <ul style="list-style-type: none"> • Usually used with small industry sponsors.
Sponsored Research Agreement	UML drafted agreements under which the sponsor tasks UML with performing a full research-based protocol. <ul style="list-style-type: none"> • Higher likelihood of novel discovery.

Once all fields are completed, click Save and Continue. Once saved, a Proposal # is assigned.

Proposal Number Assigned

Once a proposal is saved and a number assigned, a notification email is automatically sent to the PI, ORA Grants and Contract Administrator, as well as the aggregator.

The screenshot shows the 'Create Proposal' form in the Kualu Research system. The form is titled 'Create Proposal' and includes several required fields: 'Proposal Type' (set to 'New'), 'Lead Unit' (set to 'LE1000000 - DEPT. Plastics Engineering'), 'Activity Type' (set to 'Research'), 'Project Dates' (from '06/01/2023' to '06/01/2024'), 'Project Title' (set to 'Test Proposal for Screenshots'), 'Sponsor' (set to '100000000 - FREE CLAMPTON FOUNDATION'), 'Principal Investigator' (set to '10000 - Test Researcher 1'), and 'Anticipated Award Type' (set to 'Grant'). The form also includes a 'Cancel' button and a 'Save and Continue' button, with an orange arrow pointing to the 'Save and Continue' button.

The screenshot shows the 'Proposal Details' section in the Kualu Research system. The proposal is titled 'Proposal: #53' and is assigned to 'PI: Sara Akashian'. The 'Basics' section is expanded, showing the 'Proposal Details' section. The 'Proposal Details' section includes a note: '* indicates required fields'.

If you navigate to the dashboard, your new proposal will show in the Proposals not routing section until it is submitted to routing.

Basics Section

Once saved, Kualu takes you to a Basics section where you will capture information about your proposal. If you are unsure what to enter for any of these fields, please work with your College Research Administrator.

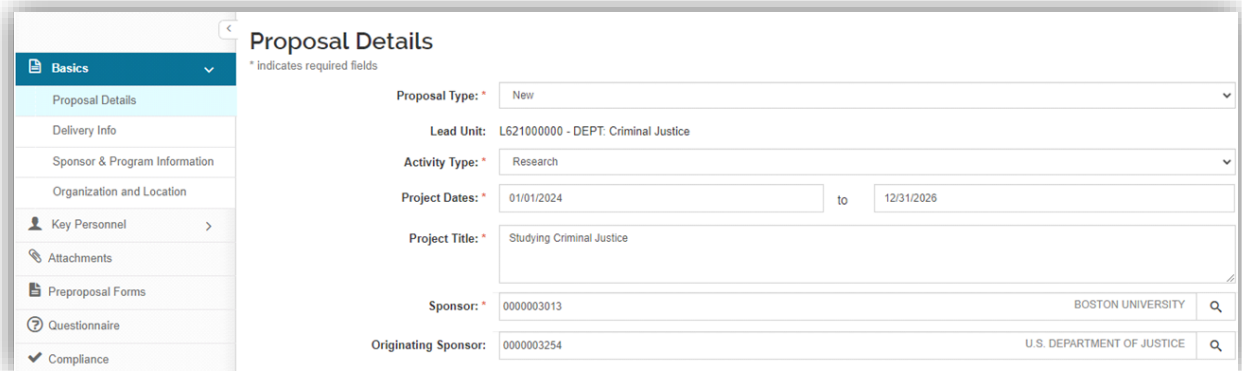
The screenshot shows the 'Proposals not routing' section in the Kualu Research system. The table displays the following information:

Proposal	Proposal #53 – PI: Akashian, Sara – Sponsor: U.S. DEPARTMENT OF ENERGY – Due date: 10/31/2023 Last action: 10/10/2023 2:26 PM

The **Save and Continue** button brings you automatically to the next section.

