

# Kuali Proposal Development Approver Guide

This document walks you through how to review and approve a proposal in Kuali Proposal Development (PD).

This document uses headers for easier navigation.

- In Microsoft Word, turn on the Navigation Pane under the View toolbar Show section in Microsoft Word to see a lefthand menu of headings available to click through.
- In PDF view Bookmarks in the side menu to see the menu of headings to click through.

Note – The examples used in this guide are from our test environment, which is populated with random data for testing and guide documentation purposes, none of the screenshots are from actual proposals.

## Resources

Below are some additional resources to assist you with Kuali Proposal Development.

### Approver Video

There is a 7-minute video that walk through the basics for reviewing and approving a proposal, this is available at the following link: [Kuali PD Approver Video](#)

### Accessibility

Kuali completes VPATs (Voluntary Product Accessibility Template) on a regular basis to help maintain AA WCAG standard and responds to findings from the VPAT throughout the year. Kuali's most recent VPAT was conducted using Jaws 2021 screen reader.

### Department Support

Be sure to work with any department level support you may have available to you. Each area within UMB has defined at least one proposal aggregator, see [Roles and Responsibilities in Kuali PD](#) section for definitions of the roles in Kuali.

### ORSP Contacts

- General Kuali questions: [ORSPTraining@umb.edu](mailto:ORSPTraining@umb.edu)
  - Questions specific to a proposal should be directed to your Preaward contact
- Ginny Maki, Assistant Director of ORSP eRA Systems and Training: [Virginia.Maki@umb.edu](mailto:Virginia.Maki@umb.edu)
- Shala Bonyun, Associate Director of ORSP Preaward Support Services: [Shala.Bonyun@umb.edu](mailto:Shala.Bonyun@umb.edu)
- ORSP Website: <https://www.umb.edu/orsp>

## Acronyms

PD – Kuali Proposal Development

IP – Kuali Institutional Proposal

PS – PeopleSoft

IRB – Institutional Review Board

COI – Conflict of Interest



F&A – Facilities and Administration, typically refers to overhead rate in a sponsor program setting

## Roles and Responsibilities in Kualu PD

- Aggregators
  - Edit rights to all proposals within a department, includes ability to initiate proposals
- Creators
  - Edit rights to proposals they initiate
- PIs & Co-PIs
  - Initiate, Review and Approve, Certifications for their own proposals, Update Conflict of Interest
- Approvers
  - PIs, co-PIs, Directors, Chairs & Deans, Financial/Grant Managers, or their delegates
- ORSP Preadward
  - Review, Approve, Submit to Sponsor

## Conflict of Interest (COI)

PIs and co-PIs must complete/update their conflict of interest within Kualu COI prior to approving a proposal. Kualu PD will send a notification to the PI and any co-PIs alerting them to update their COI at the time a proposal is submitted for review. It is recommended to complete the COI as soon as possible once a proposal has been submitted for review and approval, ORSP will not grant final approval of a proposal where the PI or any co-PIs have incomplete COIs.

COI status for PIs and co-PIs can be viewed under the Key Personnel section. Here is an example of the COI and certification status:

The screenshot shows the 'Key Personnel' section of the Kualu PD system. A notification at the top states 'Document was successfully saved.' Below this, there is a search bar for adding key personnel. The list includes:

- Maryellen Jagetski (Principal Investigator) (Certification Completed and Answered By maryellen.jagetski - 11/22/2022 11:37 AM)  
Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed
- David Hoff (Co-Investigator) (Certification Incomplete) ← (indicated by a yellow arrow)  
Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed Project Disposition: None

Note that the disclosure references that it is annual, however, new proposals could present areas where conflicts may exist that were not previously present. Think of the 'Annual' as 'At Least Annual', rather than only yearly. Also, a proposal will not be added to the Conflict of Interest list of projects until it has been submitted for review and approval, completing the COI prior to submit for review does not complete the COI requirement for that proposal.

## Flow for Kualu Research

Proposals are created in Proposal Development (PD), and once completed become an Institutional Proposal (IP). Institutional Proposals become Awards and once submitted, are sent to PeopleSoft (PS) as a PS proposal. Kualu Research Modules all relate to each other: Subawards, IRB, COI are all tied to PD, IP, and Awards.

## What Goes into Kualo PD?

All proposals must be captured in Kualo PD as early as possible, even if there is no formal proposal process. Our research community must work as proactively as possible with ORSP on any pending contracts before anything is submitted to the sponsor, including budget and scope of work documents. No documents should be communicated to a sponsor without ORSP review and approval, even during the drafting process.

## Submission Deadline

ORSP has a 5-day submission deadline – proposals must be submitted and completely routed through workflow approval in Kualo at least 5 business days prior to the sponsor due date. Until a proposal has had final review and approval, certain existing attachments in Kualo PD may be updated during the approval process without triggering the need to resubmit. See the Attachments – Staggered Deadline section below for more information.

## Attachments – Staggered Deadline

Certain attachment files that do not represent substantive changes to the proposal may be replaced while the proposal is in workflow approval routing (see list below). New attachments cannot be added once a proposal has been submitted for review and approval. Any attachments that are still in draft status will be marked as incomplete until they are finalized, once finalized they will be marked as complete.

Replaced Attachments trigger an Ad Hoc notification, users must click the Send Notifications button to notify approvers who have already approved the proposal, the proposal aggregator, and ORSP of the file change.

