

## RES PROPOSAL DEVELOPMENT PI AND CO-I APPROVER GUIDE

### How to Use this Guide

This guide will show you how to **review and approve** a proposal in RES Proposal Development.

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### Overview

This guide will take you through the steps to locate, review, and approve a proposal that has been submitted for internal routing. You should have received an email notification from RES alerting you that your approval is needed on a proposal. All proposals must be properly reviewed prior to approval.

Internal routing captures the necessary approvals all proposals must have prior to being submitted to an external sponsor, as required by the [University of Massachusetts Board of Trustees Policy for the Development and Administration of Grants, Contracts and Cooperative Agreements for Sponsored Programs](#).

Internal routing must also follow [UML's Internal Deadlines](#). These deadlines are based on when ORA receives the institutional proposal so be cognizant to give other approvers time to review and approve.

This document may reference other guides in specific sections, if applicable to the proposal.

As **Principal Investigator**, there are a couple of scenarios where your approval will be required.

1. If after submitting your proposal into routing within RES you, as the PI, selected "Yes" to receive future approval requests, this will require you to approve again at future workflow stops.
2. If someone else submitted the proposal on your behalf, your approval is needed after reviewing the [Summary/Submit](#) section and completing the [Proposal Person Certification](#).

As **Co-Investigator**, your approval is needed after reviewing the [Summary/Submit](#) section and completing the [Proposal Person Certification](#).

## Accessing RES PD and Basic Navigation

Most often as an approver you will be accessing RES PD directly from email notifications you receive from the system. You may also wish to log in directly to RES PD to search and view proposals being submitted and reviewed in your areas. This section walks you through how to access and log into RES PD and provides some basic navigational information.

### Approval Notifications

When a proposal is submitted for review, or an approval stop in the route log is completed, an email notification is sent to all users listed in the next level of the route log. The notification includes several details about the proposal in the subject line of the email. If the user clicks on the Summary/Submit link, they will be taken immediately to the Summary/Submit screen of the Proposal and can complete their review. If you access RES PD through the link in the email notification, you may skip forward to the [Reviewing for Approval](#) section.

**From:** [no-reply=kuali.co@mx3.kuali.co](mailto:no-reply=kuali.co@mx3.kuali.co) <[no-reply=kuali.co@mx3.kuali.co](mailto:no-reply=kuali.co@mx3.kuali.co)> On Behalf Of [Ofno-reply@kuali.co](mailto:Ofno-reply@kuali.co) <[no-reply@kuali.co](mailto:no-reply@kuali.co)>  
**Sent:** Friday, January 5, 2024 2:25:43 PM (UTC-05:00) Eastern Time (US & Canada)  
**To:** Ourique, Sonia <[Sonia\\_Ourique@uml.edu](mailto:Sonia_Ourique@uml.edu)>  
**Subject:** Proposal #166 - APPROVE Required - PI: Jayson Tatum - Sponsor deadline: 01/15/2024 - Lead Unit: L630300000

**This Message Is From an External Sender**  
This message came from outside your organization.

Report Suspicious

Please review and take the APPROVE action. Failure to take an **APPROVE** action will stop routing.

- **APPROVE** from the [Summary/Submit](#) section of proposal 166 or click on Document ID 5829 in the first column of your Action List.
- **FYI or ACKNOWLEDGE** actions must be completed in your [Action List](#).

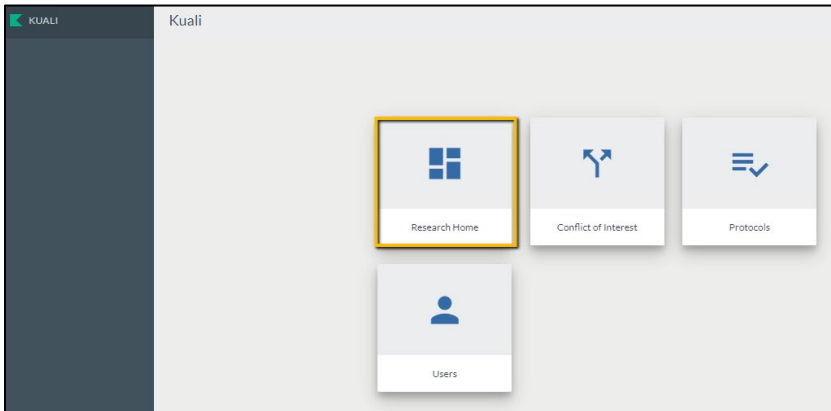
Proposal Number: 166  
Document ID: 5829  
Due Date: 01/15/2024  
Principal Investigator: Jayson Tatum  
Lead Unit: L630300000  
Sponsor: NIH-NATIONAL CENTER FOR COMPLEMENTARY AND INTEGRATIVE HEALTH (NCCIH)  
Proposal Title: Test - Approvals

Action Item sent to [jayson\\_tatum@uml.edu](mailto:jayson_tatum@uml.edu)

## Logging in

Log into the RES site 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



## Research Dashboard and Finding Proposal for Review

Navigate to the upper left hand corner of your Research Dashboard to find the Proposals Routing to Me Section. Select the correct proposal for review.