[Proposal Details](#)

On the Proposal Details screen, you will see the values entered previously have populated: Proposal Type, Lead Unit, Activity Type, Project Dates, Project Title, Sponsor, and Federal Prime Sponsor. You can edit any of these fields except for the lead unit field.



The screenshot shows the 'Proposal Details' form with a left-hand navigation menu. The main form area contains the following fields:

- Proposal Type:** New
- Lead Unit:** L621000000 - DEPT. Criminal Justice
- Activity Type:** Research
- Project Dates:** 01/01/2024 to 12/31/2026
- Project Title:** Studying Criminal Justice
- Sponsor:** 0000003013 BOSTON UNIVERSITY
- Originating Sponsor:** 0000003254 U.S. DEPARTMENT OF JUSTICE

Award ID

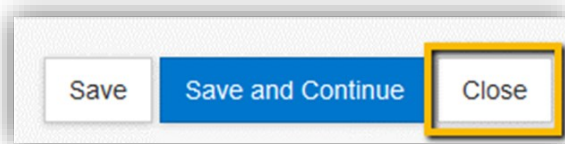
Does not appear for new proposals. For non-new proposals (e.g. Resubmission, Renewal, etc.), the Award ID field appears and may be used to search the Award module to link that record for reference

Original Institutional Proposal ID

Does not appear for new proposals. For non-new proposals (e.g. Resubmission, Renewal, etc.), the Original Proposal ID field appears to search the Institutional Proposal module for the prior submission.

Click **Save and Continue**.

★ **IMPORTANT Note:** To avoid the proposal being locked for other users. If at any point you are navigating away from your proposal, be sure to click the Close button.

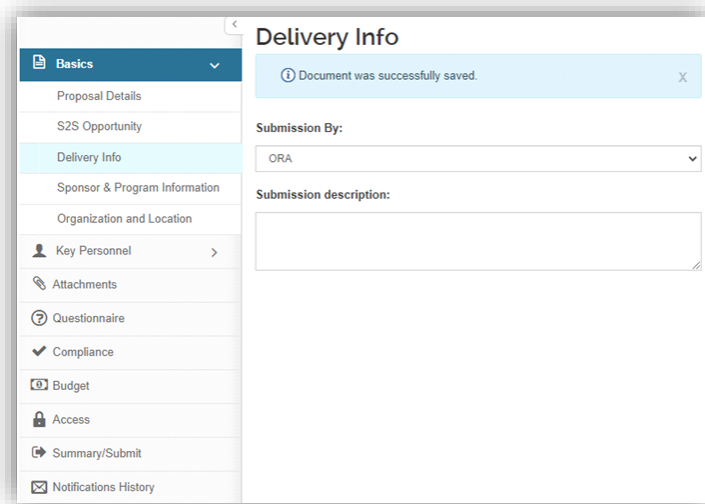


[S2S Opportunity \(System to System Opportunity\)](#)

If your sponsor is **Federal**, this section will **appear**. If your sponsor is **not Federal**, the S2S Opportunity section will not appear.

UML will be using this feature in a **future roll-out**. For now, **leave blank**.

[Delivery Info](#)



[Submission By](#)

Here you will capture who will submit the proposal to the sponsor. Most often, this will be ORA. However, there are some instances where the submitter will be someone outside of ORA. If you are unsure which option to select, please contact your GCA.

Submission By	Description
ORA	Grants and Contracts Administrator
PI	Principal Investigator. Note – PI's must receive ORA approval prior to submission.
Other	Someone other than ORA or the PI. When this selection is chosen, please provide details in the Submission Description.