Attachments that may be incomplete and are able to be replaced while the proposal is in workflow approval routing are:

- Narrative
- Bibliography
- Project Summary
- Table of Contents
- Biosketch

## Notifications from Kualo PD

Notifications are sent automatically from Kualo PD at several different stages during the proposal entry and routing process. Kualo also has the ability to send notifications on an ad hoc basis.

Notifications from Kualo will include some basic information about the proposal, details regarding the specific notification purpose, and may also include navigational links. All emails sent from Kualo PD will come from email address: [no-reply@kuali.co](mailto:no-reply@kuali.co) and have been set so they will not trigger the external email warning banner in Outlook.

Examples of emails sent automatically from Kualo:

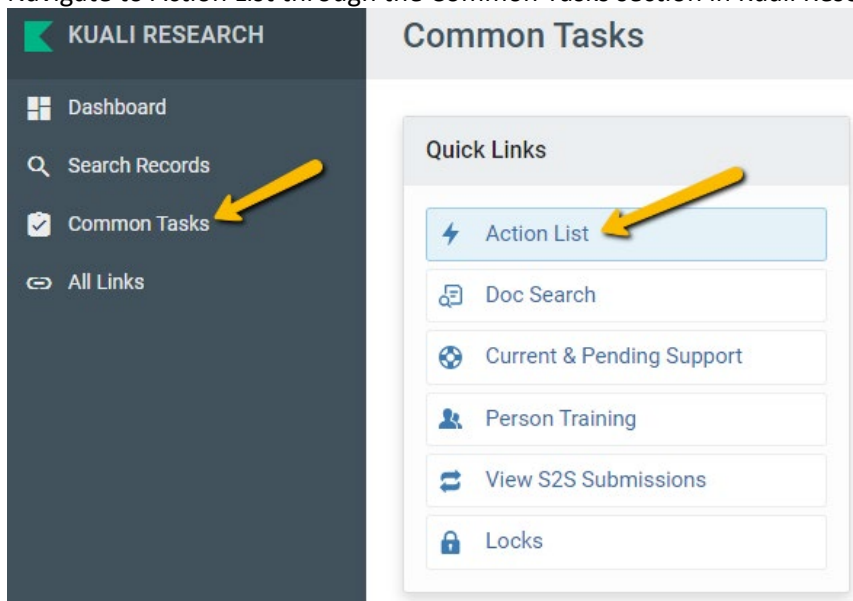
- Upon saving a new proposal
  - Sent to: PI, ORSP, and the proposal aggregators for the lead unit
- Approver Workflow
  - Sent to approvers as their approval task comes up in the workflow

- Delegate Approvers need to turn on this feature in KualI to receive approval notifications for proposals where they are delegate approvers, see the [Delegate Approver Turn on Email Notifications](#) section below
- Proposal Returned during approval process
  - Sent to proposal aggregator and all approvers that have already approved
- Proposal status changed to Submitted to Sponsor
  - For Phase I this creates the entry in the next KualI module, Phase II this would trigger the S2S submission
  - Sent to PI/co-PI, ORSP, aggregator

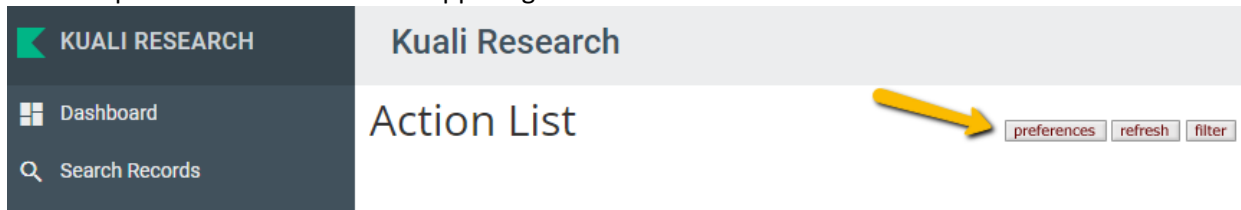
### Delegate Approver Turn on Email Notifications

To have KualI send you approval notifications as a delegate approver, you need to adjust your preferences in KualI. Note this will turn on notifications so you will receive an email whenever someone you are assigned as a delegate has an approval action to take in KualI Proposal Development. You can adjust this as needed – for instance, turn it on only when the primary approver is unavailable and has asked you to take on their approval tasks.

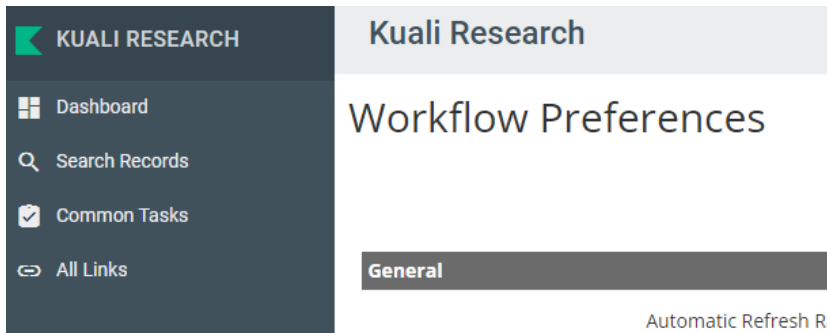
Navigate to Action List through the Common Tasks section in KualI Research



Click the preferences button in the upper righthand corner



This will bring you to the Workflow Preferences page



Scroll down to the email preferences section and check the Receive Secondary Delegate Emails box, click save at the bottom of the page.