Proposals routing to me Filter | Sort by

**You're up!** Proposal #117 – PI: Tatum, Jayson – Sponsor: NATIONAL SCIENCE FOUNDATION – Title: Test - NSF – Lead unit: ...  
Due date: 1/12/2024 Last action: 12/01/2023 3:44 PM

**1 step away** Proposal #115 – PI: Tatum, Jayson – Sponsor: AMERICAN CHEMICAL SOCIETY – Title: TEST - Approvers – Lead ...  
Due date: 12/15/2023 Last action: 12/01/2023 2:48 PM

1-2 < >

The **Proposals Routing to Me** section includes proposals that need (or will need) your action.

- To the left of the proposal details you will see a “You’re up!” alert if it is your turn to approve. If it’s not your turn to approve you will see an alert notifying you how many steps away a proposal is in the workflow. For example, a “1 step away” alert would mean there is one pending approval ahead of you in the workflow.

## Reviewing for Approval

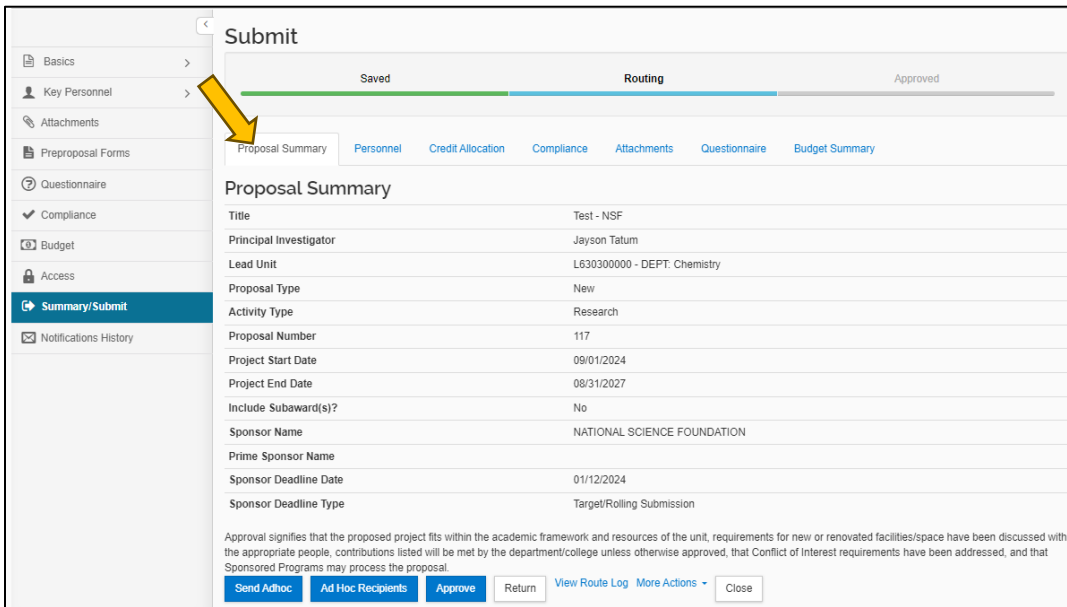
After selecting the correct proposal (or clicking the Document # link in the approval notification email), RES will take you to the Summary/Submit section of the proposal. All proposal details are captured in this section.

Navigate through each tab and carefully review to verify that there are no unanswered concerns related to this proposal prior to approving.

**NOTE:** The PI and any Co-I’s **must** complete their Proposal Person Certification and update their conflict of interest during their review and approval step. Steps on how to do this are in the [Certifications](#) and [Certifying through the Data Validation Link](#) sections below.

## Proposal Summary Tab

The first tab is the Proposal Summary that includes the basic details for the proposal.