[Submission Description](#)

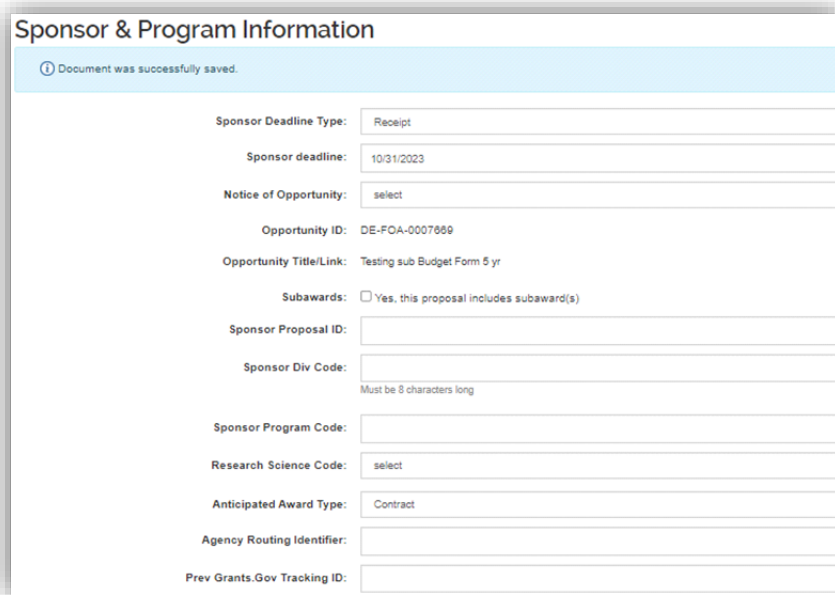
Capture submission details here, **examples** include:

- Via Research.gov
- Submit through Grants.gov
- Email proposal to Dr. Charlie Day at Charlie_Day@mit.edu.
- Any other submission information that is helpful for ORA

[Sponsor & Program Information](#)

Here you enter sponsor **deadline** information, identify **funding opportunity** information and **Research Science Code**. Complete all applicable fields.

★ **Note:** [Sponsor Deadline Type](#), [Sponsor Deadline](#), [Opportunity ID](#), [Opportunity Title/Link](#), and [Anticipated Award Type](#) will be **populated** from the **initial** screen. To review the definitions for any of these fields please refer to the appropriate section above.



Notice of Opportunity

Select the most appropriate notice of opportunity type from the dropdown. *Note: If you select any of the Federal Opportunity Types a federal sponsor should also be selected in the Sponsor or Federal Prime Sponsor locations and an Opportunity ID will be required.*

Opportunity Type	Description
Federal Solicitation	Any Federal that is not SBIR/STTR
Unsolicited	Not related to a sponsor funding announcement
Verbal Request for Proposal	Unofficial solicitation, no formal announcement
SBIR Solicitation	Small Business Innovative Research (Federal)
STTR Solicitation	Small Business Technology Transfer (Federal)
Non-Federal Solicitation	Any other non-Federal funding announcement
State Solicitation	MA State Agency Proposals

Subawards Checkbox

Check if you will include sub-awards in your proposal.

If checked:

- Complete **Other Organizations** section in Organizations and Locations
- Upload required subaward proposal documents in the Internal Tab of the Attachments section according to [UML Internal Deadlines HYPERLINK](https://www.uml.edu/research/ora/proposal/internal-deadlines.aspx)
["https://www.uml.edu/research/ora/proposal/internal-deadlines.aspx"](https://www.uml.edu/research/ora/proposal/internal-deadlines.aspx).
 - You **do not** need to upload these documents to submit your draft budget but **will need** them when the proposal is routed. Additional information is found in the Complete Proposal and Submit for Routing procedure that is available on the [RES website](#).

Subawards are defined by [Uniform Guidance](#). Please see [UML's guide](#) to differentiate between Subawards, Consultants and Vendors.

Sponsor Proposal ID

Identifier used by the agency to recognize the proposal; most often required with proposals that are **renewals** or **resubmissions**. e.g. **NIH Federal Identifier**.