You will now receive email notifications when an approval is needed for a proposal where you are assigned as a delegate approver.

### Examples of a Kualu email notifications

#### New proposal created email example

**Subject:** Proposal No. [XX] in [LEAD UNIT], PI: [PI NAME] has been created

[EMAIL TEXT:]

[PROPOSAL AGGREGATOR] has created a proposal in Kualu Research:

- Proposal No. [XX]
- Title: [PROPOSAL TITLE]
- PI: [PI NAME]
- Lead Unit: [DEPT ID NUMBER] – [DEPT ID DESCRIPTION]
- Sponsor: [SPONSOR NAME]
- Due Date: [PROPOSAL SPONSOR DUE DATE]

#### Approval Action email example



**Subject:** KualI Research Action - Proposal - APPROVE - PI: [PI NAME] - Due Date: [DATE] - Lead Unit: [DEPT ID] - Sponsor: [SPONSOR NAME] - Title: [PROPOSAL TITLE]

Please complete the APPROVE action for [PI NAME] in Proposal for “[PROPOSAL TITLE]”  
Your timely action is requested.  
Failure to act when an approval is requested will stop routing.

To review the requested action: [LINK TO KUALI PROPOSAL APPROVAL]

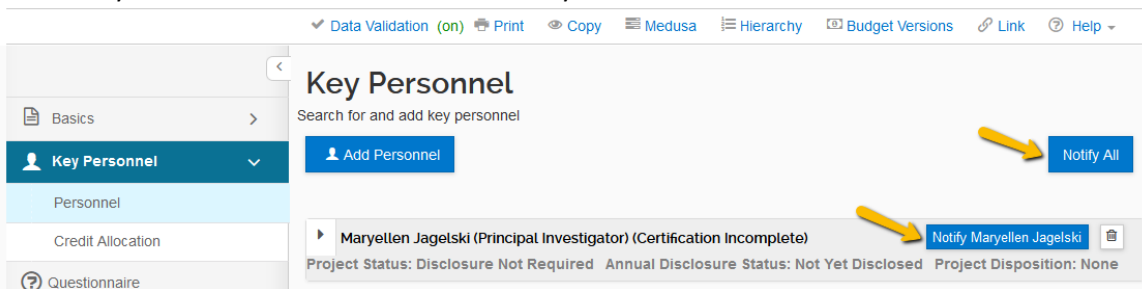
Or, to see all actions requested: [LINK TO ACTION LIST]  
and then click on the numeric Document ID: [DOCUMENT REFERENCE NUMBER] in the first column of the List.

See the [Approval Notifications](#) section for more information.

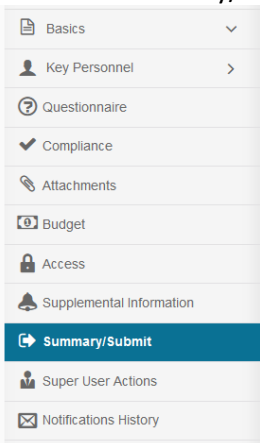
### Creating an Ad Hoc Notification

Ad hoc notification emails may be sent from the Key Personnel section to specific, or all Key Persons, and may also be sent from the Summary/Submit section. Emailing a contact directly from KualI PD has the benefit of including specific proposal information for reference purposes.

Go the Key Personnel section and select a Notify button.



Go to the Summary/Submit section using the lefthand navigation menu.



From the More Action dropdown menu, select Send Notifications



Submit for Review   Ad Hoc Recipients   View Route Log   Cancel proposal   Delete Proposal   **More Actions**   Close

- Send Notifications**
- Reload proposal
- Blanket Approve

In the pop-up window, select the Employee radio button and search for the employee you wish to email. Don't forget to search using the wildcard asterisk to aid your lookup.

Send Notifications

Search for notification recipients

Role  
 Employee  
 Non Employee

Last Name: \*Maki\*  
First Name: V\*  
User Name:  
Email Address: user@domain.com  
Office Phone:  
Home Unit: [Search]  
Campus Code: [Search]

Search for Recipients   Cancel

Click Search for Recipients and check the box next to the correct name, then click the Add Recipients box.

Send Notifications

Only the top 200 results were returned. If you cannot find what you are looking for, please refine the search criteria

Full Name:	User ID:	Email Address:	Unit Number:	Unit Name:	Organization:	City:
<input checked="" type="checkbox"/> Virginia L Maki	virginia.maki	Virginia.Maki@umb.edu	B005400000	Research & Sponsored Programs	Research & Sponsored Programs	Boston

Showing 1 to 1 of 1 entries

First   Previous   1   Next   Last

Add Recipients   Go back   Cancel

A new window will pop-up where you can draft your email. You can edit the subject line and add additional recipients. Complete the body of the email in the Message box and click Send Notification to send the email.