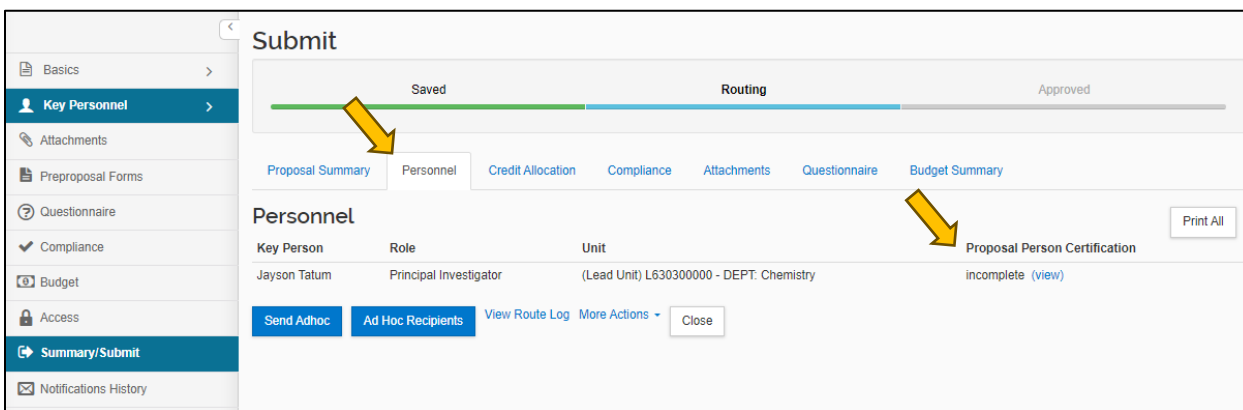
## Personnel Tab

The Personnel Tab shows the Key Persons associated with the proposal. This section also indicates if the Key Persons have completed their certifications. Clicking the view link under Proposal Person Certification provides a pop-up of the text of the certifications.

To complete the Proposal Person Certification, the PI's and Co-I's need to navigate to the Key Personnel section to complete their certifications, this can be done several ways. Please see the [Certifications](#) and [Certifying through the Data Validation Link](#) sections below.

**Note** – PI's and Co-I's must also ensure their Conflict of Interest is up to date. A conflict of interest annual disclosure is required to be submitted to the COI office at the time of proposal submission.

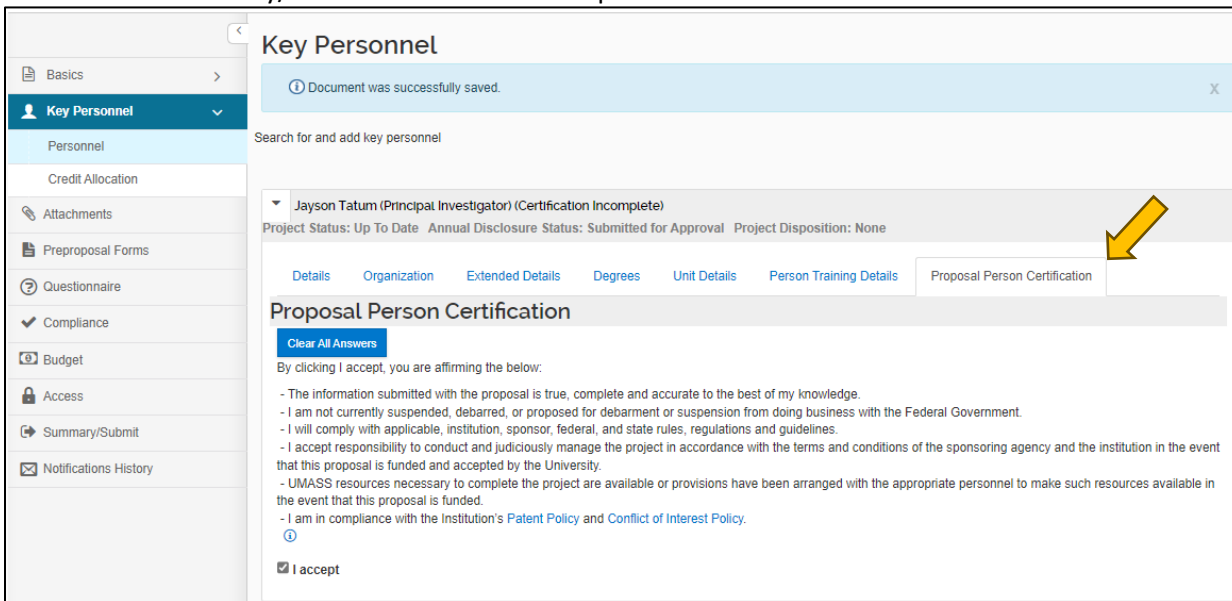
- An email will automatically notify the investigator if a disclosure needs to be completed or updated.



## Certifications

Proposal Person Certifications can be viewed, and checkboxes completed in the Key Personnel section of RES PD. Using the lefthand menu, navigate to Key Personnel/Personnel section, then to the Proposal Person Certification tab.

Carefully review the certification statements, check each box and save. This action along with your approval attests that the information in this proposal is complete and accurate to the best of your knowledge. Save and return to the Summary/Submit section when complete.



**Key Personnel**

Document was successfully saved.

