



# HOW TO COMPLETE THE PROPOSAL IN RES AND SUBMIT IT TO ROUTING

# Overview

Once a draft budget has been submitted through RES, a PI must **complete** the remaining sections of the **proposal** and **submit** it to the routing workflow. Within this workflow, **approvals** are obtained by the PI's Chair/Center Director and Dean before reaching ORA for review.

This must follow <u>ORA's Internal Deadlines</u> which states this proposal must be in ORA's queue for review 5 business days before the sponsor deadline which means submission for **routing** should be done <u>minimally 6</u> <u>business days before the sponsor deadline.</u>

\*Reminder, these <u>internal deadlines</u> state that **all** proposal documents must be **final** and **complete** at this point, except for the technical narrative documents which can be in draft form.

**Step 1** – Review the entries made during the draft proposal stage in the **Basics** section to confirm nothing has changed. These sections are: **Proposal Details**, **Delivery Info**, **Sponsor & Program Information**, and **Organization & Location**.

**Step 2** – Navigate to the **Key Personnel** section. Add all UML Key Personnel to this section and give them the appropriate role.

**\*Proposal Roles**: (PI, Co-Investigator, Multi-PI, or Key Person). All roles **EXCEPT** "Key Person" will be automatically added to the Credit Allocation Distribution.

**Step 3** – For each person listed, expand their tab, and review and update sections as needed. The only required fields are outlined below. The other fields will be used during the system to system (S2S) rollout.

\*Note: If an annual COI disclosure is required for any of the investigators on the proposal, a notification email to complete the disclosure will automatically be sent to the investigator. This must be done prior to proposal submission.

# Step 3a - Organization Tab

Effort		
Total Effort:	Academic Year Effort:	
Calendar Year Effort:	Summer Effort:	

Navigate to the effort screen at the bottom of the Organization tab and enter in the **Year 1** budgeted effort of the person. Effort will be **entered** in **either Academic/Summer** or **Calendar** but never all three. **Leave Total Effort blank**.

• **Effort** is calculated based on **appointment type** (Calendar, Academic, & Summer) and must be entered into the corresponding box. If a person has **both summer** and **academic** effort on the budget, add the effort for each in the appropriate box. For help calculating effort percentage, please see Effort information on <u>ORA's budget webpage</u>.

Note: Effort for all key personnel and, in particular, **faculty, must be budgeted minimally at 1%**. This correlates to **0.12 calendar months or 0.03 summer months.** As noted, effort should typically be substantially more than 1% since it should reflect the actual effort needs of the project.



#### Step 3b – Proposal Person Certification Tab

Details	Organization	Extended Details	Degrees	Unit Details	Person Training Details	Proposal Person Certification
Propos	al Person (	Certification				
Clear All An By clicking I	swers accept, you are aff	irming the below:				
- The inform - I am not cu - I will comp - I accept re proposal is f - UMASS re this proposa - I am in cor ()	ation submitted wii irrently suspended ly with applicable, i sponsibility to conc unded and accepte sources necessary lis funded. npliance with the Ir	th the proposal is true, c , debarred, or proposed institution, sponsor, fed luct and judiciously mar d by the University. to complete the projec institution's Patent Policy	complete and I for debarmer eral, and state nage the proje t are available y and Conflict	accurate to the be nt or suspension fr e rules, regulations ect in accordance v e or provisions hav of Interest Policy.	st of my knowledge. om doing business with the Fi and guidelines. vith the terms and conditions ( e been arranged with the app	ederal Government. of the sponsoring agency and the institutio ropriate personnel to make such resource:
I accept						
This secti	on <b>must</b> be	e completed h	y each i	person list	ed under <b>Kev Per</b>	sonnel. Certifications ca

This section **must** be **completed** by **each** person listed under **Key Personnel**. Certifications can be completed either **prior** to the proposal being submitted to routing or **as part of** the person's approval **during routing**.

- The certification can **only** be **completed** by the person who it is for (i.e. not a proxy).
- If you are **not** the person to accept the certification you can click the **Notify** button to request the person certify before routing. This sends an **email** to the person with a link directly to the certification page.
- To **complete** the **certification** during **routing**, the Key Person will navigate to the Proposal Person Certification tab under their name within the Key Personnel section and click "I accept."

#### Step 4 – Complete the Credit Allocation Section.

The credit allocations when combined for *all* designated proposal **personnel** must total 100% for each credit allocation type (RIF & Recognition). The credit allocation for the **unit (department)** should total 100% for each designated proposal personnel.

Credit Allocation		
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	RIF	Recognition
Neil D Shortland	60	60
L621000000 - DEPT: Criminal Justice	100	100
Unit Total:	100	100
Murat Inalpolat	40	40
L610500000 - DEPT: Mechanical Engineering	100	100
Unit Total:	100	100
Investigator Total:	100	100

There are two types of credit allocations – a **RIF allocation** and a **Recognition allocation**. Only personnel with a Department ID can receive RIF allocation however, all Key Personnel can receive Recognition allocation.





\*It is the expectation that if someone is allowed to receive RIF credit they would also receive Recognition credit. These may often be at the same percentage split. If someone is not able to receive RIF then they would just have Recognition credit.

Step 5 – Upload required documents in the Internal Tab of the Attachments section.

Depending on the **type** of proposal being submitted (Federal, Sub-Award, Industry), the **number** of **attachments** required to be **uploaded** in RES will **change**.