**Send Notifications** ✕

Recipient	Actions
Virginia L Maki	✉

**Subject:**

**Message:**

Send Notifications
Add More Recipients
Cancel

## Accessing Kualo PD and Basic Navigation

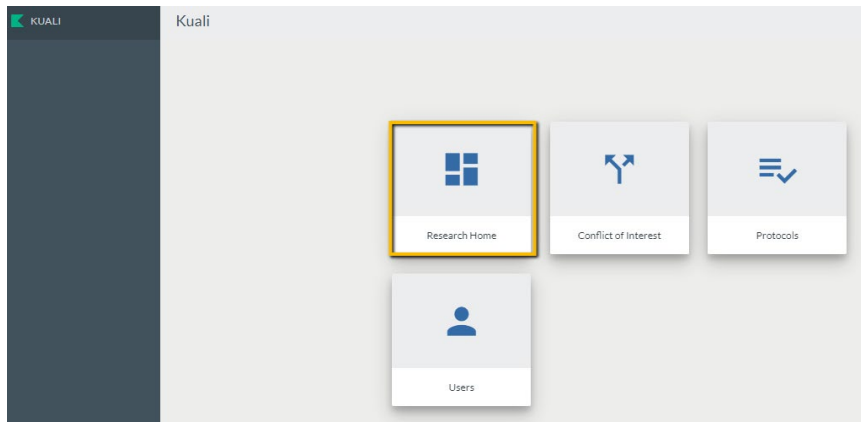
Most often as an approver you will be accessing Kualo PD directly from notifications you receive from the system. You may also wish to log in directly to Kualo PD to search and view proposals being submitted and reviewed in your areas. This section walks you through how to access and log into Kualo PD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

### Logging in

Accessing Kualo (production environment)

Go to the ORSP UMB Website/Kualo for a link to log in – [https://www.umb.edu/orsp/kualo\\_research](https://www.umb.edu/orsp/kualo_research)  
 Uses single sign-on, log in using your regular UMB credentials as you would to access HR or your email.

Click the Research Home tile

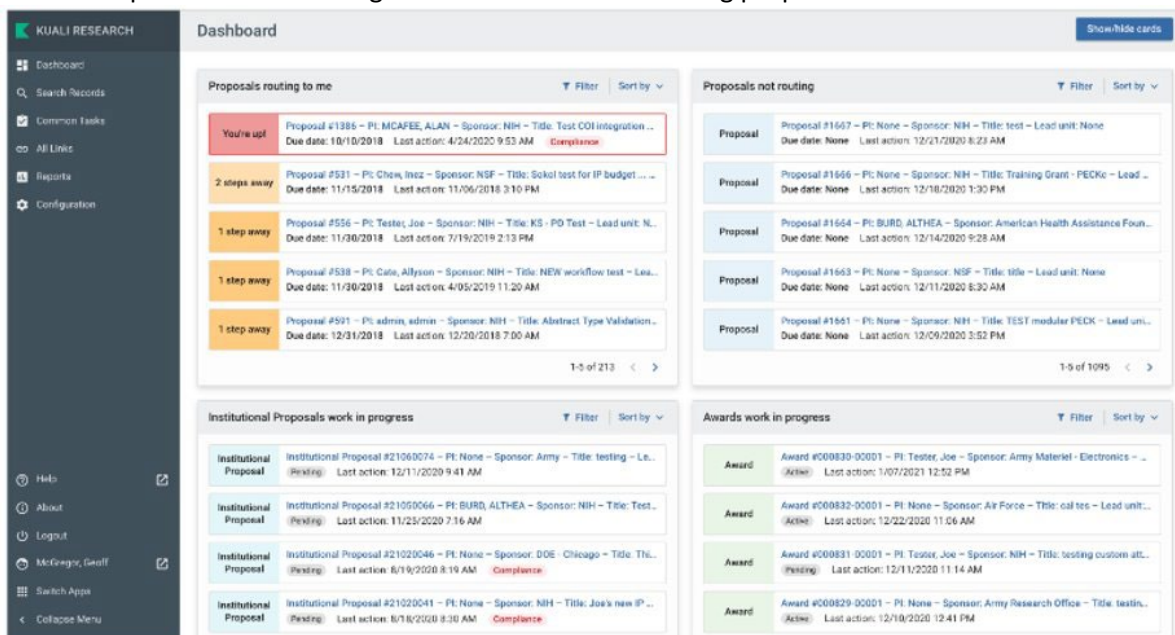


### Dashboard

This brings you to the Kualo Dashboard, here you will see your:



- Proposals Routing to me – Proposals that need my action
  - Any proposal where the logged in user is in the workflow path and has not yet approved the proposal, it will also let you know how many steps you are away from being up for reviewing and approving a proposal
  - Compliance – alerts you when a proposal has a compliance component
- Proposals Not Routing – Proposal in your area that have not yet been submitted
  - Shows you any of your proposals that have been initiated/saved, but have not yet been submitted into workflow
- Work in progress
  - Shows all your IPs, Awards, Subawards that are saved/initiated, but not finalized
- Proposal Workload Assignments – Status of all routing proposals



The screenshot shows the KUALI RESEARCH Dashboard with a left-hand navigation menu and four main content areas:

- Proposals routing to me:** A list of proposals with status indicators (e.g., 'You're up!', '2 steps away', '1 step away') and details like proposal number, PI name, sponsor, title, due date, and last action.
- Proposals not routing:** A list of proposals that are not currently routing, showing similar details to the first section.
- Institutional Proposals work in progress:** A list of institutional proposals in progress, including proposal number, PI name, sponsor, title, and last action.
- Awards work in progress:** A list of awards in progress, showing award number, PI name, sponsor, title, and last action.

Note – Items in the dashboard are in edit status, completed items are available to view using the Search tools, see the [Searching Records](#) section.