Search for and add key personnel

Jayson Tatum (Principal Investigator) (Certification Incomplete)

Project Status: Up To Date Annual Disclosure Status: Submitted for Approval Project Disposition: None

Details Organization Extended Details Degrees Unit Details Person Training Details **Proposal Person Certification**

**Proposal Person Certification**

Clear All Answers

By clicking I accept, you are affirming the below:

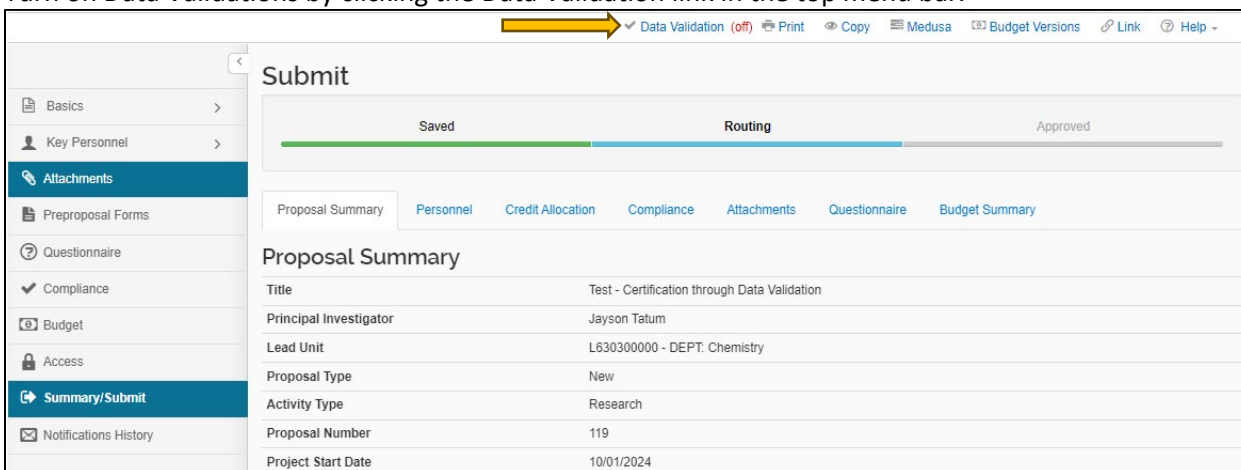
- The information submitted with the proposal is true, complete and accurate to the best of my knowledge.
- I am not currently suspended, debarred, or proposed for debarment or suspension from doing business with the Federal Government.
- I will comply with applicable, institution, sponsor, federal, and state rules, regulations and guidelines.
- I accept responsibility to conduct and judiciously manage the project in accordance with the terms and conditions of the sponsoring agency and the institution in the event that this proposal is funded and accepted by the University.
- UMass resources necessary to complete the project are available or provisions have been arranged with the appropriate personnel to make such resources available in the event that this proposal is funded.
- I am in compliance with the Institution's Patent Policy and Conflict of Interest Policy.

I accept

- Certifications must be completed by all PI's and Co-I's
- Certifications must be completed prior to the PI and Co-I completing their approvals
  - PI and Co-I certifications can be completed during their approval step
- Key Personnel other than PI's and Co-I's do not need to certify

## Certifying through the Data Validation Link

Turn on Data Validations by clicking the Data Validation link in the top menu bar.



**Submit**

Data Validation (off) Print Copy Medusa Budget Versions Link Help

Saved Routing Approved

Proposal Summary Personnel Credit Allocation Compliance Attachments Questionnaire Budget Summary

**Proposal Summary**

Title	Test - Certification through Data Validation
Principal Investigator	Jayson Tatum
Lead Unit	L630300000 - DEPT: Chemistry
Proposal Type	New
Activity Type	Research
Proposal Number	119
Project Start Date	10/01/2024

Then click the Turn on button to view data validations.

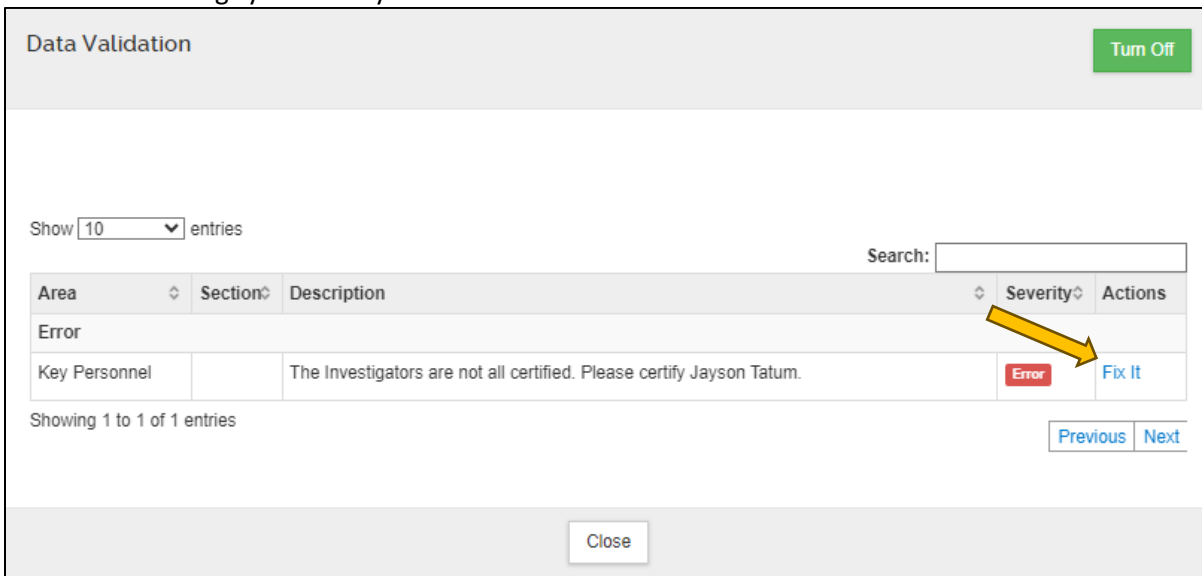


Data Validation [Turn On](#)

Data Validation is currently off.