Attachments			
Proposal (0) Personnel (0) Abstracts (0) Internal (0) Notes (0)			
Internal (o)			
+ Add Download All	Set All Statuses	select 🗸	,
Upload & Add			

### INTERNAL TAB DOCUMENT REQUIREMENTS:

•Budget – UML Internal

### Budget Justification

- Sub Award Documents, if applicable (Sub-Recipient Commitment Form, Sub Budget, Sub SOW, etc.)
- Sponsor Required Documents, if applicable (Required to be uploaded if emailing proposal documents.)
  - Sponsor Budget Template, Statement of Work, Proposal Narrative, CVs, etc.
    - According to <u>UML Internal Deadlines</u>, all sponsor required documents, except for the final technical documents, **must be included** when routed for approvals. Draft **technical** documents **must be included** as placeholder documents at this time.
- Other Documents, as applicable
  - Cost Share Approval Form, F&A Waiver Form, Limited Submission Approval, Request for PI Status Approval, Internal Communications

**Step 6** – Review the **Preproposal Forms** section to make sure any required internal forms have been completed. The internal forms housed in this section are: Request for a New Sponsor, Request for a New Organization, Request for PI Status, Cost Share Approval, F&A Waiver Form.

# Step 7 – Navigate to Questionnaire section and complete the UML Proposal Questions.

Questionnaire		
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1. Draft Budget Notification 🛩	2. UML Proposal Questions 🗸	ORA Use Only 🛩



**Step 8** - Click on the Compliance section. Select Add Compliance Entry if you have any of the following in your proposal: Human Subjects; Vertebrate Animals; Biohazard Materials; Foreign Component; Recombinant DNA.

- Compliance Identifier:
  - If there is an approved protocol at the proposal stage, enter the information here. Otherwise leave blank.

Proposal: #36 Pr Elizabeth A Farmosa		Add Compliance Entry ×			1				Doc Nbr: 4262 S2S Connected: Initiator: testsysadmi Status: In Progress more				
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		Compliance	Approval Status: *	select		Ý	٩						
Basics	~ >	Document was successfully save	Compliance Identifier:										
Attachments		+ Add compliance entry	Application Date:										
@ Questionnaire			Approval Date:										
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D Budget			Exemption #:	Nothing selected			*						
Access			Comments:										
🕪 Summary/Submit							lb						
Notifications History													
				Add Entry	Cancel								

Step 8 – Navigate to the budget section. Click + Add Budget. Add a Summary Budget into the system.

On the Summary Budget screen, enter in the Total Direct and Total F&A (Indirect) for each year of your budget using the **Direct Cost and F&A Cost boxes**. If you have cost sharing, enter the total Cost Share amount (Direct + Indirect) for each year in the **Cost Sharing box**.

• The remainder of the boxes shown are not currently being used.

		✓ Data Validation	(off) 🌣	Budget Settings	I≡ Hierarchy	Summary GD But	get Versions	Autocai	culate Peri	ods 💿	Help -
« Return to proposal	Periods &	Totals					Recalcula	ite with cha	nges Re	set to perior	d defaults
E Rates	Period Start Date	Period End Date	0 Months	Total Sponsor 0 Cost	Direct Cost	F&A Cost	Unrecovered F&A	Cost 0 Sharing	Cost 0 Limit	Direct Cost 0 Limit	Actions
💄 Personnei 🔤sts 🛛 🗸	01/01/2024	12/31/2024	12.0	156,500.00	100,000.00	56,500.00	0.00	0.00	0.00	0.00	8
Project Personnel Assian Personnel to Periods	01/01/2025	12/31/2025	12.0	156,500.00	100,000.00	56,500.00	0.00	0.00	0.00	0.00	8
Non-Personnel Costs	01/01/2026	12/31/2026	12.0	156,500.00	100,000.00	\$6,500.00	0.00	0.00	0.00	0.00	
N Subawards			Total: 36.00	Total: 469,500.00	Total: 300,000.00	169,500.00 Total:	0.00 Total:	Total: 0.00	Total: 0.00	Total: 0.00	

Click Recalculate with Changes to generate the Total Sponsor Cost.

If **not final**, click **Save**. You can now navigate to other screens by clicking Return to Proposal and come back to update the budget when ready.

If **final**, click **Complete Budget**. A pop up screen will ask if this budget is ready to submit to sponsor. Check the box and click **OK**.

**\*NOTE**: You will not be able to submit your proposal into routing until you have clicked Complete Budget and checked that it is Ready to Submit to Sponsor.

Office of Research Administration



**Step 9** – When the proposal is ready to be routed for internal approvals select the **Summary and Submit** section. Review to make sure everything is correct and click **Submit for Review.** 

If no errors exist your proposal has been submitted for routing. It will now go through required approvals before landing in ORA's queue for review.

**Note:** When you submit for review, you may receive a message asking if you wish to receive **future approval requests** if you will also need to approve the proposal (e.g. - A PI who is submitting also then has to approve it). 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**.

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A Access	Title	Testing effort in detailed budget				
	Principal Investigator	Murat inalpolat				
UP Summary/Submit	Lead Unit	L610500000 - DEPT Mechanical Engineering				
Super Use tions	Proposal Type	New				
Notification fistory	Activity Type	Research				
	Proposal Number	8				
	Project Start Date	01/01/2024				
	Project End Date	01012026				
	Include Subaward(s)?	No				
	Sponsor Name	NIH-NATIONAL INSTITUTES OF HEALTH				
	Prime Prisor Name					
	Sponse Peadline Date	10/31/2023				
	Spons Sedline Type	Rolling Submission				
	Submit for Review Ad Hoc Recipitents	Ite Log Cancel proposal More Actions * Close				

**Step 10, if applicable** - If there are any errors in the proposal, a **Data Validation** screen will appear and list what the error is and a button titled **Fix It** will guide you right to the error. These **must** be corrected before you can route the proposal.

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Error				
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Key Personnel		The Investigators are not all certified. Please certify Jan Kosny.	Error	Fixit