*Note: **If not an S2S submission**, proposal aggregators should initiate their proposal in the **sponsor portal** and enter the associated proposal ID from the sponsor in this field (e.g. - Research.gov)*

Research Science Code

UML is now **requiring** faculty to identify their proposal with a **Research Science Code**. This is also called the NSF Science Code. **This is required even if the proposal is not to NSF.**

- Click within the field to display the drop-down list options; scroll through the list and highlight one line to select it.
- This data does not populate to any forms but is important for responding to the NSF Annual Survey, and for other annual reporting exercises.

The Higher Education Research and Development (HERD) Survey conducted by NSF is the primary source of information on separately accounted for research and development expenditures within higher education institutions in the United States and outlying areas. The NSF Science Code is an integral part of codifying that data and must be assigned to all research-related proposals.

Agency Routing Identifier

Leave Blank. This will be part of the future System to System roll-out.

Prev Grants.Gov Tracking ID

Leave Blank. This will be part of the future System to System roll-out.

ALN Assistance Listing Number

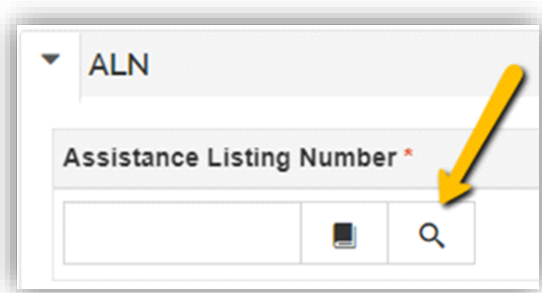
If identified within the funding announcement or solicitation the ALN can be added now, otherwise leave blank.

★**Note 1:** *This number was previously referred to as CFDA Number.*

★**Note 2:** *ALN has a red asterisk that indicates it is a required field, this is **misleading**, this field is **not required** at this stage.*

If the **ALN** is available, follow the steps below:

Click the magnifying glass icon to lookup the **ALN**



The image shows a screenshot of a web form. At the top, there is a dropdown menu with the text 'ALN' and a downward arrow. Below this is a text input field with the label 'Assistance Listing Number *'. A red asterisk is positioned to the right of the label. Below the input field, there are three icons: a document icon, a magnifying glass icon, and a search icon. A yellow arrow points to the magnifying glass icon.

Enter the ALN and click Search at the bottom.

Lookup
ALN Lookup

Assistance Listing Number: 47.049

ALN Program Title Name:

ALN Maintenance Type Id:

Active: Yes No Both

Click the Select button.

Lookup
ALN Lookup

Show 10 entries

csv xml xls

Actions	Assistance Listing Number	ALN Program Title Name	ALN Maintenance Type Id	Active
select	47.049	Mathematical and Physical Sciences	AUTOMATIC	true

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

Then click the Add button

ALN

Assistance Listing Number *	ALN Program Title Name	Actions
47.049	Mathematical and	Add

Here we see the ALN added to the proposal.
Click save and continue.

[Organization & Locations](#)

Applicant Organization

Will always be **UML** and address information should default.

Organizations & Locations

Applicant Organization Performing Organization

Performance Site Locations Other Organizations

Applicant Organization

Details

Organization Name	University of Massachusetts Lowell
Address Line 1	600 Suffolk Street
Address Line 2	Suite 415
Address Line 3	
City	Lowell
State	MA
Postal Code	01854-3692

Performing Organization

The Performing Organization **defaults** to **UML**.

The screenshot shows the 'Organizations & Locations' page. At the top, there are tabs for 'Applicant Organization' and 'Performing Organization', with 'Performing Organization' selected. Below this are tabs for 'Performance Site Locations' and 'Other Organizations'. The 'Performing Organization' section is active, showing a 'Details' button and a 'Select Different Organization' button. Below these buttons is a table with the following information:

Organization Name	University of Massachusetts Lowell
Address Line 1	600 Suffolk Street
Address Line 2	Suite 415
Address Line 3	
City	Lowell
State	MA
Postal Code	01854-3692

Performance Site Locations

Leave Blank. This will be part of the future System to System roll-out.

★ **Note:** Do not add Subrecipient performance sites here.