[Close](#)

The Fix It link brings you directly to the certifications section in RES PD.



Data Validation [Turn Off](#)

Show  entries

Search:

Area	Section	Description	Severity	Actions
Error				
Key Personnel		The Investigators are not all certified. Please certify Jayson Tatum.	Error	<a href="#">Fix It</a>

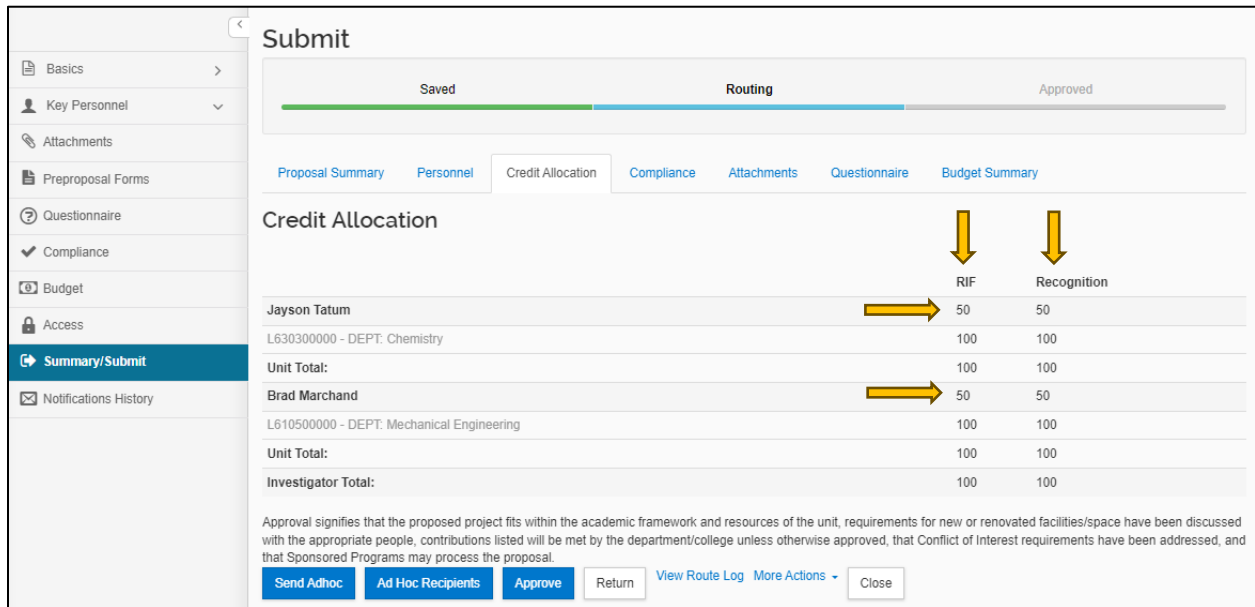
Showing 1 to 1 of 1 entries [Previous](#) [Next](#)

[Close](#)

## Credit Allocation Tab

This tab contains the RIF fund and intellectual credit allocations for this specific proposal.

- Approving a proposal also approves the RIF and Intellectual Credit Allocations designated for each person.
- Please note, the Units will always reflect 100 (percent) for each person and category.



**Submit**

Saved      Routing      Approved

Proposal Summary   Personnel   **Credit Allocation**   Compliance   Attachments   Questionnaire   Budget Summary