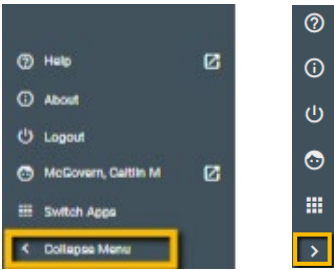
Zendesk for Dashboard Overview:

<https://kuali-research.zendesk.com/hc/en-us/articles/360011575473-Dashboard-Overview>

### Lefthand Menu in Kuali

Kuali has a lefthand navigational menu throughout the research module.

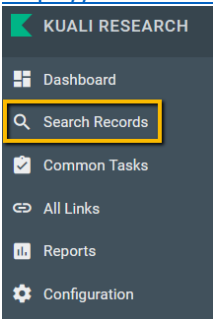
Note – if the lefthand menu is collapsed, click the arrow at the very bottom to expand or collapse.



## Searching Records

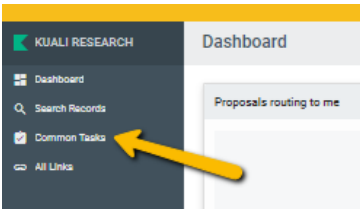
In addition to the Dashboard, Kuali also provides an ability to search records, see the Search Records link on the lefthand menu. Kuali Zendesk has an excellent guide for searching and applying custom filters here:

<https://kuali-research.zendesk.com/hc/en-us/articles/360029976374-Dashboard-Search-Records>



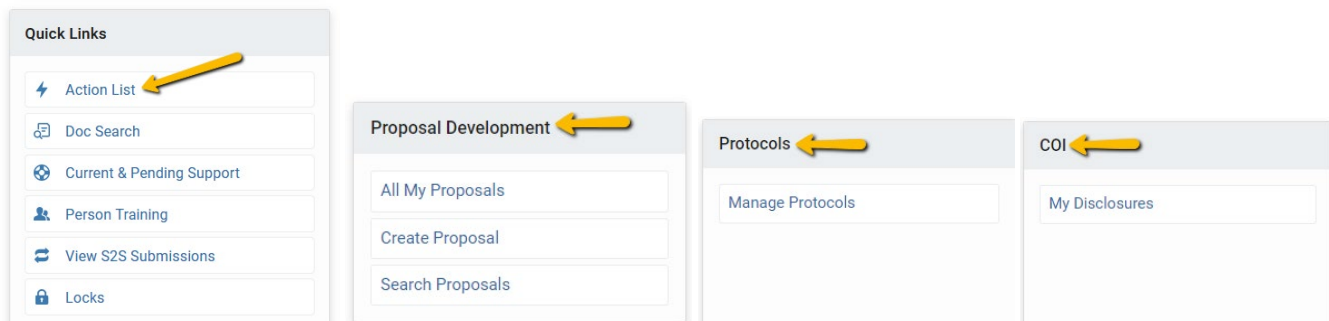
## Common Tasks

Click the Common Tasks in the lefthand menu.



The Common Tasks clipboard includes quick links to common actions, including All My Proposals, Create Proposal, Search Proposal, and the Action List. You can also access Protocols and COI here.

### Common Tasks





## Action List

The Action List is available under the Quick Links section of the Common Tasks section of Kuali PD and includes a listing of items that need your attention. You can access your pending approvals, recent notifications, and recent actions you have taken in Kuali.

On the Action List you may click the show button to view more details for each item in your action list. You may also navigate directly to items through your action list.

### Kuali Research

## Action List

Action List | [Outbox](#)

6 items retrieved, displaying all items.

	Id	Type	Title	Route Status	Action Requested
<a href="#">▶ show</a>	30605	KC Notification	Regarding your involvement in Development Proposal Ginny Test Proposal - Impersonating Caitlin McGovern	FINAL	FYI
<a href="#">▶ show</a>	30606	KC Notification	Proposal Person Certification Completed	FINAL	FYI
<a href="#">▶ show</a>	30711	Proposal Development Document	Testing; Proposal No: 28; PI: David Hoff; Sponsor: NATIONAL SCIENCE FOUNDATION; Due Date: 10/31/2022	ENROUTE	APPROVE
<a href="#">▶ show</a>	30739	Proposal Development Document	Example Title for T; Proposal No: 32; PI: David Hoff; Sponsor: U.S. DEPARTMENT OF EDUCATION; Due Date: 11/01/2022	ENROUTE	APPROVE
<a href="#">▶ show</a>	30740	KC Notification	Proposal Person Certification Completed	FINAL	FYI
<a href="#">▶ show</a>	30749	KC Notification	Proposal Person Certification Completed	FINAL	FYI

## Asterix Wildcard Lookup

In Kuali the asterisk ( \* ) functions as a wildcard for looking up values. Wherever you are looking up a record (person, organization...) you can use an \* to search for partial values. Place an asterisk before and/or after your partial value to search.

Examples:

- Princet\* - searches for anything that starts with 'Princet'
- \*setts – searches for anything that ends with 'setts'



\*Boston\* - searches for anything that contains 'Boston'

## Reviewing for Approval

All proposals must be properly reviewed prior to approval. If you navigate to a proposal to review and approve via an email notification from Kualii PD, you will be brought directly to the Summary/Submit section of the proposal.

The PI and any co-PIs must complete their certifications and update their conflict of interest during their review and approval step.

All proposal details are captured in the Summary/Submit section, navigate through each tab to verify everything is captured correctly and there are no unanswered concerns related to this proposal prior to approving.