Other Organizations – Subrecipients/Collaborators

Organizations that will be **Subrecipients** or **Collaborators** should be added in the **Other Organizations** section. If adding a subrecipient, be sure to upload all necessary documentation in the attachments section, such as subrecipient commitment forms, budgets, justifications, and a scope of work.

Adding Organizations

- Click the Add Organization button

The screenshot shows the 'Organizations & Locations' page with a sidebar on the left. The sidebar has a 'Basics' dropdown menu with options: 'Proposal Details', 'S2S Opportunity', 'Delivery Info', 'Sponsor & Program Information', 'Organization and Location' (which is selected), and 'Key Personnel'. The main content area shows a notification 'Document was successfully saved.' and tabs for 'Applicant Organization', 'Performing Organization', 'Performance Site Locations', and 'Other Organizations', with 'Other Organizations' selected. Below the tabs is the 'Other Organizations' section, which contains an 'Add Organization' button.

- Search by Name, remember you can use the asterisk * as a wildcard while searching. Click Search.

- Select the correct organization.
- ★ **Note:** You may adjust the number of entries shown in your view.
- Click the checkbox next to the organization and click the return selected button at the bottom.

Organization Id	Organization Name	Address	Federal Employer Id	Congressional District	Contact Address Id	DUNS Number	DUNS Plus Four Number	UEI	Human Sub Assurance
<input checked="" type="checkbox"/> 00010156	UNIVERSITY OF MASS DARTMOUTH				100007				

If the organization you are looking for is **not** present, a New Organization form must be completed. Navigate to the [RES website](#) to find the link for and the job aid for the New Organization form.

Key Personnel

This section can be skipped when submitting a draft budget to ORA. This section can be completed after the draft budget is submitted for review. Instructions for completion of this section can be found in the “Complete Proposal & Submit to Routing” guide found on the [RES website](#).

Attachments

The **attachments** screen shows multiple tabs. When submitting your **draft budget, justification** and any other necessary **internal** documents, you will **always** use the **internal tab only**.

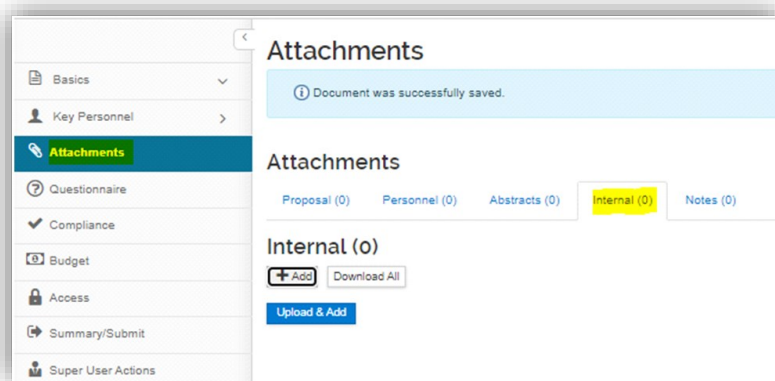
Upload Required Internal Attachments


For the internal deadline of submitting a draft budget and justification to ORA, only certain documents need to be attached at this time. Complete a **draft budget** and **justification** on the [UML Templates](#). **Upload** these and any other applicable required internal attachments to the **internal tab**.

Required Attachments:

- Draft Budget on UML internal template
- Draft Budget Justification
- Solicitation PDF, if link wasn't available
- F&A Waiver Approval, *if applicable*
- Limited Submission Approval, *if applicable*
- Request for PI Status, *if applicable*

***Note:** All proposals for sponsored funding are **required** to have a UML **internal budget** even if a sponsor budget template is also necessary.



Click  and **Choose Type, Status** (should always be “incomplete”) and **Description**, if applicable.

Choose the file to upload and click **save**.