**Credit Allocation**

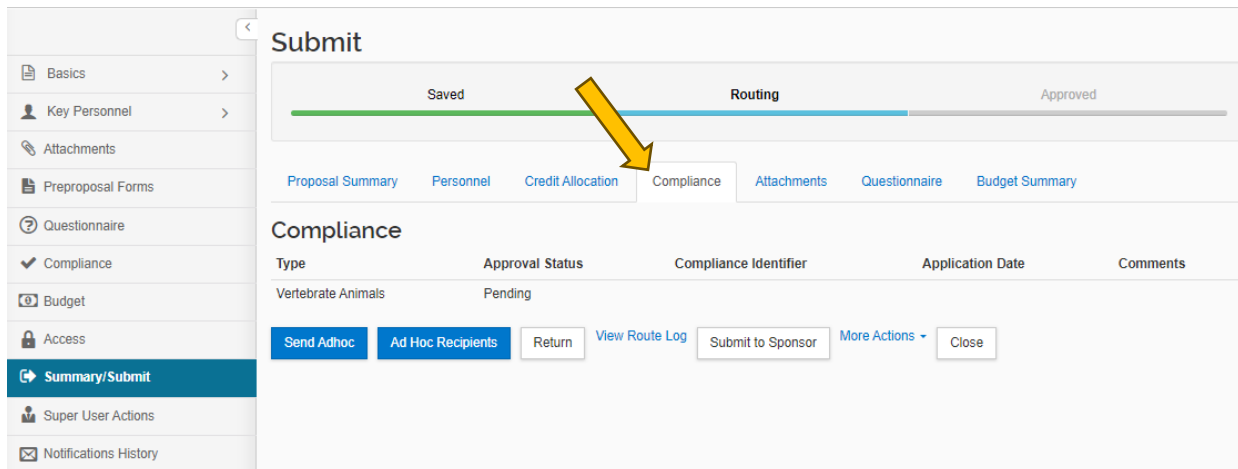
	RIF	Recognition
Jayson Tatum	50	50
L630300000 - DEPT: Chemistry	100	100
<b>Unit Total:</b>	100	100
Brad Marchand	50	50
L610500000 - DEPT: Mechanical Engineering	100	100
<b>Unit Total:</b>	100	100
<b>Investigator Total:</b>	100	100

Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for new or renovated facilities/space have been discussed with the appropriate people, contributions listed will be met by the department/college unless otherwise approved, that Conflict of Interest requirements have been addressed, and that Sponsored Programs may process the proposal.

Send Adhoc   Ad Hoc Recipients   **Approve**   Return   View Route Log   More Actions   Close

## Compliance Tab

The Compliance Tab is where protocols are captured, if applicable to the proposal.



**Submit**

Saved      Routing      Approved

Proposal Summary   Personnel   **Credit Allocation**   **Compliance**   Attachments   Questionnaire   Budget Summary

**Compliance**

Type	Approval Status	Compliance Identifier	Application Date	Comments
Vertebrate Animals	Pending			

Send Adhoc   Ad Hoc Recipients   Return   View Route Log   Submit to Sponsor   More Actions   Close

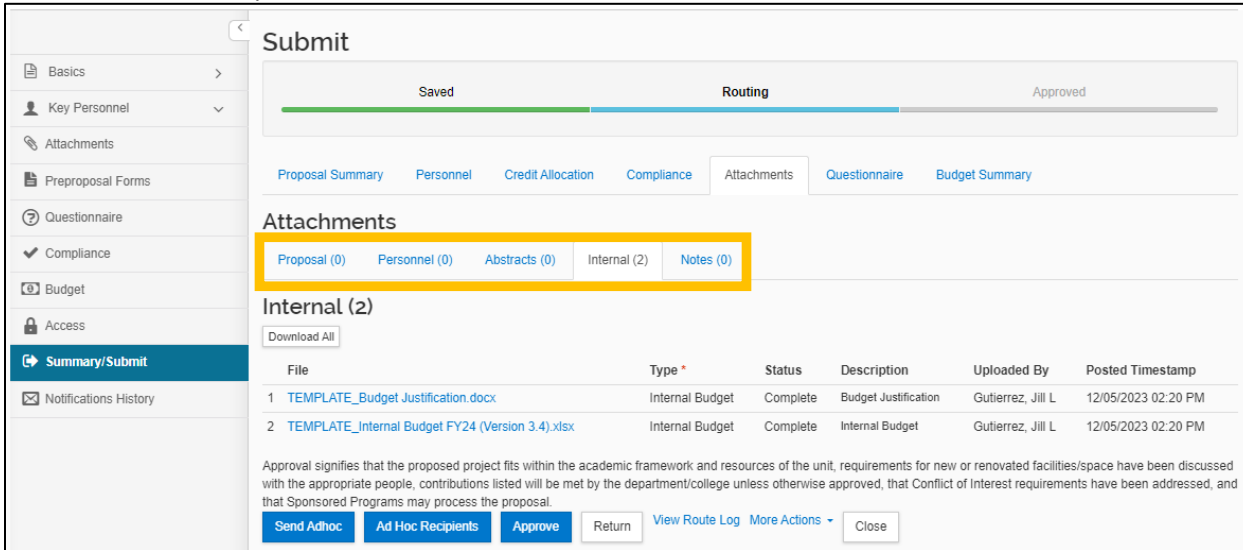
## Attachments Tab

Here you can view attachments that have been uploaded for this proposal.