## Proposal Summary Tab

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

Note – The examples used in this guide are from our test environment, which is populated with random data for testing purposes, none of the screenshots are from actual proposals.

Submit	
Saved	
Routing	
Approved	
Proposal Summary	Personnel
Credit Allocation	Questionnaire
Compliance	Attachments
Supplemental Info	Keywords
Budget Summary	

### Proposal Summary

Title	Testing Kualii PD - Most recent configurations
Principal Investigator	Maryellen Jagelski
Lead Unit	B011200000 - Exercise & Health Science
Proposal Type	New
Activity Type	Research
Proposal Number	50
Project Start Date	01/01/2023
Project End Date	12/31/2023
Include Subaward(s)?	No
Sponsor Name	NIH-NATL INST OF BIOMED IMAG & BIOENGRNG
Prime Sponsor Name	
Sponsor Deadline Date	12/15/2022
Sponsor Deadline Type	Deadline - Firm Date

Approval of the Department Administrator (as required) below indicates:  
Assurance of departmental review of the proposal information and budget for accuracy and compliance with sponsor and institution guidelines.

Approval of the Department Chair(s) (as required) below indicates:  
Approval of project and confirmation that appropriate space and facilities are available to meet the proposed goals  
Cognizance of the proposed project's risks and administrative obligations  
Acceptance of the obligation of Department funds to meet any cost sharing proposed in this project.

[Send Adhoc](#) [Ad Hoc Recipients](#) [Approve](#) [Return](#) [View Route Log](#) [Recall](#) [More Actions](#) [Close](#)

## 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 provides a pop-up of the text of the



certifications, PIs and co-PIs need to navigate to the Key Personnel section to complete their certifications, this can be done multiple ways, see the [Certifications](#) and [Certifying through the Data Validation Link](#) section below.

Note – PIs and co-PIs must also ensure their Conflict of Interest is up to date, see the [Conflict of Interest](#) section for more information.

Key Person	Role	Unit	Proposal Person Certification
Maryellen Jagelski	Principal Investigator	(Lead Unit) B011200000 - Exercise & Health Science	incomplete <a href="#">(view)</a>
David Hoff	Co-Investigator	B009900000 - Institute Community Inclusion	incomplete <a href="#">(view)</a>

## Certifications

Proposal Person Certifications can be viewed, and checkboxes completed in the Key Personnel section of Kual PD. Using the left-hand menu, navigate to Key Personnel/Personnel section, then to the Proposal Person Certification tab. Click the arrow next to your name to view the person details.

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

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.

### Certifying through the Data Validation Link

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

Proposal Summary	
Title	Testing Kualu PD - Most recent configurations
Principal Investigator	Maryellen Jagelski
Lead Unit	B011200000 - Exercise & Health Science
Proposal Type	New
Activity Type	Research
Proposal Number	50
Project Start Date	01/01/2023

Then click the Turn On button to view data validations.

Data Validation is currently off.

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

Data Validation

Turn Off

Show 10 entries

Search:

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

Note – the default view once you click the fixit link will be for the PI/Contact, scroll down to find your own name if you are not the PI/Contact.

Kuali Research

Key Personnel

Search for and add key personnel

- David Hoff (PI/Contact) (Certification Completed and Answered By david.hoff - 02/22/2023 10:34 AM)  
 Project Status: Up To Date Annual Disclosure Status: Update Required Project Disposition: No Conflict
- Virginia L Maki (Co-Investigator) (Certification Completed and Answered By virginia.maki - 02/22/2023 10:03 AM)  
 Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed Project Disposition: None

Proposal Person Certification

The information submitted within the proposal is true, complete and accurate to the best of my knowledge.

I certify the above statement is accurate

I am not currently suspended, debarred, or proposed for debarment or suspension for doing business with the Federal Government.

I certify the above statement is accurate

I will comply with applicable, institution, sponsor, federal, and state rules, regulations and guidelines.

I certify the above statement is accurate

I acceptance of the 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.

I certify the above statement is accurate

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 certify the above statement is accurate

I am in compliance with the Institutions' Patent Policy Policy.

I certify the above statement is accurate

Click on the arrow to open the person details. Carefully review the certifications, check each box, and save.

Virginia L Maki (Co-Investigator) (Certification Incomplete)  
 Project Status: Update Needed Annual Disclosure Status: Not Yet Disclosed Project Disposition: None

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

### Proposal Person Certification

[Clear All Answers](#)

The information submitted within the proposal is true, complete and accurate to the best of my knowledge. ⓘ

**certify the above statement is accurate**  
 I am not currently suspended, debarred, or proposed for debarment or suspension for doing business with the Federal Government. ⓘ

**certify the above statement is accurate**  
 I will comply with applicable, institution, sponsor, federal, and state rules, regulations and guidelines. ⓘ

**certify the above statement is accurate**  
 I accept the 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. ⓘ

**certify the above statement is accurate**  
 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. ⓘ

**certify the above statement is accurate**  
 I am in compliance with the Institutions' Patent Policy Policy. ⓘ

**certify the above statement is accurate**

[Back](#) [Save](#) [Close](#)

### Data Validation Error - Certifications

PIs and co-PIs may see the message below when you click the approve button, this happens if you have not yet completed your certifications. Click the Data Validation link to view and correct the validation errors.