Details

Type: *

Status: *

Description:

File:

Choose File No file chosen

Save

[Preproposal Forms](#)

This section of RES houses internal forms that may be needed **internally** to submit your proposal. They are:

- Request for New Sponsor
- Request for a New Organization (*This would be a new sub-recipient organization*)
- Request for PI Status
- Cost Share Approval
- F&A Waiver

Starting one of these forms within this RES section will automatically populate the RES Proposal number on it. You may also start these forms through the links on the [RES Webpage](#).

Instruction guides for each form are on the [RES webpage](#).

★**IMPORTANT Note:** The Request for PI Status, Cost Share Approval and the F&A Waiver forms **require** a final budget to be included. The PI should not submit them at this time but rather take note of which forms will be needed so they can be submitted when budget is final.

[Questionnaires](#)

The questionnaire section will show two questionnaires for completion. **To submit a draft budget to ORA for review only the Draft Budget Notification tab needs to be completed.**

The **UML Proposal Questions** tab can be completed **after** the draft budget is submitted for review. Instructions for completion of this section can be found in the “Complete Proposal & Submit to Routing” guide on the [RES webpage](#).

[Draft Budget Notification Questionnaire](#)

Review and **answer** the questions in this questionnaire. When all questions are answered “**Yes**” you can click **Save**. This will generate an email notification to ORA that a draft budget is ready for review.

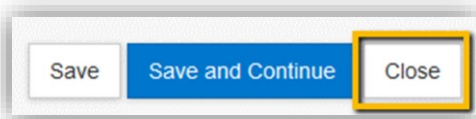
- The PI and College Research Administrator will also be cc’d on this email notification.

***NOTE:** If any of the answers in the Draft Budget Notification questionnaire are answered as “**no**,” an email notification **WILL NOT** be sent to **ORA**. Please review the questions, **update** your documents as needed to comply, answer “**yes**” and then click **Save**.

The screenshot shows a web form titled "Questionnaire" with two tabs: "1. Draft Budget Notification" (selected) and "2. UML Proposal Questions". The selected tab is titled "1. Draft Budget Notification (Complete)" and includes a "Clear" button and a "Print" button. The form contains three questions, each with radio button options for "Yes" and "No":

- Question 1: "When you have checked all of the options on this questionnaire a notification will be sent to the Office of Research Administration so they can begin their administrative review of your budget and proposal. Please note this must be done 12 business days in advance of the deadline. I have completed my draft budget and budget justification on the UML Internal Template." (Yes selected)
- Question 2: "I confirm I am following University and Sponsor policies." (Yes selected)
- Question 3: "I have uploaded documents to the Internal section of the Attachment tab." (Yes selected)

★ **IMPORTANT Note:** To avoid the proposal being locked for other users. If at any point you are navigating away from your proposal, be sure to click the Close button.



At this point your draft budget and justification are with ORA. A Grants & Contracts Administrator will review your budget and justification and return comments within two business days.

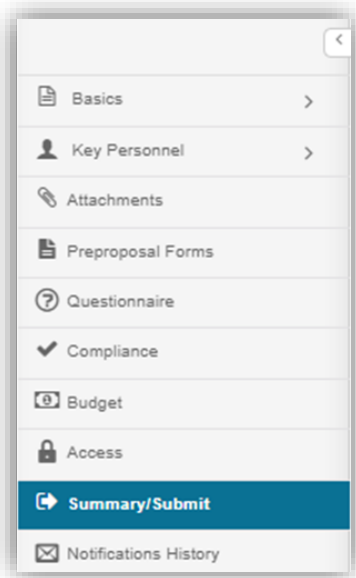
Budget comments and any updated documents will be returned to the PI within the RES system. The PI will receive an email notification with comments and if any documents have been updated they will be uploaded within the **internal tab** of the RES proposal.

If no further edits on the budget and justification are needed, the GCA will **approve** a budget and budget justification by sending a **notification** to the PI stating the documents are **final**. The PI may then **complete** the rest of the **proposal** and **route** for approvals.