- **Internal Tab** – Used for all proposals.
  - **Budget – UML Internal**
  - **Budget Justification**
  - **Sub Award Documents**, if applicable (*Sub-Recipient Commitment Form, Sub Budget, Sub SOW, etc.*)
  - **Internal Communication**, if applicable
  - **Cost Share Approval Form**, if applicable
  - **F&A Waiver Approval Form**, if applicable
  - **Limited Submission Approval**, if applicable
  - **Request for PI Status Approval**, if applicable



- **Proposal Tab** – Not currently being used. (Will only be used for S2S submissions)
- **Personnel Tab** – Not currently being used. (Will only be used for S2S submissions)
- **Abstract Tab** – Not currently being used. (Will only be used for S2S submissions)
- **Notes Tab** – Used for all proposals, if applicable. This is where any notes that need to be communicated to ORA would be added. Attachments in this section will not be submitted to the sponsor.



**Submit**

Progress: Saved | **Routing** | Approved

Proposal Summary | Personnel | Credit Allocation | Compliance | **Attachments** | Questionnaire | Budget Summary

**Attachments**

Proposal (0) | Personnel (0) | Abstracts (0) | **Internal (2)** | Notes (0)

**Internal (2)**

Download All

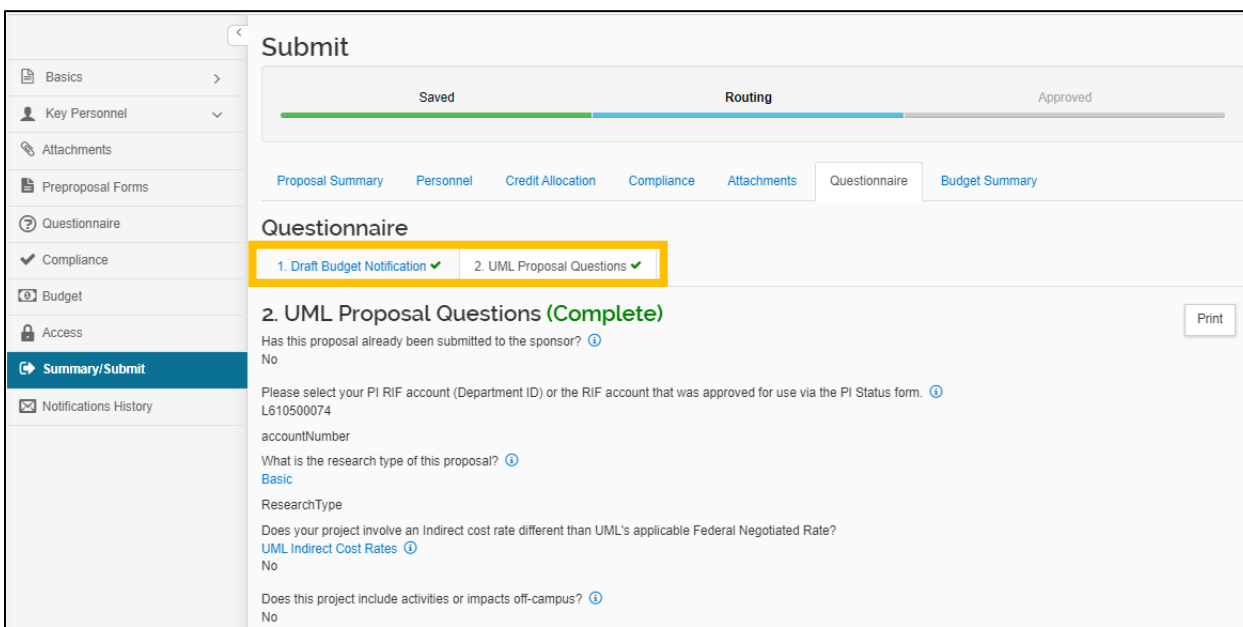
File	Type *	Status	Description	Uploaded By	Posted Timestamp
1. TEMPLATE_Budget Justification.docx	Internal Budget	Complete	Budget Justification	Gutierrez, Jill L	12/05/2023 02:20 PM
2. TEMPLATE_Internal Budget FY24 (Version 3.4).xlsx	Internal Budget	Complete	Internal Budget	Gutierrez, Jill L	12/05/2023 02:20 PM

Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for new or renovated facilities/space have been discussed with the appropriate people, contributions listed will be met by the department/college unless otherwise approved, that Conflict of Interest requirements have been addressed, and that Sponsored Programs may process the proposal.

Send Adhoc | Ad Hoc Recipients | **Approve** | Return | View Route Log | More Actions | Close

## Questionnaire Tab

This tab will contain all questionnaires that were completed for this proposal. This provides important insight into compliance, space related, or hiring concerns related to this proposal. These answers will also indicate whether the proposal involves community engagement, outreach or community partners.