[Data Validation](#) (on) [Print](#) [Copy](#) [Medusa](#) [Budget Versions](#) [Link](#) [Help](#)

### Submit

Validation errors exist. Please correct these errors prior to submitting to workflow routing. X

When you click the Data Validation link, the following error will show if the certifications are incomplete, clicking on the Fix It link brings you directly to where you need to certify, see the [Certifying through the Data Validation Link](#) section for more information.

Data Validation [Turn Off](#)

Show  entries

Search:

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

### Credit Allocation Tab

This confirms the intellectual credit allocation and the percentage of F&A to be returned for this specific proposal, this takes the place of the allocation portion of the MOU for proposals that have Co-Investigators.

- Approving a proposal also approves the F&A and Credit Allocation as captured for each person.





- Note, the Departments associated with each person will show 100 entered for each category.

	F&A	Intellectual Credit
<b>Maryellen Jagelski</b>	75	75
B011200000 - Exercise & Health Science	100	100
<b>Unit Total:</b>	<b>100</b>	<b>100</b>
<b>David Hoff</b>	25	25
B009900000 - Institute Community Inclusion	100	100
<b>Unit Total:</b>	<b>100</b>	<b>100</b>
<b>Investigator Total:</b>	<b>100</b>	<b>100</b>

### PI and co-PI MOU

The PI and co-PI Memorandum of Understanding has been replaced by the Credit Allocation and roles and responsibilities assignments captured in the Supplemental Information sections. See the [Supplemental Information Tab](#) section for more information.

PI and co-PI approvals also approve the credit allocation, F&A distribution, and the roles and responsibilities as laid out in Quali PD.

### F&A Distribution

F&A is dispersed via RTF (Research Trust Funds) at to the college level and is distributed down by the colleges unless other arrangements have been made within a specific college. Colleges are responsible for and manage the RTF distribution process. Approving a proposal is agreeing to the distribution as captured in Quali PD. ORSP provides the information to colleges as captured in our systems, and colleges use this information to inform their annual distributions, so it is important to ensure this is captured correctly at the outset.

### Questionnaire Tab

Here you will see answers to the questionnaire questions that were completed for this proposal. This provides important insight into any compliance, space related, or hiring concerns related to this proposal. These answers will also indicate whether the proposal involves community outreach, and if additional hiring is planned.



## Compliance Tab

The Compliance Tab is where protocols are captured. Information in the Questionnaire and on the Budget should all tie out, if Human Subjects are included in the ORSP Budget Workbook, and if the Questionnaire answers have protocol positive responses, this section should have related entries.

## Attachments Tab

Here you can view attachments that have been uploaded for this proposal. The Proposal attachments tab includes documents that would be submitted directly to the sponsor. The Internal attachments tab include documents that are for internal UMB purposed. Click the attachment name link to view the file.

### Supplemental Information Tab

Here is where you can view the detailed roles and responsibilities for the PI and co-PI(s) assigned to this proposal. This takes the place of the second page of the PI/co-PI MOU document.

PI and co-PI approvals also approve the credit allocation, F&A distribution, and the roles and responsibilities as laid out in Kualii PD.

### Keywords Tab

Note we are not currently using Keywords, there should be no Keywords captured here. You may ignore this tab.  
 UPDATE – This tab has been removed from the view in the Summary/Submit section.

### Budget Summary Tab

The Budget Summary shows the summary level budget including any cost share or underrecovery (waived F&A). Information here should tie to other details captured in the proposal including:

- Attachments (Waived F&A Approval Form, Cost Share forms)
- Questionnaire (cost share and waived F&A positive responses)
- F&A Rates (tie to the rate aligning with the Activity Type in the Proposal Summary Tab)



**Submit**

Saved      Routing      Approved

Proposal Summary   Personnel   Credit Allocation   Questionnaire   Compliance   Attachments   Supplemental Info   Keywords   **Budget Summary**

### Budget Summary

Cost Sharing Amount:	500.00	Underrecovery Amount:	2,000.00
Program Income:	0.00	F&A Rate Type:	MTDC

	P1(01/01/2023 - 12/31/2023)	Totals
<b>Non-personnel</b>		
Calculated Direct Costs	\$0.00	\$0.00
Non-personnel Subtotal	\$0.00	\$0.00
<b>Totals</b>		
Total Direct Cost	\$10,000.00	\$10,000.00
Total F&A Costs	\$1,000.00	\$1,000.00
Totals Subtotal	\$11,000.00	\$11,000.00

F&A Rates

Description	On Campus Flag	Fiscal Year	Start Date	Institute Rate	Applicable Rate
MTDC	No	2018	07/01/2017	26.00	26.00
MTDC	Yes	2018	07/01/2017	52.50	52.50

## Approving

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

PIs and co-PIs must also complete their certifications and update their COI prior to approving their proposals, see the [Certifications](#) and [Conflict of Interest](#) sections.

Note the approval statements, approving a proposal indicates confirmation of these statements.

Approval of the Department Administrator (as required) below indicates:

Assurance of departmental review of the proposal information and budget for accuracy and compliance with sponsor and institution guidelines.

Approval of the Department Chair(s) (as required) below indicates:

Approval of project and confirmation that appropriate space and facilities are available to meet the proposed goals  
Cognizance of the proposed project's risks and administrative obligations  
Acceptance of the obligation of Department funds to meet any cost sharing proposed in this project.

Send Adhoc

Ad Hoc Recipients

Approve

Return

View Route Log

Recall

More Actions ▾

Close

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



## Data Validation - Warnings

You may see warning messages, warnings will not stop a proposal from moving forward. Reach out to your proposal aggregator or the PI if you have any questions.