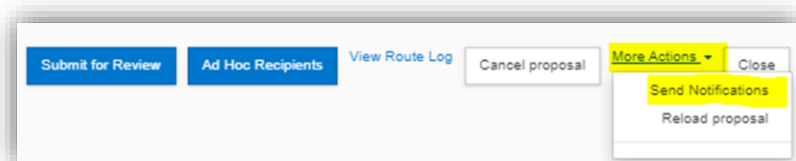
If further back and forth is needed on the budget between the PI and ORA, the PI should upload the updated budget documents within the Internal Tab in RES and notify ORA they are there for review.

To Notify ORA Within RES:

Navigate to the **Summary** and **Submit** section on the left-hand side of the page.

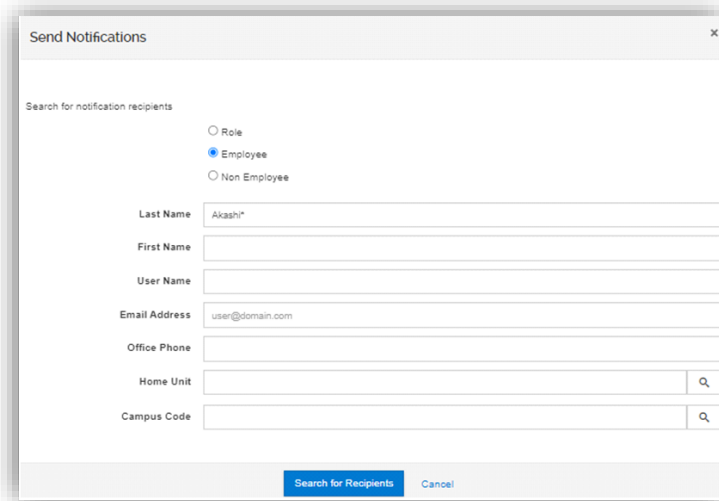


Click the **More Actions** dropdown and choose **Send Notifications**



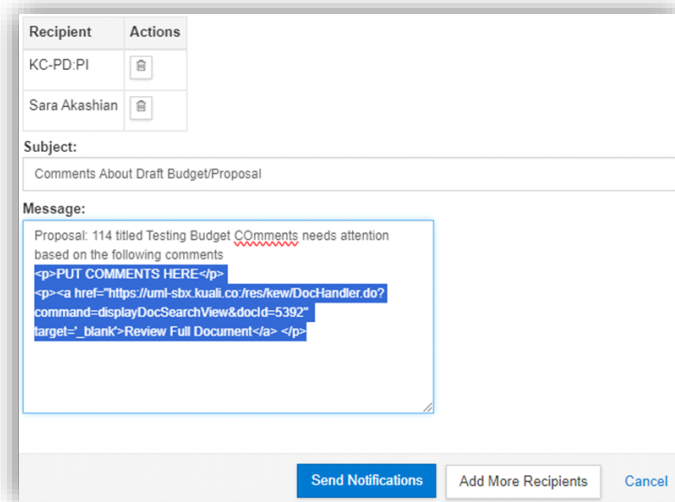
Choose the **Employee Button** and type in the name of the Grants & Contracts Administrator (**GCA**) working with you on this proposal and click Search for Recipients

★ Remember that in RES an Asterix (*) functions as a wildcard.



Check off the correct recipient and click Add Recipients.

A notification box will then pop up. Any comments that you want to come through in the email can be added where the text is highlighted below. Then click **Send Notification** and an email will route.



As a **reminder**, when no further edits on the budget and justification are needed, the GCA will **approve** a budget and budget justification by sending a **notification** to the PI stating the documents are **final**. The PI may then **complete** the rest of the **proposal** and **route** for approvals.

All notifications and comments can also be viewed within the **Notifications and History** section of your proposal.

The PI should now follow the job aid titled **“Complete Proposal and Submit for Routing”** to finish the required sections in RES and route for Approval. This job aid can be found on the [RES website](#).