**Submit**

Progress: Saved | Routing | Approved

Proposal Summary | Personnel | Credit Allocation | Compliance | **Attachments** | **Questionnaire** | Budget Summary

**Questionnaire**

1. Draft Budget Notification ✓ | 2. UML Proposal Questions ✓

**2. UML Proposal Questions (Complete)** Print

Has this proposal already been submitted to the sponsor? ?  
No

Please select your PI RIF account (Department ID) or the RIF account that was approved for use via the PI Status form. ?  
L610500074  
accountNumber

What is the research type of this proposal? ?  
Basic  
ResearchType

Does your project involve an Indirect cost rate different than UML's applicable Federal Negotiated Rate?  
UML Indirect Cost Rates ?  
No

Does this project include activities or impacts off-campus? ?  
No

## Budget Summary Tab

The Budget Summary shows the summary level budget including any cost share, if applicable.

Information here should tie to other details captured in the proposal including:

- Attachments (Budget – UML Internal, Cost Share Approval Form, F&A Waiver Approval Form)
- Questionnaire ('Yes' response to different indirect cost rate than Federal Negotiated Rate)
- F&A Rates (tie to the rate aligning with the Activity Type in the Proposal Summary Tab)

Submit

Proposal Summary
Personnel
Credit Allocation
Compliance
Attachments
Questionnaire
Budget Summary

**Budget Summary**

Cost Sharing Amount:	30,000.00	Underrecovery Amount:	0.00
Program Income:	0.00	F&A Rate Type:	MTDC

	P1(10/01/2024 - 09/30/2025)	P2(10/01/2025 - 09/30/2026)	Totals
<b>Non-personnel</b>			
Calculated Direct Costs	\$0.00	\$0.00	\$0.00
Non-personnel Subtotal	\$0.00	\$0.00	\$0.00
<b>Totals</b>			
Total Direct Cost	\$100,000.00	\$100,000.00	\$200,000.00
Total F&A Costs	\$50,000.00	\$50,000.00	\$100,000.00
Totals Subtotal	\$150,000.00	\$150,000.00	\$300,000.00

**F&A Rates**

Description	On Campus Flag	Fiscal Year	Start Date	Institute Rate	Applicable Rate
MTDC	No	2023	07/01/2022	26.00	26.00
MTDC	Yes	2023	07/01/2022	56.50	56.50

Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for new or renovated facilities/space have been discussed with the appropriate people, contributions listed will be met by the department/college unless otherwise approved, that Conflict of Interest requirements have been addressed, and that Sponsored Programs may process the proposal.

Send Adhoc
Ad Hoc Recipients
Approve
Return
View Route Log
More Actions
Close

## Approving

Once you have completely reviewed the proposal by navigating through all tabs within the Summary/Submit section, you can click the Approve button.

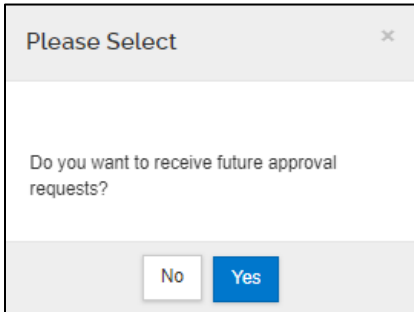
PI's and Co-I's must also complete their certifications and update their COI prior to approving their proposals, see the [Certifications](#) and Conflict of Interest sections.

Please note the approval statements. **Approving a proposal indicates confirmation of these statements and allows the proposal to continue along the workflow path.**

Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for new or renovated facilities/space have been discussed with the appropriate people, contributions listed will be met by the department/college unless otherwise approved, that Conflict of Interest requirements have been addressed, and that Sponsored Programs may process the proposal.

Send Adhoc
Ad Hoc Recipients
Approve
Return
View Route Log
More Actions
Close

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.



Please Select

Do you want to receive future approval requests?

No Yes

Once approved the proposal will move through the approval workflow to the next set of approvers. See [Workflow](#) for more information.

## Return a Proposal

If the proposal requires substantial corrections, Approvers can use the return action to reopen the proposal for additional edits by the PI or aggregator. As part of the return action, you must enter a reason for the action in the confirmation window that appears. Once returned, all proposal details, narratives, and budget can be fully edited by the aggregator and then resubmitted into the approval routing workflow for submission.

Attachments may be replaced by new files during the approval process without returning the proposal, however new attachments may not be added unless a proposal is returned or recalled.



Please note that ALL approvers have the ability to return a proposal that they are reviewing for approval.

## Workflow

Workflow is setup within RES PD based on the PI and their respective unit (department), as well as any Co-I's associated with the proposal.

This section gives you an overview of the workflow within RES PD.

## Routing Steps

Proposals are routed through workflow in the following order:

1. ORA Grants & Contracts Administrator (GCA) (first stop at draft budget and justification stage)
2. PI/Co-I
3. Chair/Center Director (or equivalent) for each Department ID associated to the proposal
4. Dean (or equivalent) for each Department ID associated to the proposal
5. ORA Grants & Contracts Administrator (GCA)

If an approver fills multiple roles within a specific workflow they will have the option to select if they want to receive future approval requests. Clicking yes will require the approver to approve again at the future stop, whereas, clicking no will automatically approve on their behalf at the future stop.

Please Select ×

Do you want to receive future approval requests?