**Data Validation** Turn Off

Show 10 entries

Search:

Area	Section	Description	Severity	Actions
<b>Warnings</b>				
Attachments	Internal Attachments	Please upload Fabricated Equipment Form.	Warnings	Fix It

Showing 1 to 1 of 1 entries

[Previous](#) [Next](#)

Close

## Workflow

Workflow is setup within Kualu PD based on departments and PIs/co-PIs associated with the proposal. If more than one department is associated with a proposal, there will be approval workflows for each of those departments in addition to the lead department.

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

### View Route Log

Note the View Route Log link. This is where you can view the workflow approval routing established for this proposal. Workflow approval routing is automatically defined by the information captured within the proposal including PI and co-PI, and the Department IDs associated with the proposal.

[Submit for Review](#) [Ad Hoc Recipients](#) [View Route Log](#) [Cancel proposal](#) [More Actions](#) [Close](#)

You can view the status of each approval step in the routing log as well as the order of the upcoming approvers. Click the View Route Log link.

Prior to submitting for review the route log looks like this:

## Route Log

refresh

ID: 31302

hide

<b>Title</b>	Testing Kual PD - ; Proposal No: 50; PI: Maryellen Jagelski; Sponsor: NIH-NATL INST OF BIOMED IMAG & BIOENGRNG; Due Date: 12/15/2022		
<b>Type</b>	Proposal Development Document	<b>Created</b>	07:07 PM 11/21/2022
<b>Initiator</b>	Maki, Virginia L	<b>Last Modified</b>	09:16 AM 11/22/2022
<b>Route Status</b>	SAVED	<b>Last Approved</b>	
<b>Document Status</b>		<b>Document Status Modified</b>	
<b>Node(s)</b>	Initiated	<b>Finalized</b>	

### Actions Taken

hide

Action	Taken By	For Delegator	Time/Date	Annotation
SAVED	Maki, Virginia L		07:11 PM 11/21/2022	

### Pending Action Requests

hide

Note there are multiple sections in the Route Log.

- The top section provides proposal details.
- The Actions Taken section shows what steps have been taken to date.
- The Pending Actions Requests shows who is up for the next action.
- The Future Action Requests shows the rest of the routing actions beyond the pending ones.

Scroll down using the side scroll bar and click on the show button to view the Future Action Requests.

### Pending Action Requests

hide

Action	Requested Of	Time/Date	Annotation
IN ACTION LIST COMPLETE	Maki, Virginia L	07:11 PM 11/21/2022	

### Future Action Requests

show



Click the show button for each individual approval line to view additional details.

 **PENDING**  
**APPROVE**

The Priority section shows you at what stage each approval occurs, priority levels that have the same number are simultaneous. Earlier actions have lower priority numbers.

 **PENDING** Hoff, David  
**APPROVE**

<b>Node</b>	PeopleFlows
 <b>Priority</b>	100
<b>Approval Policy</b>	Single Approval Required
<b>Forced Action</b>	true

### Routing Steps

Proposals are routed through workflow in the following order:

1. ORSP Preaward Contact
2. PI/co-PI
3. Financial/Research Manager for each Department ID associated to the proposal
4. Chair/Director (or equivalent) for each Department ID associated to the proposal
5. Dean (or equivalent) for each Department ID associated to the proposal
6. ORSP Preaward Contact

Additional workflow approval steps may exist depending on the heirarchy setup for your area. If an approver fills multiple roles within a specific workflow, they will need to approve at each step.

### Approval Notifications

When a Proposal is submitted for review, or an approval stop in the route log is completed, a 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 Document# link, they will be taken immediately to the Summary/Submit screen of the Proposal and can complete their review. If they click on the Action List link, they will be taken to their Action List and can see a list of all items that are pending their review. See the [Action List](#) section for more information.

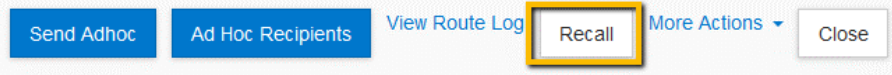
See the [Notifications from Kualii PD](#) sections for more information.

Zendesk Article on the PD Approval Process:

<https://kuali-research.zendesk.com/hc/en-us/articles/360007791114-Proposal-Proposal-Development-Approval-Process>

### Recall a Proposal

Once a proposal has been submitted for review, the aggregator and the PI have the ability to recall the proposal for additional editing. This action can be taken in the Summary/Submit section of the proposal. As part of the recall action, you must enter a reason for the action in the confirmation window that appears. Once recalled, the proposal will once again populate in the Proposals not routing tile in the Dashboard any may be edited.



Note – additional approvers in the workflow do not have the ability to recall a proposal.

### 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 of the 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, new attachments may not be added unless a proposal is returned or recalled.



Note – All approvers have the ability to return a proposal they are reviewing for approval.

### Delegate Approvers

Delegates are alternate approvers that have the ability to approve if an assigned approver is unavailable. Delegates should only approve if the assigned approver is legitimately unavailable to review and approve a proposal, for instance if they are on vacation or unexpectedly out of the office without access to university systems. Note – Investigators must approve any proposal they are associated with.

If you are a delegate, proposals you have access to approve will populate on your Dashboard on the Proposals routing to me tile, with the tag Alternate as pictured below:

