Kuali Proposal Development Aggregator Guide

This document walks you through how to enter 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.

ORSP Contacts
- General Kuali questions: 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
- Shala Bonyun, Associate Director of ORSP Preaward Support Services: Shala.Bonyun@umb.edu
- ORSP Website: https://www.umb.edu/orsp

Zendesk
Zendesk is a Kuali website that offers Knowledge Base articles, new release information, and a place to connect with the Kuali community. Anyone may create a login to access these resources.
https://kuali-research.zendesk.com/hc/en-us

Acronyms and Definitions
PD – Kuali Proposal Development
IP – Kuali Institutional Proposal
PS – PeopleSoft
IRB – Institutional Review Board

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

Prime Sponsor
- Entity that is the original source of funding, captured when the terms of the primary award flow down to any subawardees

Sponsor
- Sponsor or Direct Sponsor is the entity awarding the funds directly to the university

Roles and Responsibilities in Kuali 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 Preaward
  - Review, Approve, Submit to Sponsor

Conflict of Interest (COI)

PIs and co-PIs must complete/update their conflict of interest within Kuali COI prior to approving a proposal. Kuali 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:

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

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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 Kuali 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. Kuali Research Modules all relate to each other: Subawards, IRB, COI are all tied to PD, IP, and Awards.

Note – Attachments do not cross modules, they are available for viewing under the original area they were uploaded to and can be easily accessed from other modules via the Medusa link in Kuali.

What Goes into Kuali PD?

All proposals must be captured in Kuali PD as early as possible, even if there is no formal proposal process. 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.
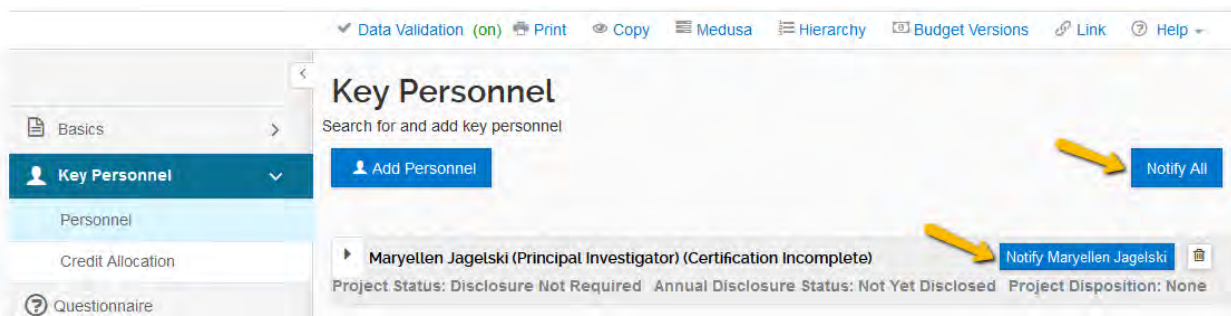
Submission Deadline

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

Notifications from Kuali PD

Notifications are sent automatically from Kuali PD at several different stages during the proposal entry and routing process. You also have the ability to send notifications on an ad hoc basis, this is a good way to communicate with your colleagues about specific proposals. See the Creating an Ad Hoc Notification section for details on how to send an email from Kuali.

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

Notification emails may also be sent from the Key Personnel section to all Key Persons, or to an individual Key Person by using the Notify buttons within Key Personnel.
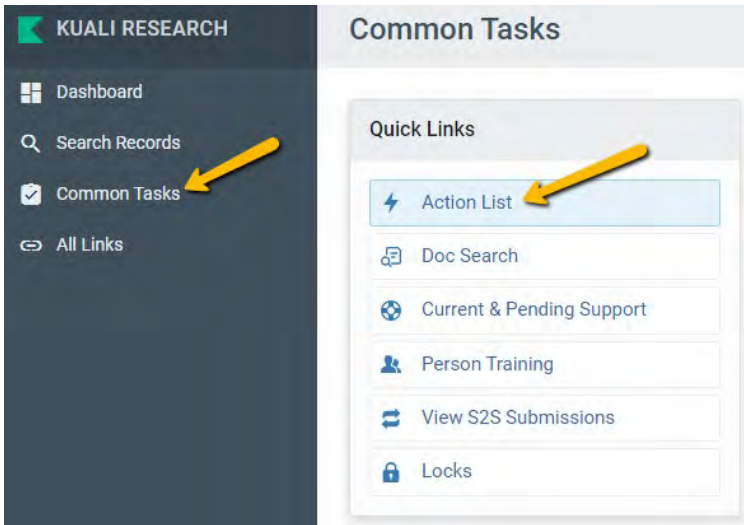
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Examples of emails sent automatically from Kuali:

- 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
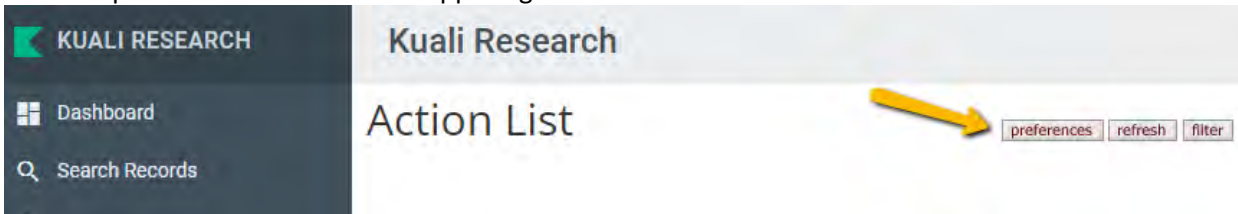   - Sent to PI/co-PI, ORSP, aggregator

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.
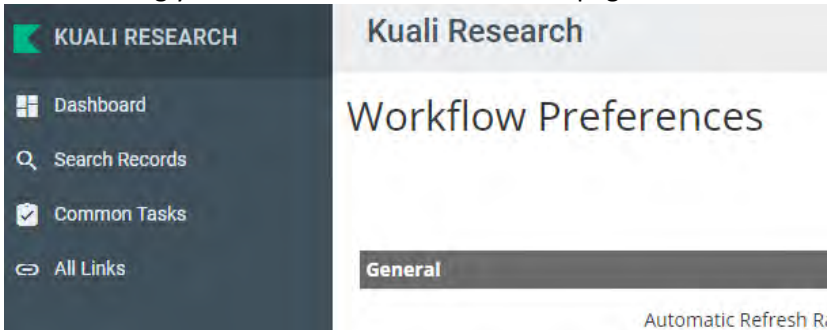
Navigate to Action List through the Common Tasks section in Kuali Research

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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, then 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.

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Examples of a Kuali 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 Kuali 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, and Notification History sections for more information.
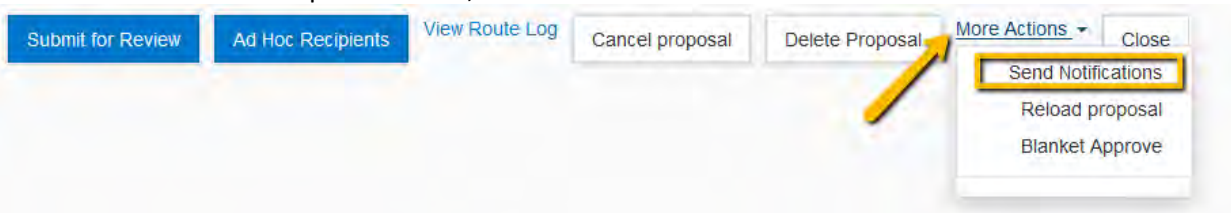
Creating an Ad Hoc Notification

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

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From the More Action dropdown menu, select Send Notifications

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.

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

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.
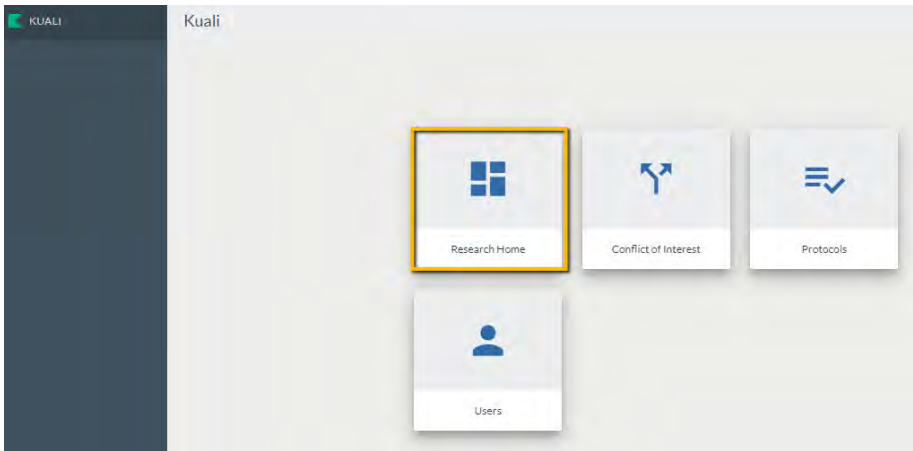

Accessing Kuali PD and Basic Navigation

Logging in

Accessing Kuali (production environment)

Go to the ORSP UMB Website/Kuali for a link to log in – https://www.umb.edu/orsp/kuali_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

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Dashboard

This brings you to the Kuali 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
- Proposal Workload Assignments – Status of all routing proposals

Use the Show/hid cards to view specific tiles on your own dashboard and tiles may be filtered or sorted.

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Note – Items in the dashboard are in edit or approval workflow 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.
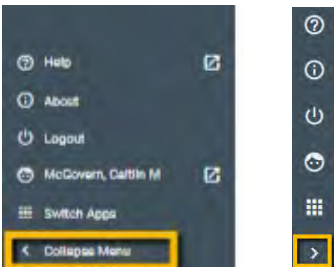
Searching Records

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
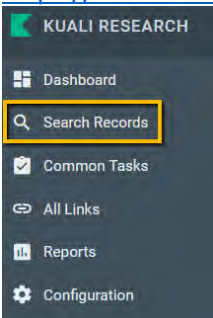
Common Tasks

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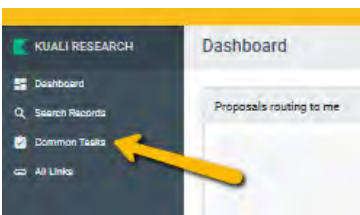
The Common Tasks clipboard includes quick links to common actions, including All My Proposals, Create Proposal, Search Proposal, and the Action List. You can also access Protocols and COI here.

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Common Tasks

Quick Links

- ⚡ Action List
- Doc Search
- Current & Pending Support
- Person Training
- View S2S Submissions
- 🔒 Locks

Proposal Development

All My Proposals

Create Proposal

Search Proposals

Protocols

Manage Protocols

COI

My Disclosures

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
▸ show	30605	KC Notification	Regarding your involvement in Development Proposal Ginny Test Proposal - Impersonating Caitlin McGovern	FINAL	FYI
▸ show	30606	KC Notification	Proposal Person Certification Completed	FINAL	FYI
▸ show	30711	Proposal Development Document	Testing; Proposal No: 28; PI: David Hoff; Sponsor: NATIONAL SCIENCE FOUNDATION; Due Date: 10/31/2022	ENROUTE	APPROVE
▸ show	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
▸ show	30740	KC Notification	Proposal Person Certification Completed	FINAL	FYI
▸ show	30749	KC Notification	Proposal Person Certification Completed	FINAL	FYI

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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'

Copy Proposal

Kuali Proposal Development has the ability to create a new proposal through copying an existing proposal. This may be done directly from the proposal you wish to copy by clicking on Copy in the header bar, or through Search Proposal and All My Proposals accessed in Common Tasks.

Copy from the header within a proposal:
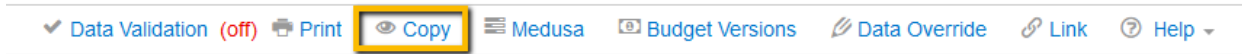
Copy from Proposal Search or All My Proposals:

You will have the option to update the lead unit and to include answers from the copied proposal questionnaire:

Copying this single proposal   ✕

Proposal	Yes
Original Lead Unit	B009900000 - Institute Community Inclusion
Lead Unit: *	select ▾

Questionnaires? ☑ Yes. Include questionnaires.

[Copy...]   [Close]

Create Proposal

Click the Create Proposal link under Proposal Development:

You will be brought to the Create Proposal Page, all fields here are required, once saved a proposal is initiated and a number assigned. Use the dropdown menus and lookup magnifying glasses to populate the fields or start typing and Kuali will provide predictive text.

Lead Unit

Once the Lead Unit is selected it cannot be changed, be sure to select the appropriate Lead Unit Department ID. This is the Department ID that will be associated with the Project once the proposal is funded. If the lead unit needs to be changed, you must copy the proposal and select the correct lead unit in the new copied version, see the Copy Proposal section for more information.

Do not use Departments starting with B9.
- These are high level parent Department IDs that are not typically directly associated with proposals or projects.

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SANDBOX ENVIRONMENT

K KUALI RESEARCH

Kuali Research

- Dashboard
- Search Records
- Common Tasks
- All Links

Create Proposal
* indicates required fields

Proposal Type: *   ⊖ Required

| select | ∨ |

Lead Unit: *

| select | ∨ |

Activity Type: *

| select | ∨ |

Project Dates: *

| mm/dd/yyyy | to |
| mm/dd/yyyy | |

Project Title: *

| |

Sponsor: *

| | 🔍 |

Principal Investigator: *

| | 🔍 |

- ? Help
- ⓘ About
- ⏻ Logout
- 👤 McGovern, Caitlin M
- ▦ Switch Apps
- ‹ Collapse Menu

Sponsor deadline: *

| mm/dd/yyyy |
| hh:mm |

Sponsor Deadline Type: *

| select | ∨ |

Cancel   Save and Continue

Proposal Type Definitions

Description	Definitions
Continuation	Initial request for additional funding for a period subsequent to that provided by a current award.
Internal UMass	UMB Internal Grant Mechanism (Healey, Public Service, Proposal Development)
Letter of Intent	Notice to Sponsor of Intent to submit to Proposal (per FOA guidelines)
New	New Proposal: Submitting an application for the first time or Initial

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	request for support of a project that has not yet been funded.
New - Change/Corrected	Change or Correcting a Pending *New* Application
P & A (Unrestricted Award)	Proposal & Award, funding targeted to support general research in an area or a program
Pre-Proposal	Preliminary Application to Sponsor in advance of submission of a full proposal (per FOA guidelines)
Renewal	Proposal requesting additional funding for a period
Renewal - Changed/Corrected	Change or Correcting a Pending *Renewal* Application
Resubmission	An unfunded application that has been modified following initial review and resubmitted for new consideration or A revised (altered or corrected) or amended application.
Resubmission - Changed/Corrected	Change or Correcting a Pending *Resubmission* Application
Revised Budget	Sponsor or Grantee Initiated Budget Revision Request for a Pending Application.
Supplement	Supplement is a request for (or the award of) additional funds during a current project period on an Existing Award (per FOA, Program Guidelines)
Supplement - Changed/Corrected	Change or Correcting a Pending *Supplement* Application
Transfer	Transfer of an award to UMB from another organization

Activity Type Definitions

Determine appropriate activity of the project: Research, Instruction or Other. These determinations guide Program Code assignments (Research B00, Instruction A00, Other C00) once your proposal is awarded and directly ties to the negotiated F&A (facilities and administration) overhead rate that will be used for your proposal.

- **Research** - all research and development activities that are sponsored by State, Federal and non-Federal agencies and organizations. This includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. [Source: 2 CFR Appendix III to Part 200]. Furthermore:
  - "Research" is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied.
  - "Development" is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes
    [Source: 2 CFR 200.1 "Research and Development (R&D)"]
- **Instruction -** sponsored instruction and training means specific instructional or training activity established by grant, contract, or cooperative agreement. Except for research training [see above], this term includes all teaching and training activities, whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through regular

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academic departments or separate divisions, such as a summer school division or an extension division. [Source: 2 CFR Appendix III to Part 200]

- **Other Sponsored Programs -** programs and projects financed by State, Federal and non-Federal agencies and organizations that involve the performance of work other than Research or Instruction. Examples of such programs and projects are health service projects, community service programs and studies, technical assistance and service programs or experiment stations. [Source: 2 CFR Appendix III to Part 200]

Title

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 our Kuali system directly into PeopleSoft and SUMMIT, special characters and extra carriage returns create significant issues with reporting.

Sponsor

If sponsor is not available for selection in Kuali PD, 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.

The sponsor may be added by typing the sponsor name directly in the Sponsor field and selecting from the options that populate. Note the scroll bar on the right, use that to view all options that fit the typed in text.

Temporary Sponsor

If a sponsor does not exist in Kuali, you may use the temporary sponsor: CHANGEME
- Sponsor Number: CHANGEME
- Sponsor Name: Complete Preproposal form and update once Sponsor is setup in Kuali/PeopleSoft
  - If adding the temporary sponsor start typing 'changeme' in the Sponsor field to make your selection.

This sponsor should be used until the correct sponsor becomes available for selection in Kuali. Your proposal will not be able to be submitted for review and approval until the proposal has been updated with the new sponsor.

Requesting a New Sponsor

A new sponsor must be requested directly out of Kuali by submitting the New Sponsor form that launches from the Preproposal Forms section of Kuali PD.

See the Preproposal Forms section for more information.

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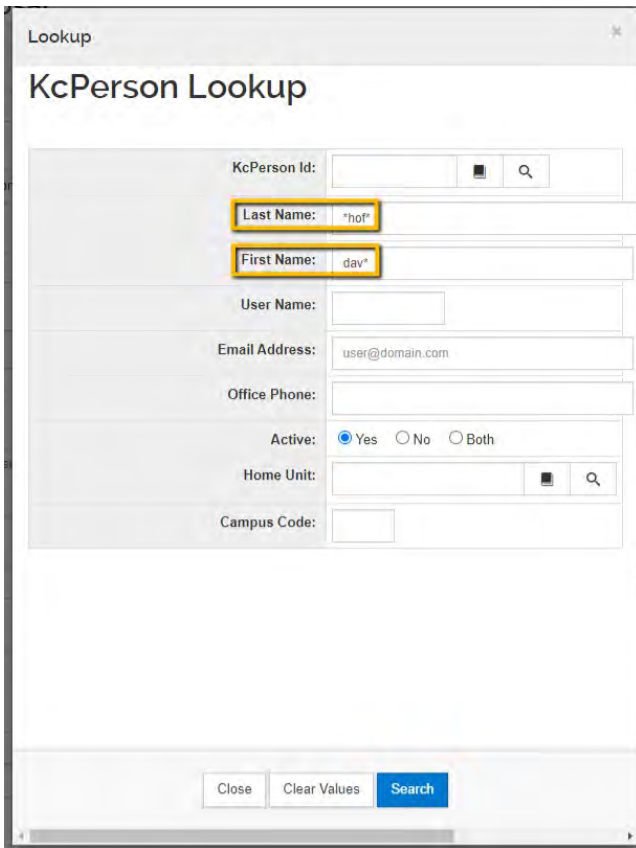
Add the PI

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.

Principal Investigator: * | DO NOT TYPE HERE

Here we are looking up a PI. Recall that in Kuali the Asterix (*) functions as a wildcard.
See how the * wildcard is used to aid a search:

Lookup

KcPerson Lookup

KcPerson Id:

Last Name: *hof*

First Name: dav*

User Name:

Email Address: user@domain.com

Office Phone:

Active: ● Yes ○ No ○ Both

Home Unit:

Campus Code:

Close   Clear Values   **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.

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Sponsor Deadline

Enter the deadline date, this is typically the due date specified on the proposal solicitation or otherwise defined by the sponsor. If there is no specific date, enter a reasonable date based on the proposal needs.

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 – Firm Date
- Internal/No Submission – Internal proposals or actions that are not being submitted to a sponsor
- Rolling Submission – No Specific Due Date
- Target – Due Date is a Window (submit within a specified timeframe)

Proposal Number Assigned

Once all fields are completed, click Save and Continue:

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Once saved a Proposal # is assigned and if you navigate to the dashboard, your new proposal will show in the Proposals not routing section until it is submitted.

Once a proposal is saved and a number assigned, a notification email is automatically sent to the PI, ORSP Preaward staff, as well as the aggregator. See Notifications from Kuali PD section for more information.

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Close the Proposal

IMPORTANT Step 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.
See the Proposal Locked for Editing section for additional information on those error messages.
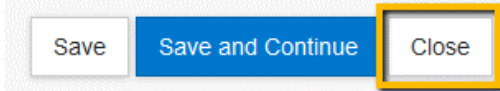
Basics

Once saved, Kuali 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 ORSP Preaward contact.

Navigate through each section to complete your proposal. The Save and Continue button brings you automatically to the next section.

Note – It is recommended to turn on Data Validations while you are entering a proposal, this will help ensure your proposal is complete and accurately captured. See the Data Validation section for more information.

Proposal Details

On the Proposal Details page, you will see the values entered previously have populated:
- Proposal Type, Activity Type, Dates, Title, and Sponsor.
- Keywords – We are not using these at this time, and this tab has been removed from the Summary/Submit section.

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Prime Sponsor

A Prime Sponsor is necessary for any situation where funding is flowed through another sponsor. For instance, an NSF award to Boston University (BU) where BU then issues a subaward to UMass Boston. In this situation when setting up the proposal in Kuali, NSF is the Prime Sponsor, BU is our sponsor, and UMass Boston is the Subawardee (see screenshot below).

Prime Sponsor
- Entity that is the original source of funding, captured when the terms of the primary award flow down to any subawardees, in the example above the prime sponsor is NSF.

Sponsor
- Sponsor or Direct Sponsor is the entity awarding the funds directly to the university, in the example above, the sponsor is Boston University.

Add the Prime Sponsor for flow through funding in the Prime Sponsor field. If the Prime Sponsor is not available, please follow the Requesting a New Sponsor process.

| Sponsor: * | 0000003013 | BOSTON UNIVERSITY | 🔍 |
| Prime Sponsor Code: | 0000003175 | NATIONAL SCIENCE FOUNDATION | 🔍 |

Delivery Info

Enter Delivery Info Details
- Note – Submission Account ID is to capture the funding source for proposal submission costs, this field is not typically needed for UMB proposal submissions, leave this field blank.

Delivery Info

Document was successfully saved. X

Submission By:	ORSP
Submission Type:	Sponsor Portal
Submission Account ID:	
Submission Name & Address:	Change Clear
Number of copies:	
Submission description:	Submission via Fastlane

Basics — Proposal Details, Delivery Info, Sponsor & Program Information, Organization and Location
Key Personnel
Questionnaire
Compliance
Attachments
Budget

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Submission By

Here you will capture who will submit the proposal to the sponsor. Most often this will be ORSP, however there are some instances where due to the relationships established with the sponsor or in instances where the sponsor submission mechanism calls for it, the submitter will be the one of the other options rather than ORSP. If you are unsure which option to select, please reach out to your preaward contact.

Submission By	Description
ORSP	Preaward contact
UMass Foundation	For Non-profit/Foundation Flow Through UMF
Unit	PI or Department/Center
University Advancement	UMass Boston University Advancement Related Proposals

Submission Description

Capture submission details here, examples include:

- Via Fastlane, Submit through Grants.gov, any special relevant guidance to the proposal that is not contained in the FOA (Funding Opportunity Announcement) or is helpful to ORSP.

Sponsor & Program Information

Here you enter sponsor deadline information, identify funding opportunity information and an NSF Cage Code. Complete all applicable fields.

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Notice of Opportunity

Select most appropriate notice of opportunity type from the dropdown. Note that if you select any of the federal Opportunity Types a federal sponsor should also be selected 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
Internal UMass	UMass Internal Solicitations
Foundation	Foundation Proposals
State (MA only)	MA State Agency Proposals

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Opportunity ID

Unique opportunity identifier from the sponsor, examples include:

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

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

Opportunity Title

Descriptive title, as required by agency and program proposal guidelines, otherwise leave blank.

Subawards Checkbox

If checked:

- Complete the Other Organizations section in Organizations and Locations, see the Other Organizations – Subrecipients/Collaborators section of this document for more information
- Uploaded required Subawardee Proposal Documentation in the Add Attachments section, see the Add Attachments section of this document for more information

Subawards are defined by the Uniform Guidance as:

An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

A subaward is for the purpose of carrying out a portion of a Federal award and creates a Federal assistance relationship with the subrecipient. Characteristics which support the classification of the non-Federal entity as a subrecipient include when the non-Federal entity:

(1) Determines who is eligible to receive what Federal assistance;
(2) Has its performance measured in relation to whether objectives of a Federal program were met;
(3) Has responsibility for programmatic decision-making;
(4) Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and
(5) In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

Sponsor Proposal ID

Sponsor's submission module identification number, e.g. NSF Temporary Proposal ID, or Assist Application ID

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Proposal aggregators should initiate their proposal in the sponsor proposal module and enter the associated proposal ID from the sponsor in this field.

NSF Science Code

Add the NSF Science Code categorization. This is required for all proposals, regardless of sponsor or activity type. This field is used for coding and reporting purposes.

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 proposals.

NSF Science Code	Description
A.01	Computer and Information Sciences: A.01
B.01	Aerospace, Aeronautical, and Astronautical Engineering - Engineering: B.01
B.02	Bioengineering and Biomedical Engineering - Engineering: B.02
B.03	Chemical Engineering - Engineering: B.03
B.04	Civil Engineering - Engineering: B.04
B.05	Electrical, Electronic, and Communications Engineering - Engineering: B.05
B.06	Industrial and Manufacturing Engineering - Engineering: B.06
B.07	Mechanical Engineering - Engineering: B.07
B.08	Metallurgical and Materials Engineering - Engineering: B.08
B.09	Other Engineering - Engineering: B.09
C.01	Atmospheric Science and Meteorology - Geosciences, Atmospheric, and Ocean Sciences: C.01
C.02	Geological and Earth Sciences - Geosciences, Atmospheric, and Ocean Sciences: C.02
C.03	Ocean Sciences and Marine Sciences - Geosciences, Atmospheric, and Ocean Sciences: C.03
C.04	Other Geosciences, Atmospheric and Ocean Sciences - Geosciences, Atmospheric, and Ocean Scienc
D.01	Agricultural Sciences - Life Sciences: D.01
D.02	Biological and Biomedical Sciences - Life Sciences: D.02
D.03	Health Sciences - Life Sciences: D.03
D.04	Natural Resources and Conservation - Life Sciences: D.04
D.05	Other Life Sciences - Life Sciences: D.05
E.01	Mathematics and Statistics: E.01
F.01	Astronomy and Astrophysics - Physical Sciences: F.01
F.02	Chemistry - Physical Sciences: F.02
F.03	Materials Science - Physical Sciences: F.03
F.04	Physics - Physical Sciences: F.04
F.05	Other Physical Sciences - Physical Sciences: F.05
G.01	Psychology: G.01
H.01	Anthropology - Social Sciences: H.01
H.02	Economics - Social Sciences: H.02
H.03	Political Science and Government - Social Sciences: H.03

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H.04   Sociology, Demography, and Population Studies - Social Sciences: H.04

H.05   Other Social Sciences - Social Sciences: H.05

I.01   Other Sciences: I.01

J.03   Education - Non-S&E Fields: J.03

J.05   Law - Non-S&E Fields: J.05

J.04   Humanities - Non-S&E Fields: J.04

J.07   Visual and Performing Arts - Non-S&E Fields: J.07

J.01   Business Management and Business Administration - Non-S&E Fields: J.01

J.02   Communication and Communications Technologies - Non-S&E Fields: J.02

J.06   Social Work - Non-S&E Fields: J.06

J.08   Other Non-S&E Fields - Non-S&E Fields: J.08

NSF Science Code Examples

EXAMPLES OF DISCIPLINES UNDER EACH R&D FIELD

A. Computer and Information Sciences

Artificial intelligence
Computer and information technology administration and management
Computer science

Computer software and media applications
Computer systems analysis
Computer systems networking and telecommunications

Data processing
Information sciences, studies
Information technology

B. Engineering

1. Aerospace, Aeronautical, and Astronautical Engineering
Aerodynamics
Aerospace engineering
Space technology

2. Bioengineering and Biomedical Engineering
Biological and biosystems engineering
Biomaterials engineering
Biomedical technology
Medical engineering

3. Chemical Engineering
Biochemical engineering
Chemical and biomolecular engineering
Engineering chemistry
Paper science
Petroleum refining process
Polymer, plastics engineering

4. Civil Engineering
Architectural engineering
Construction engineering
Engineering management, administration
Environmental, environmental health engineering
Geotechnical and geoenvironmental engineering
Sanitary engineering
Structural engineering
Surveying engineering
Transportation and highway engineering
Water resources engineering

5. Electrical, Electronic, and Communications Engineering
Communications engineering
Computer engineering
Computer hardware engineering
Computer software engineering
Electrical and electronics engineering
Laser and optical engineering
Power
Telecommunications engineering

6. Industrial and Manufacturing Engineering
Industrial engineering
Manufacturing engineering
Operations research
Systems engineering

7. Mechanical Engineering
Electromechanical engineering
Mechatronics, robotics, and automation engineering

8. Metallurgical and Materials Engineering
Ceramic sciences and engineering
Geophysical, geological engineering
Materials engineering
Metallurgical engineering
Mining and mineral engineering
Textile sciences and engineering
Welding

9. Other Engineering
Agricultural engineering
Engineering design
Engineering mechanics, physics, and science
Engineering physics
Engineering science
Forest engineering
Nanotechnology
Naval architecture and marine engineering
Nuclear engineering
Ocean engineering
Petroleum engineering

Other engineering fields that cannot be classified using the fields listed above

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C. Geosciences, Atmospheric Sciences, and Ocean Sciences

1. Atmospheric Science and Meteorology

Aeronomy
Atmospheric chemistry and climatology
Atmospheric physics and dynamics
Extraterrestrial atmospheres
Meteorology
Solar
Weather modification

2. Geological and Earth Sciences

Earth and planetary sciences
Geochemistry
Geodesy and gravity
Geology
Geomagnetism
Geophysics and seismology
Hydrology and water resources
Minerology and petrology
Paleomagnetism
Paleontology
Physical geography
Stratigraphy and sedimentation
Surveying

3. Ocean Sciences and Marine Sciences

Biological oceanography
Geological oceanography
Marine biology
Marine oceanography
Marine sciences
Oceanography, chemical and physical

4. Other Geosciences, Atmospheric Sciences, and Ocean Sciences

Other fields that cannot be classified using the fields listed above

D. Life Sciences

1. Agricultural Sciences

Agricultural business and management
Agricultural chemistry
Agricultural engineering—report in Engineering
Agricultural production operations
Animal sciences
Applied horticulture and horticultural business services
Aquaculture
Food science and technology
International agriculture
Plant sciences
Soil sciences
Veterinary biomedical and clinical sciences
Veterinary medicine
Wood science

2. Biological and Biomedical Sciences

Allergies and immunology
Biochemistry, biophysics, and molecular biology
Biogeography
Biology and biomedical sciences, general

Biomathematics, bioinformatics, and computational biology
Biotechnology
Botany and plant biology
Cell, cellular biology, and anatomical sciences
Epidemiology, ecology and population biology
Foods, nutrition, and wellness studies
Genetics
Microbiological sciences and immunology
Molecular medicine
Neurobiology and neuroscience
Pharmacology and toxicology
Physiology, pathology and related sciences
Zoology, animal biology

3. Health Sciences

Advanced, graduate dentistry and oral sciences
Allied health and medical assisting services
Bioethics, medical ethics
Clinical medicine research
Clinical/medical laboratory science/research and allied professions

Communication disorders sciences and services
Dentistry
Dietetics and clinical nutrition services
Health and medical administrative services
Health, medical preparatory programs
Gerontology, health sciences
Kinesiology and exercise science
Medical clinical science, graduate medical studies
Medical illustration and informatics
Medicine
Mental health
Nursing
Optometry
Osteopathic medicine, osteopathy
Pharmacy, pharmaceutical sciences, and administration
Podiatric medicine, podiatry
Public health
Radiological science

Registered nursing, nursing administration, nursing research and clinical nursing
Rehabilitation and therapeutic professions
Zoology

4. Natural Resources and Conservation

Fishing and fisheries sciences and management
Forestry
Natural resources conservation and research
Natural resources management and policy
Renewable natural resources
Wildlife and wildlands science and management

5. Other Life Sciences

Other life sciences that cannot be classified using the fields listed above

E. Mathematics and Statistics

Applied mathematics

Mathematics

Statistics

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F. Physical Sciences

1. Astronomy and Astrophysics

Astronomy
Astrophysics
Planetary astronomy and science

2. Chemistry

(except Biochemistry—report in Biological and Biomedical Sciences)

Analytical chemistry
Chemical physics
Environmental chemistry
Forensic chemistry
Inorganic chemistry
Organic chemistry
Organo-metallic chemistry
Physical chemistry
Polymer chemistry
Theoretical chemistry

3. Materials Science

Materials chemistry
Materials science

4. Physics

Acoustics
Atomic, molecular physics
Condensed matter and materials physics
Elementary particle physics
Mathematical physics
Nuclear physics
Optics, optical sciences
Plasma, high-temperature physics
Theoretical physics

5. Other Physical Sciences

Other physical sciences that cannot be classified using the fields listed above

G. Psychology

Clinical psychology

Counseling and applied psychology

Human development

Research and experimental psychology

H. Social Sciences

1. Anthropology

Cultural anthropology
Medical anthropology
Physical and biological anthropology

2. Economics

Agricultural economics
Applied economics
Business development
Development economics and international development
Econometrics and quantitative economics
Industrial economics
International economics
Labor economics
Managerial economics
Natural resources economics
Public finance and fiscal policy

3. Political Science and Government

Comparative government
Government
Legal systems
Political economy
Political science
Political theory

4. Sociology, Demography, and Population Studies

Comparative and historical sociology
Complex organizations
Cultural and social structure
Demography and population studies
Group interactions
Rural sociology
Social problems and welfare theory
Sociology

5. Other Social Sciences

Archeology
Area, ethnic, cultural, gender, and group studies
Cartography
Criminal science and corrections
Criminology
Geography
Gerontology, social sciences
History and philosophy of science and technology
International relations and national security studies
Linguistics
Public policy analysis
Regional studies
Urban studies, affairs

I. Other Sciences

Use this category for R&D that involves at least one S&E field (rows A–H) if it is impossible to report multidisciplinary or interdisciplinary R&D expenditures in specific fields.

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J. Non-S&E Fields

1. Business Management and Business Administration
- Business administration
- Business management
- Business, managerial economics
- Management information systems and services
- Marketing management and research

2. Communication and Communications Technologies
- Communication and media studies
- Communications technologies
- Journalism
- Radio, television, and digital communication

3. Education
- Education administration and supervision
- Education research
- Teacher education, specific levels and methods
- Teaching fields

4. Humanities
- English language and literature, letters
- Foreign languages and literatures
- History
- Humanities, general
- Liberal arts and sciences
- Philosophy and religious studies
- Theology and religious vocations

5. Law
- Law
- Legal studies

6. Social Work
- (no specific examples)

7. Visual and Performing Arts
- Drama, theatre arts and stagecraft
- Film, video, and photographic arts
- Fine and studio arts
- Music

8. Other Non-S&E Fields
- Architecture
- City, urban, community and regional planning
- Family, consumer sciences and human sciences
- Landscape architecture
- Library science
- Military technology and applied science
- Parks, sports, recreation, leisure and fitness
- Public administration and public affairs
- Other non-S&E fields that cannot be classified using the fields listed above

Also, use this category for R&D that involves multiple non-S&E fields if it is impossible to report multidisciplinary or interdisciplinary R&D expenditures in specific fields.

Anticipated Award Type

Review announcement and select the most appropriate option from the dropdown menu (see descriptions below to aid your determinations).

Award Type	Description
Clinical Trial	An award for a research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.
Contract	Contracts (including direct or prime contracts and subcontracts) - Contracts are legal commitments in which a good or service is provided by your institution that benefits the sponsor. The sponsor specifies the deliverables and gains the rights to results.
Cooperative Agreement	Is used to enter into a relationship the principal purpose of which is to transfer anything of value to carry out a public purpose, and not to acquire property or services. It is distinguished from a grant in that it provides for substantial involvement of the sponsor in carrying out the activity.
Core Facilities Agreement	An agreement relating to services available from the university's Core Facilities
Equipment Grant	Grants where the purpose is to fund the purchase or fabrication of equipment
Fellowship	Fellowship awards fund students' travel and living expenses as they perform research, teaching, or service during their undergraduate and graduate years.

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Foreign Contract	Foreign contractor means a contractor or subcontractor organized or existing under the laws of a country other than the United States.
Grant	Includes all award agreements in which payments are received but no good or service other than periodic reporting is required in exchange.
IPA	An IPA (Intergovernmental Personnel Act) agreement is a temporary assignment of personnel between the Federal Government and the university
Membership	An agreement between the university and another entity that has entered into a membership arrangement with the university, typically includes pricing and terms and conditions.
Other Transaction Agreement	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
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
Subaward	Any sub received by UMB that is on a prime grant, federal/nonprofit. Subaward provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal grant award received by the pass-through entity
SubContract	Any sub received by UMB that is on a prime contract (not a grant). Subcontract means any contract, as defined in FAR subpart 2.1, entered into by a subcontractor to furnish supplies or services for performance of the prime contract or a subcontract
Task Order	A contract that does not procure or specify a firm quantity of services (other than a minimum or maximum quantity) and that provides for the issuance of orders for the performance of tasks during the period of the contract.
Training Grant	Grants where the purpose is to develop or enhance training opportunities for individuals

Agency Routing Identifier

Enter the agency routing identifier as required by agency and program proposal guidelines, otherwise leave blank

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Prev Grants.Gov Tracking ID
Enter the Previous Grants.gov Tracking ID as required by agency and program proposal guidelines, otherwise leave blank

ALN Assistance Listing Number
(Previously referred to as CFDA Number)
If identified within the funding announcement or solicitation the ALN can be added now, otherwise leave blank.

Note – 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

Enter the ALN and click Search at the bottom.

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Lookup

ALN Lookup

Assistance Listing Number:	47.049
ALN Program Title Name:	
ALN Maintenance Type Id:	
Active:	● Yes ○ No ○ Both

[Close] [Clear Values] [**Search**]

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]

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

Organization & Locations

Most sponsored program work will be performed on campus. If your proposal involves work performed offsite, you will capture that information here. You will also record any subrecipients on your proposal in this section.

See below for what should be included in each section.

Applicant Organization

Will always be UMB in this context

Performing Organization

The Performing Organization defaults to UMB, if the project effort will take place predominantly off campus (rare) add that organization here. This distinction will also guide the appropriate F&A rate that is assigned according to our negotiated agreement (see the ORSP PI Toolkit for more information).

On-Campus or Off-Campus
- The Performance Organization is typically going to be UMass Boston.
  - On-Campus – UMass Boston owned or rented facility.
- The performing organization is not a UMass Boston location
  - Off-Campus – enter that organization here (this should be rare).
- See ORSP Website for additional information regarding on and off campus designations.

Performance Site Location

The Performance Site Location is for instances where the project effort will take place predominately at a location that is not directly associated with an organization, like on the ocean. Otherwise, this section may be left blank.

Other Organizations – Subrecipients/Collaborators

Add organizations that will be Subrecipients or Collaborators in the Other Organizations section of Organizations & Locations.

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If adding a subrecipient, be sure to upload the following required documentation in the attachments section:
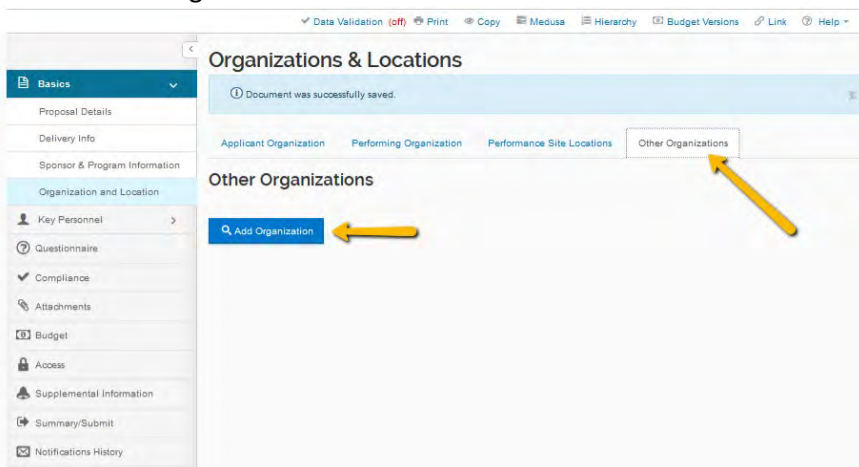
Subawardee Proposal Documentation
- Sub Commitment Form or Letter of Intent
- Subaward Detailed Budget
- Budget Justification Narrative
- Statement/Scope of Work
- Other Required Proposal Documentation

Note – Other Organizations do not flow through to other Kuali modules, often these details change by the time a proposal is awarded.

If you cannot find the organization you are looking for, submit a New Organization Request form. Those are launched from the Preproposal Forms section of Kuali PD.

Adding Organizations
Click the Add Organization button

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

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Lookup   ×

Organization Lookup

Organization Id:	■
Organization Name:	University of *
Address:	
Federal Employer Id:	
Congressional District:	
DUNS Number:	
DUNS Plus Four Number:	
UEI:	
Human Sub Assurance:	
CAGE Number:	
DODAC Number:	
Number Of Employees:	

Close   Clear Values   Search

Select the correct organization, 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.

Lookup

Organization Lookup

• One item retrieved.   ✕

Show 10 ▾ entries   csv xml xls

Organization Id	Organization Name	Address	Federal Employer Id	Congressional District	Contact Address Id	DUNS Number	DUNS Plus Four Number	UEI	Human Sub Assurance
☑ 00010156	UNIVERSITY OF MASS DARTMOUTH				100007				

Showing 1 to 1 of 1 entries   First Previous 1 Next Last

return selected

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Requesting a New Organization

A new organization must be requested directly out of Kuali by submitting the New Organization form that launches from the Preproposal Forms section of Kuali PD.

See the Preproposal Forms section for more information.

Key Personnel

Here you will add and manage the Key Personnel for your proposal. Note – Do not enter department contacts here. Some department personnel are already included in access granted to them at the Department ID level for Kuali PD. For other Kuali Research modules, department contacts are entered by ORSP once the proposal is funded.
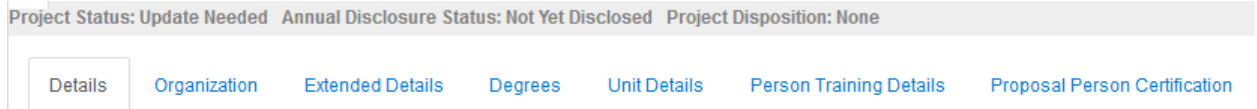
PIs and co-PIs on each proposal automatically have the ability to view and edit that proposal. See Access section for information on how to add additional individuals you wish to grant access to your proposal.

Note the Certification Incomplete and Project Status associated with each Key Person. These indicate if their Certifications are complete and if they have updated their Annual Disclosure status in Kuali Conflict of Interest. A notification can be sent to any or all investigators by clicking the blue notification buttons as seen below. Once a proposal is submitted into workflow approval routing the option to notify directly from here is no longer available.

Notifications are also sent from Kuali alerting PIs and co-PIs of the requirement to update the COI, see the Conflict of Interest section under Roles and Responsibilities in Kuali PD above for more information.

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Click the arrow next to the Key Person's name to view the subtabs.

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 |

Below is a quick reference of what is entered in each section for Key Personnel, screenshots and more details are listed in each subsection within this section.

- Details tab is where the NSF ID and eRA Commons User ID are captured
  - NIH Applications require an eRA commons ID for PIs
  - NSF Applications require an NSF ID for PIs and co-PIs
- Organization tab shows the home department and is where Effort is captured
- Unit Details tab is where the Key Person home Department is shown
  - Be sure to remove any department IDs that should not be associated with the proposal, any listed pulls additional approvers into the approval workflow routing.
  - You can add additional departments that should be in the workflow, this should be rare as most departments are drawn in as the home department for each key person added or are already included as the Lead Unit.
- Proposal Person Certifications can be viewed, and checkboxes completed here

Adding a Key Person

Click the Add Personnel button

Key Personnel
Search for and add key personnel

👤 Add Personnel

Basics
👤 Key Personnel
Personnel
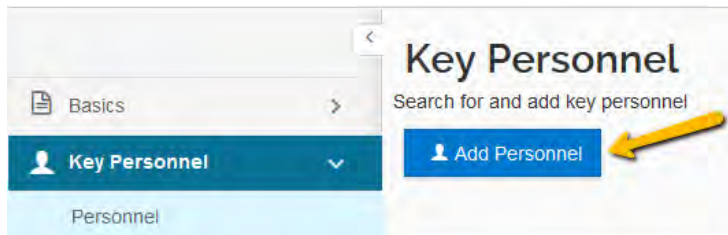
Select Employee, we are currently only adding UMB employees as Key Personnel. Search using the asterisk wildcard and click Continue.

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Add Personnel

Search for	⦿ Employee	
	○ Non Employee	
Last Name	Hof*	
First Name	Dav*	
User Name		
Email Address	user@domain.com	
Office Phone		
Home Unit		🔍
Campus Code		🔍

Continue...   Cancel

Select the correct person from the results and click Continue.

Add Personnel   ✕

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:
⦿	David Hoff	david.hoff	David.Hoff@umb.edu	B009900000	Institute Community Inclusion	Institute Community Inclusion	Boston
○	David Hoffmann	david.hoffman001	David.Hoffman001@umb.edu	K999999	Unknown	Unknown	Boston

Showing 1 to 2 of 2 entries

First | Previous | 1 | Next | Last

Continue...   Go back   Cancel

Select the appropriate role for the Key Person and click Add Person, then save.

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Add Personnel   ✕

Assign a role ←

Assign a role: *

⦿ PI/Multiple

◯ Co-Investigator

◯ Key Person

→ [Add Person] [Go back] Cancel

The workflow approval routing will be updated to include approvers from the co-PI's home department and the co-PI will be added as additional approver at the PI/co-PI level. ORSP suggests sending a notification to the PI and co-PI that the co-PI has been added to the proposal.

Details

Details tab is where the NSF ID and eRA Commons User ID are captured

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

Details

Proposal Person Role Id:	Principal Investigator		
Full Name:	Cynthia J Thomas	**User Name:**	cindy.thomas
First Name:	Cynthia	**Last Name:**	Thomas
Middle Name:	J	**eRA Commons User Name:**	
NSF ID:			

Organization – Effort

Effort is entered under the Organization tab. Be sure to add any required effort commitments here, this will come through and eventually be fed into the effort certification system ECC.

Effort

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

Unit Details

The Key Person's home department is populated here. If a person is associated with more than one department, you may see multiple departments listed. If the proposal is related to just one of those, you may delete the department that is not the lead. Any department listed here triggers the workflow approvals for that department. A person must always have at least one unit associated with their record, you cannot delete a unit if there is not already another unit present. See the Adding a Unit section below for information on how to add a unit.

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Adding a Unit

You may need to add a unit that is associated with an investigator but does not automatically pull in on their record. Click the Lookup/Add Multiple Lines link:
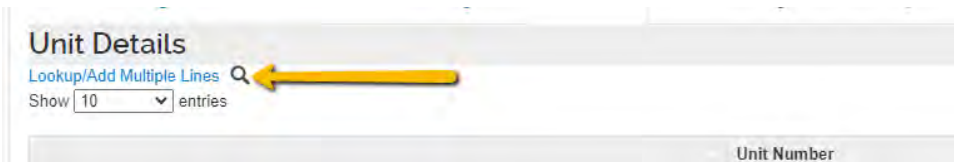
Once the correct unit has been added, you can then delete any unit that is not associated with this proposal.

Person Training Details

This shows the CITI training an individual has completed, if the individuals CITI profile has been linked to UMB

Certifications

Proposal Person Certifications can be viewed, and checkboxes completed here.
- Certifications must be completed by all PIs and co-PIs
- The Notify button sends an email with a link directly to a certification page
- Certifications must be completed prior to the PI and co-PI completing their approvals
  - PIs and co-PIs may complete their certifications during their approval step
- Key Personnel other than PIs and co-PIs do not need to certify
  - Do not turn on certifications for these Key Persons
- See the Summary and Submit section for more information

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Credit Allocation

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

- Approving a proposal also approves the F&A and Credit Allocation as captured. See Workflow Approvals section.
- Be sure to enter the correct F&A and Intellectual Credit percentages for each person.
  - Investigator totals must equal 100 for both F&A and Intellectual
- The Departments associated with each person must have 100 entered for each category.

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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 Kuali 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 Kuali 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

Complete each question in the Questionnaire. Click the i hyperlink for question explanations.

For sections that include additional information that is incomplete or not yet available, answer as best you can with as much detail as is currently known. All questions must be answered prior to submission for review.

Questionnaire Updates

When updates are made to the Questionnaire, a blue Update Available button will display on in process proposals. You may click the Update Available button to accept the updates. When you do, a pop-up window will display showing two options:
- Copy the answers:
  - Copies existing answers in your proposal questionnaire for any question that is unchanged.
- Do not copy the answers:
  - Clears all answers, questionnaire will be blank and all questions will need to be completed.

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Please make a selection

A newer version of this questionnaire has been published. An Update is required.

○ Copy the answers from the old version of questionnaire to the new one. Only questions that have been changed in the new version will have to be answered.

○ Do not copy answers from previous version of the questionnaire. Every question in the new version of the questionnaire will have to be answered.

Ok

Preproposal Forms

Preproposal Forms is where Build, Kuali's forms creator tool, is available to launch from Kuali PD.

- Forms currently available
  - New Sponsor Request Form
  - New Organization Request Form
  - F&A Waiver Form
  - Student Payment Budgeting Form
  - NSF Safe and Inclussive Work Environment (SIWE) Form

Navigate to Preproposal Forms and click + Add Form

Preproposal Forms

Build and file forms for use in this proposal.

+ Add Form

There are no preproposal forms defined for this proposal.   Add one now.

Select the form you need to complete from the options available to you, and you will be directed into Kuali Build to fill out the form.

Preproposal Forms as Attachments

The forms noted below have validation and attachment requirements as listed.

F&A Waiver Form

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- Form is required to be uploaded if Question 3 is Yes
- Upload to Attachments/Internal
- Select Attachment Type: Indirect Waiver Approval

NSF Safe and Inclussive Work Environment (SIWE) Form
- Form is required to be uploaded if NSF SIWE Question is Yes
- Upload to Attachments/Proposal
- Select Attachment Type: SupplementaryDocumentation

Compliance

Here is where you capture compliance related Protocol details (IRB/IACUC) by clicking Add Compliance Entry. Use the Comments to quantify the Human Subject involvement. If you have a compliance identifier from an entry in Kuali Protocols, include that information here as well.

Add Proposal to Protocol

Once you have initiated your proposal, be sure to update your protocol information with the proposal number. See the Kuali IRB User Manual linked on the ORSP website under Research Committees, Applying to the IRB.

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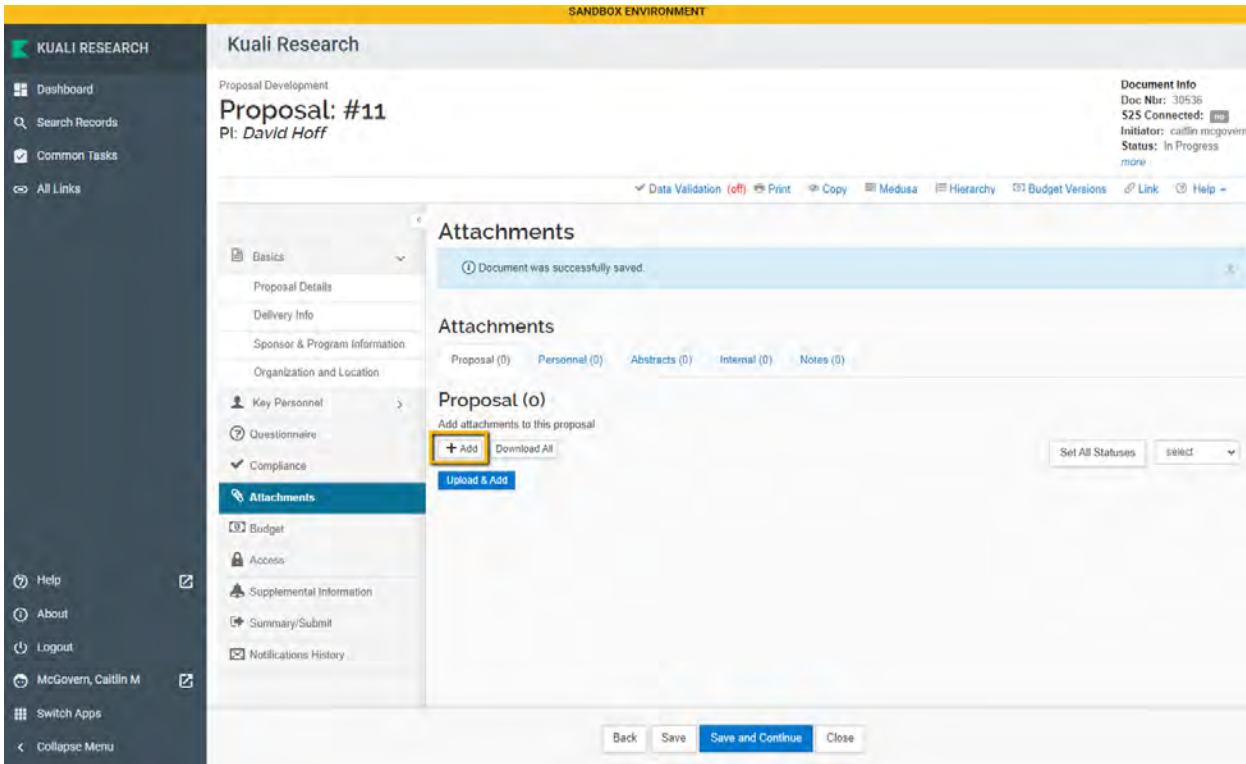P 617.287.5370 | www.umb.edu/ORSP

Add Attachments

Add attachments as needed for each area, click the +Add button for single attachment uploading, the Upload & Add button for uploading multiple attachments at a time, or you may simply drag and drop attachments.

Complete the attachment details, choose the file, and save.

> Note – files with spaces instead of underscores may create warning messages. Be sure to follow any file naming convention requirements as defined by agency and program proposal guidelines.

- Proposal – Application/Proposal attachments, as required by agency and program proposal guidelines
  - Subaward budgets are attached here (ORSP budgets are attached in the Internal section)
- Personnel – These attachments are specific to the proposal personnel
  - Examples include biosketch and current & pending support
- Abstracts – This is for system to system (S2S) which is part of our Phase II rollout
  - We are not using this section at this time
- Internal – UMB required proposal attachments and approval documentation such as:
  - Indirect Cost Waiver Form for PD (F&A Waiver)
    - Required if Questionnaire Question 3 is Yes
    - Launches from Preproposal Forms section of Kuali PD
    - Upload to Attachments/Internal
    - Attachment Type: Indirect Waiver Approval
  - NSF Safe and Inclussive Work Environment (SIWE) Form
    - Required to be uploaded if NSF SIWE Question is Yes
    - Upload to Attachments/Proposal
    - Attachment Type: SupplementaryDocumentation
  - Cost Share Approval Form
    - Required if Questionnaire Question 1 is Yes
    - Upload to Attachments/Internal
    - Attachment Type: Cost Share Request Form
  - ORSP Budget Workbook
    - Required attachment for most proposals
    - Upload to Attachments/Internal
    - Attachment Type: ORSP Budget Workbook
    - Awards that will have multiple projects; attach multiple ORSP Budget Workbooks, be sure to identify the purpose for each in the description.
    - Note - Participant support costs should always be tracked in a separate project
  - Subawardee Proposal Documentation
    - Subrecipient Commitment Form or the Letter of Intent (for FDP organizations)
    - Subaward Detailed Budget
    - Budget Justification Narrative
    - Statement/Scope of Work
    - Other Required Proposal Documentation
    - See the Subawards Checkbox section for more information
- Notes – Users should leave this blank, we are not using Notes on the Attachments

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Attachment Statuses

Attachments have statuses to indicate if they are complete or still in process (incomplete). All attachments must be completed in line with our staggered proposal deadline process.
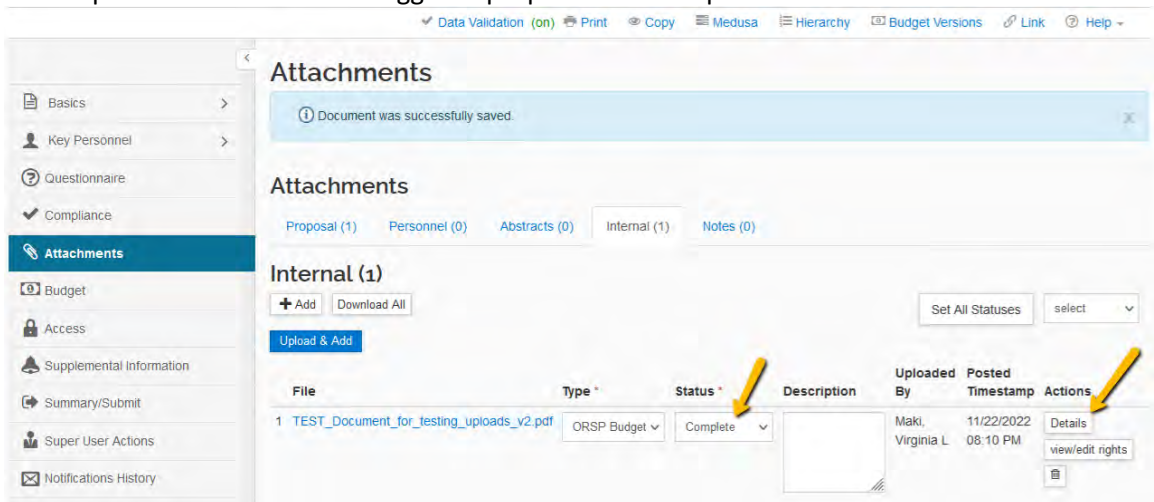
Attachments – Staggered Deadline

Until a proposal has had final review and approval by ORSP, certain existing attachments in Kuali PD may be updated during the approval process without triggering the need to resubmit, see Attachment Matrix for

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Staggered Deadlines section below. New attachments cannot be added once a proposal has been submitted into workflow approval routing.

All attachments **MUST** be set to **Complete** status **prior** to ORSP **Final Approval**.

Attachments – Updating Files

To update an attachment file that has been uploaded, click the details button.
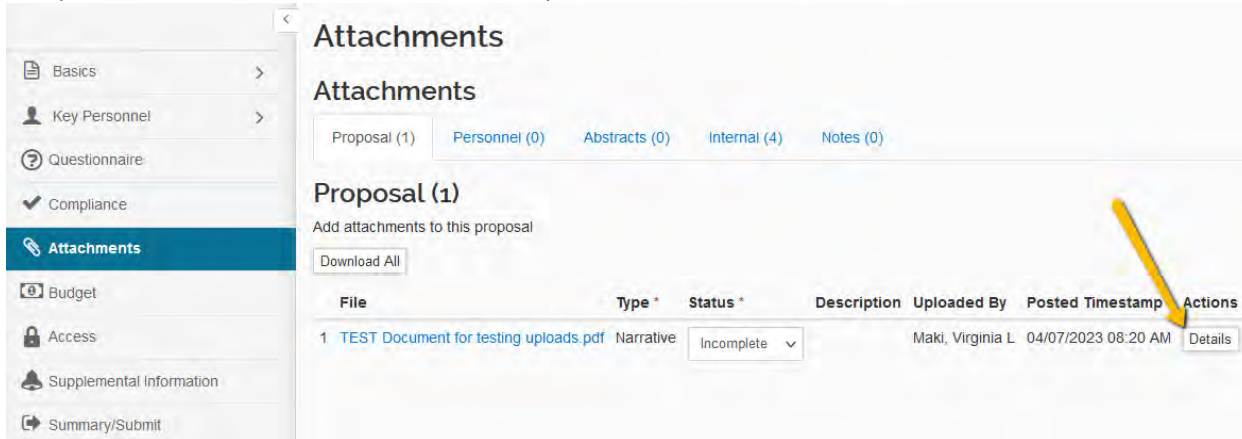
Click the Browse button to upload the new attachment file, then save.
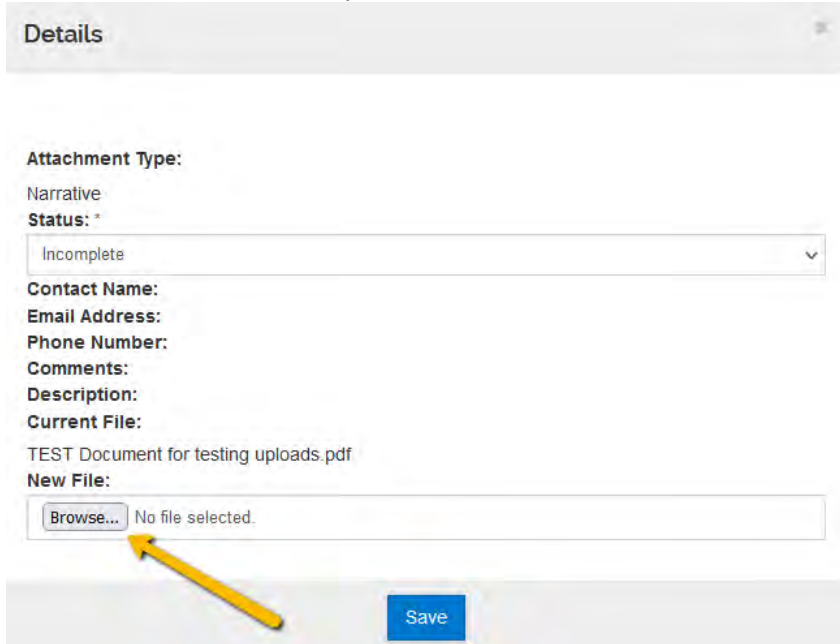
Attachment Matrix for Staggered Deadlines

Attachment Tab	Attachment Label	Attachment Status	
Proposal		Initial ORSP Review	Final ORSP

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			Review
	Narrative	Complete / Incomplete	Complete
	Equipment	Complete	Complete
	Bibliography	Complete / Incomplete	Complete
	ProjectSummary	Complete / Incomplete	Complete
	BudgetJustification	Complete	Complete
	Other	Complete	Complete
	Facilities	Complete	Complete
	NSF Data Management Plan	Complete	Complete
	TableofContents	Complete / Incomplete	Complete
	Budget_Justification_10YR_Fed_NonFed	Complete	Complete
	Supplementary_Documentation	Complete	Complete
	PHS_ResPlan_BackgroundSignificance	Complete	Complete
	PHS_ResPlan_ResearchDesignMethods	Complete	Complete
	PHS_ResearchPlan_DataAndSafetyMonitoringPlan	Complete	Complete
	PHS_Certification_Explanation	Complete	Complete
	ED_CertificationDebarment	Complete	Complete
	Subaward Budget* (attach subaward budgets to "*Subawardee Proposal Documents*")	N/A	N/A
Personnel			
	Biosketch	Complete / Incomplete	Complete
	Budget Details	Complete	Complete
	Current Pending	Complete	Complete
	NSF Collaborator	Complete	Complete
	Other	Complete	Complete
	Statement of Commitment	Complete	Complete
Internal			
	ORSP Budget Workbook	Complete	Complete
	Subawardee Proposal Documentation* • Sub Commitment Form or Letter of Intent • Subaward Detailed Budget • Budget Justification Narrative • Statement/Scope of Work • Other Required Proposal Documentation	Complete	Complete
	Cost Share Request Form	Complete	Complete
	Indirect Waiver Approval	Complete	Complete
	Fabricated Equipment Approval Form	Complete	Complete

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Updated Proposal Attachment Notification

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.

Budget

Click the +Add Budget button

Enter a Budget Name (this is a required field).
Click the Start a summary budget radio button – UMB will only be adding summary budgets at this stage.
Modular Budget Yes or No – We are not using this functionality at this time, select **No** (this is a required field).
Click Create Budget

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Create a Budget Version

Proposal:
14
Budget Name: *

Test budget name

Would you like to create a detailed budget or enter a summary only?: *
○ Start a detailed budget
◉ Start a summary budget
Will this be a modular budget?: *
○ Yes ◉ No

[Create Budget] [Cancel]

Fields with dashed underlines may be edited.

Proposal #11 > Budget #1

Budget #1: Test Budget Name

Marked For Submission: No
Created: 08/10/2022
Proposal: #11
more...

✔ Data Validation (off) ⚙ Budget Settings ☰ Hierarchy 👁 Summary 💬 Budget Versions ❧ Autocalculate Periods ⑦ Help –

« Return to proposal

↓₹ Periods & Totals

🔔 Institutional Commitments ›

📋 Budget Summary

Periods & Totals

[Recalculate with changes] [Reset to period defaults]

+ Add Budget Period

Period Start Date ⌃	Period End Date ⌃	Months	Total Sponsor Cost ⌃	Direct Cost ⌃	F&A Cost ⌃	Unrecovered F&A ⌃	Cost Sharing ⌃	Cost Limit ⌃	Direct Cost Limit ⌃	Actions
09/01/2022	08/31/2023	12.0	0.00	0.00	0.00	0.00	0.00	0.00	0.00	🗑
	Total: 12.00		0.00 Total: 0.00	Total: 0.00	Total: 0.00	0.00 Total:		Total: 0.00	Total: 0.00	Total: 0.00

Enter at least the Direct and F&A Costs, if your proposal involves Cost Sharing or Unrecovered F&A, add those totals here as well. Cost Share and Unrecovered F&A must be allocated in a future step, see the Institutional Commitments sections.

See ORSP Website, Research Policies for:
- Cost Sharing
- Facilities and Administration (F&A) Rate Policy for grants and contract proposals to external sponsors

Cost Limits - leave these blank.

Budget periods are automatically added for multi-year proposals. If needed, you may create additional budget periods by clicking the +Add Budget Period button and you may adjust the Budget Period dates as long as the total period of performance is accounted for and there is no overlap.

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Periods & Totals

[Recalculate with changes] [Reset to period defaults]

➕ Add Budget Period

Period Start Date *	Period End Date *	Months	Total Sponsor Cost	Direct Cost	F&A Cost	Unrecovered F&A	Cost Sharing	Cost Limit	Direct Cost Limit	Actions
09/01/2022	08/31/2023	12.0	0.00	90,909.00	9,091.00	0.00	0.00	0.00	0.00	🗑
		Total: 12.00	Total: 0.00	Total: 90,909.00	Total: 9,091.00	Total: 0.00	Total: 0.00	Total: 0.00	Total: 0.00	

Click Recalculate and the Total Sponsor Cost will populate

Periods & Totals

[Recalculate with changes] [Reset to period defaults]

➕ Add Budget Period

Period Start Date *	Period End Date *	Months	Total Sponsor Cost	Direct Cost	F&A Cost	Unrecovered F&A	Cost Sharing	Cost Limit	Direct Cost Limit	Actions
09/01/2022	08/31/2023	12.0	100,000.00	90,909.00	9,091.00	0.00	0.00	0.00	0.00	🗑
		Total: 12.00	Total: 100,000.00	Total: 90,909.00	Total: 9,091.00	Total: 0.00	Total: 0.00	Total: 0.00	Total: 0.00	

Navigate to Budget Summary, review and save, or if ready click the Complete Budget button.

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Cost Share

If your proposal has cost share, you must add the cost share to the budget and allocate that cost share to the source (ST and Dept ID). As noted previously, upload the Cost Share form in the Add Attachments section.

Below is where the Cost Share amount is added to the budget:

Unrecovered F&A

Unrecovered F&A (indirect costs) is the difference between the amount charged to the award for F&A and the amount which could have been charged to the award under our approved negotiated indirect cost rate. This amount is captured in the FY24 ORSP Budget Workbook. Add that to the Unrecovered F&A section seen next to Cost Share pictured above. Unrecovered F&A must be allocated, see the Institutional Commitments section.

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Institutional Commitments

Here is where you allocate the Cost Share and Unrecovered F&A

Allocating Cost Share

Note – do not use the lookup feature for the cost share source account, it is not tied to anything, you need to type in the ST or description.

- Source Account – Type in the SpeedType (ST) from the Cost Share approval form, if there is no ST due to the cost share type, ie in kind, type a short descriptor of the Cost Share – e.g. In Kind Space or Waived F&A.
- Unit Details – This would be the Department ID of the source account based on the ST being used for the Cost Share, or if it is In Kind Cost Share, use the Lead Dept ID Number.

Here is the Cost Share before completing the fields, this shows what to enter where-

Here is the Cost Share fully allocated-

Allocating Unrecovered F&A

Unrecovered F&A - If your proposal has a waived F&A Rate, complete these entries to allocate the Unrecovered F&A. Upload the Waived F&A form or documentation for sponsor limited F&A in the Add Attachments section.

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- Multiple lines will appear for on and off campus F&A rate, delete any lines that are not applicable to your proposal.
- Complete the Source Account information and Amounts for each line.
  - Source Account – either n/a or note cost share if using for the waived F&A for cost share.
  - Amounts – enter the amount for each budget period, total should match the unallocated amount at the bottom when completed, then once saved the unallocated amount will be $0.

NOTE – Fiscal Year MUST be entered as a full four digit number, example: 2024 (not 24)

Here is the Unrecovered F&A before deleting the unnecessary lines and adding the allocation-

Here is the Unrecovered F&A fully allocated-

Budget Summary

The budget summary shows you the budget as you have entered it, if everything looks correct, complete the budget. This is a multi-period budget:

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Budget Summary

	P1 (01/01/2023 - 12/31/2023)	P2 (01/01/2024 - 12/31/2024)	Totals
Non-personnel			
Calculated Direct Costs	$0.00	$0.00	$0.00
Non-personnel Subtotal	$0.00	$0.00	$0.00
Totals			
Total Direct Cost	$50,000.00	$50,000.00	$100,000.00
Total F&A Costs	$0.00	$0.00	$0.00
Totals Subtotal	$50,000.00	$50,000.00	$100,000.00

Sidebar:
- « Return to proposal
- Periods & Totals
- Institutional Commitments ⌄
- Budget Summary

Buttons: Back | Save | Complete Budget | Close

Complete the Budget

Check the checkbox if the budget is complete, then click OK

Is this budget complete? ×

☑ Is this budget ready to be submitted to the sponsor?

Cancel | OK

1 budget must be complete and marked as Submit to Sponsor prior to submitting the proposal into approval routing.

> Note – Once you complete the budget clicking Close at the bottom of the page will close your proposal and send you back to the Dashboard. Alternatively, you can follow the breadcrumbs at the top of the page to navigate back to the proposal or click the Return to proposal button above Periods & Totals.

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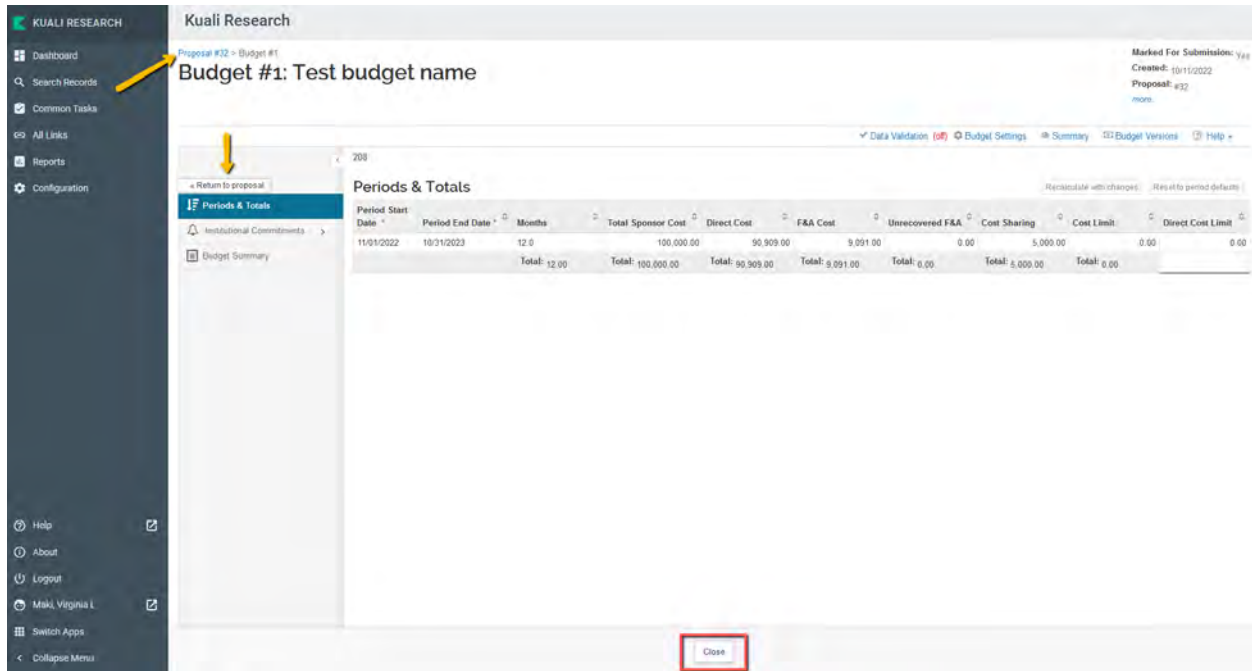
Here is a budget that is set to status Complete and is marked for submission to the sponsor:

Editing a Completed Budget

You can edit a budget that has been marked as complete and submit to sponsor. To do so, you need to uncheck the submit to sponsor and mark the budget as incomplete. It will then be available to edit.

Under Actions, select Remove from Submission:
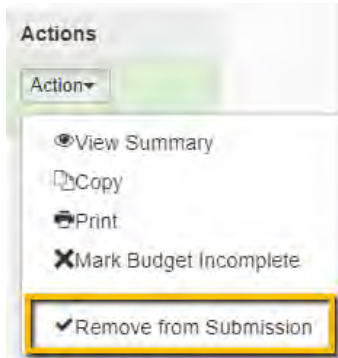
Then under Actions again, select Mark Budget Incomplete:

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You will see a confirmation message appear, click OK
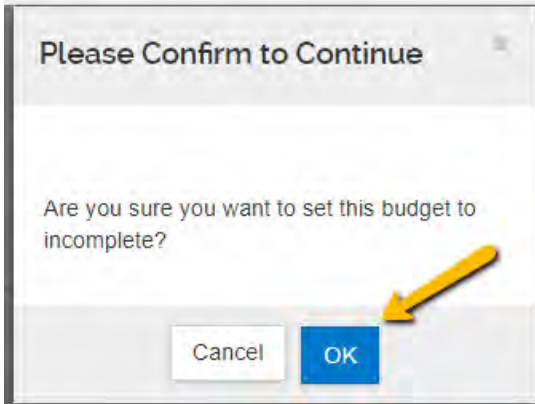
You can now click into the budget to make any changes necessary. Be sure to mark the budget complete and submit to sponsor when you are done.

Extra Budgets

Only 1 budget may be marked as Include for Submission and there is no delete option for budgets once they are created.

If you create a budget in Kuali Proposal Development that you do not need, only mark one as complete and include for submission. It is OK to have multiple incomplete budgets, the only one that will show for proposal approvers is the one marked complete and included for submission to sponsor.

Access

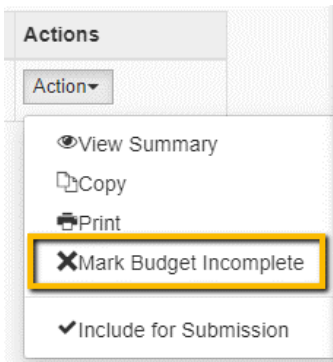Here you may add additional editors/viewers to your proposal. Need for this should be rare as individuals will be added as PIs or co-PIs, are already included in access granted to them at the Department ID level, and ORSP automatically has access.

> Note – Only key personnel will carry over into IP and Awards

Click the Add User button, search and select the person you would like to add to your proposal.

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Permissions

ⓘ Document was successfully saved.

👤 Add User

User Name	Roles	Actions
admin	Aggregator Document Level	Edit Delete

Identify what role is most appropriate for this proposal and your needs.
See Kauli Zendesk for information on the different roles that can be assigned via the Access section.
https://kuali-research.zendesk.com/hc/en-us/articles/115011806167-Proposal-Access-Tab-Roles

Add Permission

Assign a role

☐ Aggregator Only Document Level
☐ Budget Creator Only Document Level
☐ Viewer Document Level
☐ Budget Creator Document Level
☐ Narrative Writer Document Level
☐ Aggregator Document Level

Add Permission   Go back   Cancel

Supplemental Information

The Supplemental Information section is a customizable area where UMass Boston can capture details that are needed for any additional information or reporting and categorizing of proposals that is not otherwise addressed in Kuali's delivered functionality.

There are tabs within this section for the following areas:
- UMB Central Business Unit
- University Advancement - UA
- PI and co-PI Responsibilities

UMB Central Business Unit
Answer this yes if the CBU assisted you with this proposal. Answer no if they did not.

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University Advancement - UA

University Advancement (UA) is the division of the university responsible for soliciting, processing, acknowledging, accounting for, and reporting philanthropic support in the form of gifts to the university from individuals, corporations, foundations, and other private sector sources. UA invests and protects these gifts until the university needs them, maintains the university's central records for private donors and their contributions, and provides services for identifying and researching current and prospective donors. In accordance with IRS regulations and good donor relations, UA acknowledges all gifts in writing. The professional staff of UA coordinates all gift solicitations. See the ORSP website, Research Policies, Grants vs. Gifts for more information.

Definition of a Gift

Gift (or donation)—a gift is a voluntary transfer of money, property (e.g., equipment), or other assets (e.g., personnel time and skill) made with donative intent and without any expectation of or receipt of direct economic benefit or any other tangible compensation (i.e., goods and services) from the university. There is no quid pro quo that is commensurate with the worth of the gift, and the donor does not participate in determining how the gift is used. The gift may, however, be restricted to broadly defined activities or a specific program area or purpose (e.g., fund a scholarship, endow a professorship, establish a research center, construct a building). The recipient of the gift is responsible for using the funds received through the gift for the general purposes specified by the donor.

The following questions in the Supplemental Info area of Kuali PD are intended to capture UA's involvement in the proposal and if the proposal is funded, whether that funding is expected to be in the form of a gift.

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Supplemental Info

UMB Central Business Unit | University Advancement - UA | PI and co-PI Responsibilities

University Advancement - UA

Is this an opportunity UA provided or identified for you?:
○ Yes ◉ No

Is UA involved in proposal writing or development process?:
○ Yes ◉ No

Once funded, is the award expected to be a gift?:
○ Yes ◉ No

Sidebar navigation:
- Basics
- Key Personnel
- Questionnaire
- Compliance
- Attachments
- Budget
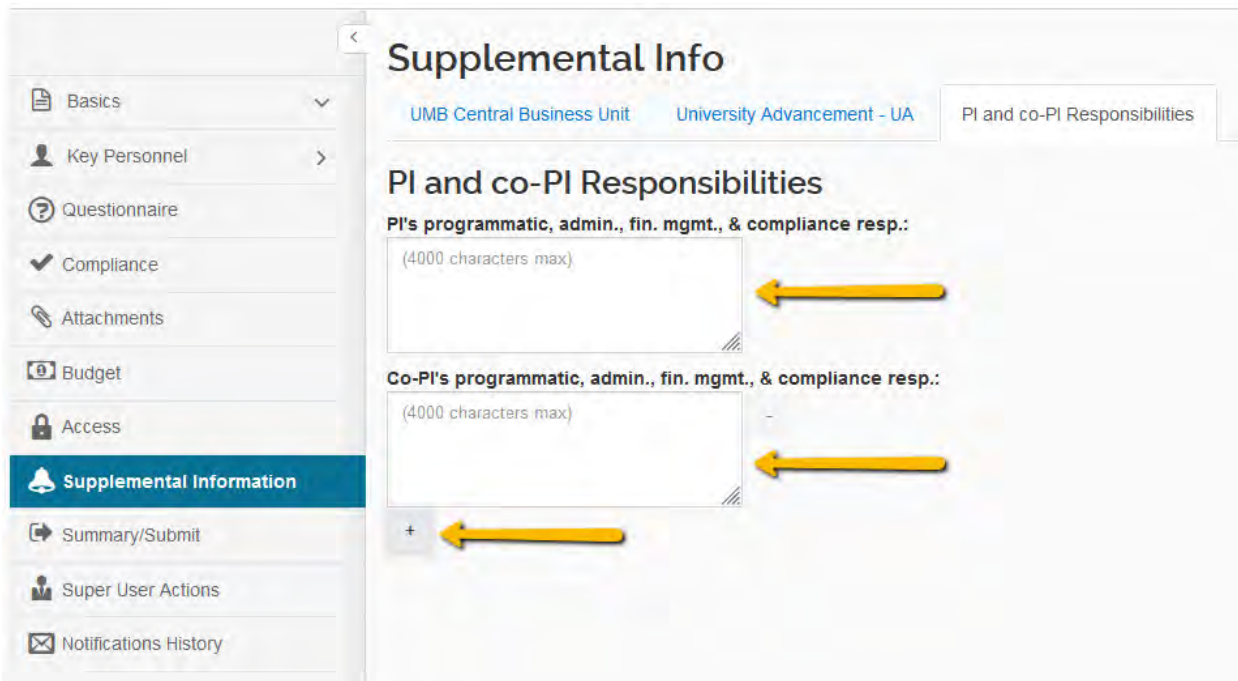- Access
- **Supplemental Information**

PI and co-PI Responsibilities

Here is where you will capture the 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.

Text boxes will be present, one for the PI and one each for all co-PIs. Click the + sign to add additional text boxes as needed for multiple co-PIs. Include at least the following information and anything else needed for this proposal. Text: Specify the programmatic, administrative, financial management, and compliance responsibilities that the PI and each co-PI will be assigned.

- o In the co-PI text box, be sure to include the co-PI name to differentiate responsibilities between multiple co-PIs.
- Investigator approval of a proposal also approves the Supplemental Information detailing the understanding of the roles and responsibilities for the PI and co-PI(s). See the Approval and Credit Allocation sections.

Please note that there is an overall character limit of 4,000 characters for the whole page, not each individual text box, if you are having trouble saving you may have run up against that character limit.

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Summary/Submit

Once your proposal is complete, you can submit it for review. This kicks off Data Validations (if they were not turned on manually) and the Approver Workflow. All proposal details are captured in the Summary/Submit section, navigate through each tab to verify everything is captured correctly prior to submitting for review.
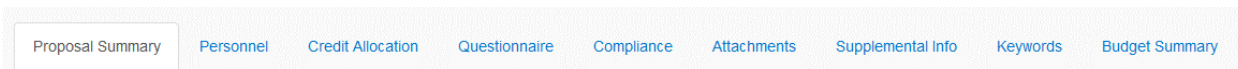
The PI and any co-PIs may complete their certifications during their review and approval step, see the Certifications and Approver Guide sections for more information.

Zendesk article on the Summary and Submit Section
https://kuali-research.zendesk.com/hc/en-us/articles/115015653868-Proposal-Summary-Submit

Cancelling or Deleting a Proposal

Cancelling and Deleting options (if available based on your permissions). Once a proposal is submitted for review in the workflow the delete button is no longer available. Once deleted, a proposal is gone and cannot be recovered. Canceled proposals may be recovered.

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Once you have doubled checked your proposal by reviewing all the details in the tabs within the Summary and Submit section, click the Submit for Review button.

Data Validation

Kuali has a data validation process that will run automatically when you submit a proposal for review. Data validation may also be conducted at any point by clicking the Data Validation link in the top navigation bar.
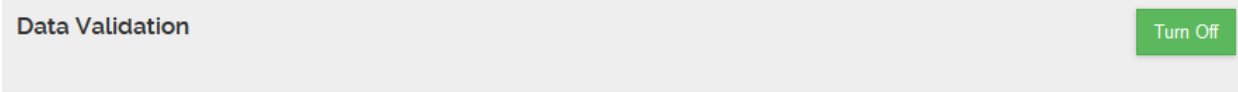
Consider turning this on early in your proposal entry process to help guide you in creating a complete proposal.

Click the Turn On button

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Data Validation - Errors

You may see messages like this:

Area	Section	Description	Severity	Actions
Error				
Budget		The budget is incomplete. Please update the status.	Error	Fix It
Questionnaire	Proposal Questions	You must complete the questionnaire "Proposal Questions"	Error	Fix It

This is showing that the budget status is incomplete, and that questionnaire must be completed.

Click the Fix It links to navigate directly to the areas where there are errors and take whatever action is needed to correct the error, then resubmit.
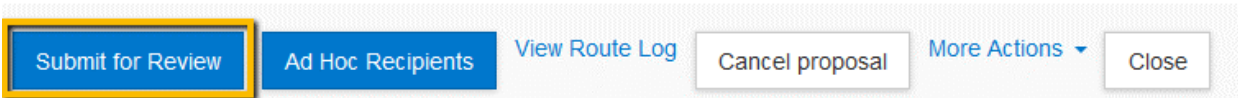
Data Validation - Warnings

You may see a warning messages, warnings will not stop a proposal from moving forward. Take any corrective action you can to ensure your proposal is as complete as possible and continue.

> Note – files with spaces instead of underscores may create warning messages. Be sure to follow any file naming convention requirements as defined by agency and program proposal guidelines

Warnings				
Delivery Info	N/A	Please complete Submission By field	Warnings	Fix It
Sponsor & Program Info	N/A	If applicable, please complete NSF Science Code field.	Warnings	Fix It

Workflow Approvals

Submit for Review kicks off Workflow Approvals. 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.

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Future Approval Requests

Once you submit for review, you may see a message asking if you want to receive future approval requests. If you as the submitter also appear in a future workflow stop - clicking yes will require you to approve again at that future stop, whereas, clicking no will save your approval and you will not need to approve again.

Please Select ✕

Do you want to receive future approval requests?

No | Yes

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:

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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.

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

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▶show   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.

▼ hide   PENDING   Hoff, David
         APPROVE

Node	PeopleFlows
Priority	100
Approval Policy	Single Approval Required
Forced Action	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, as noted previously, they may opt to approve once for all steps they are responsible for.

Proposal State Definitions

Kuali Zendesk has an article that defines the different statuses for proposals:
https://kuali-research.zendesk.com/hc/en-us/articles/115015809848-Proposal-Proposal-States

The most common statuses are:
- In Progress – proposals in edit status, not yet submitted for approval
- Approval Pending – proposals that are in workflow approval routing
- Approved and Submitted – fully approved and submitted to the sponsor
- Approval Granted – fully approved, but not yet marked as submitted to the sponsor

Approval Granted – Your GCA contact in ORSP must click the Submit to Sponsor button once a proposal has been submitted to the sponsor for consideration. Once that action has been taken, an Institutional Proposal (IP) record is automatically created. If you are waiting on an award setup, and your proposal is in the Approval Granted status, reach out to your GCA to determine if there is a hold up for some reason. A proposal cannot progress through the system to become an award until this action has been taken.

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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 Kuali 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 and 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 your Proposals not routing tile in the Dashboard any may be edited.

Send Adhoc | Ad Hoc Recipients | View Route Log | Recall | More Actions ▾ | Close

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.

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

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

Submit to Sponsor

Submit to Sponsor is a specific process within Kuali PD that migrates a proposal from Kuali PD to Kuali IP, this function is completed by ORSP Preaward.

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Once a proposal is submitted to sponsor an Institutional Proposal is automatically created and the following message will appear at the top of the Summary/Submit page:
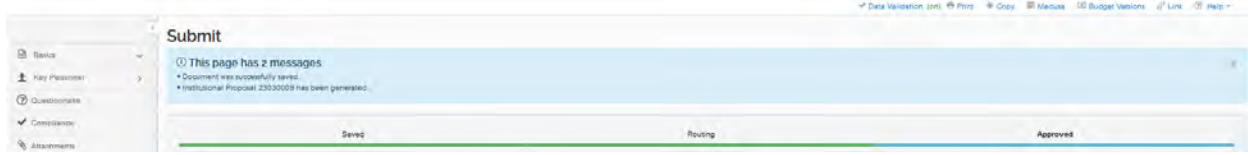
Notifications History

This is a listing of all notifications relating to the proposal that have been sent by the system.

Proposals Locked for Editing

It is very important to use the Close button when exiting a proposal you are viewing or editing. If you do not use the Close button, the proposal will be locked for editing and will not be accessible by other team members for updating. A proposal that has been locked for editing must be released by the owner of the lock or by a system administrator.

The error message may look like this:

This document is locked for editing by awdmodifier as of 02:04 PM on 08/01/2017.

This document currently has a 2170-PROPOSAL DEVELOPMENT lock owned by Chew, Inez as of 02:05 PM on 08/01/2017.

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To clear this error the lock owner can open the proposal and click the Close button at the bottom of the screen.
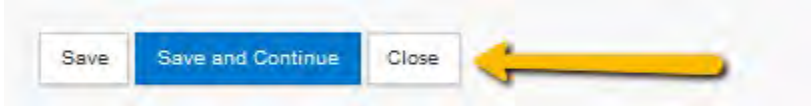
Also, once the proposal has been submitted for review, be sure to click the Close button to exit.

Zendesk for more information: https://kuali-research.zendesk.com/hc/en-us/articles/115011024127-Cross-Module-Pessimistic-Locking

Approver Views and Information

As aggregators, you may be asked about the approval process by the approvers you work with. The information below is a quick summary and view of what your approvers may see or encounter as part of their approval steps.

Please refer to the full Approver Guide for more details.

PI and co-PI Approving

PIs and co-PIs must be directed to fully review all details of their proposals, the tabs within the Summary/Submit section provide all the proposal details in one easy to view area. PIs and co-PIs should work with their proposal aggregator to make any needed changes, note that some changes require the proposal be returned or recalled, see the Return a Proposal and Recall a Proposal sections for more information.

PIs and co-PIs must also complete their certifications and update their COI, see the Certifications and Conflict of Interest sections.

PI and co-PI Approver View

This is what PIs and co-PIs see when they log in to approve.

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Kuali Research

Questionnaire		
Compliance		
Attachments		
Budget		
Access		
Supplemental Information		
Summary/Submit		
Notifications History		

Proposal Summary   Personnel   Credit Allocation   Questionnaire   Compliance   Attachments   Supplemental Info   Keywords

Budget Summary

Proposal Summary

Title	Testing a CSM Biology Proposal
Principal Investigator	Kourosh Zarringhalam
Lead Unit	B008300000 - Biology
Proposal Type	New
Activity Type	Research
Proposal Number	33
Project Start Date	01/01/2023
Project End Date	12/31/2024
Include Subaward(s)?	Yes
Sponsor Name	NATIONAL SCIENCE FOUNDATION
Prime Sponsor Name	
Sponsor Deadline Date	11/21/2022
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   More Actions ▾   Close

Data Validation Errors while Approving

Your PIs and co-PIs may see the message below when they click the approve button. Direct them to click the Data Validation link to view and correct the validation errors. For PIs and co-PIs this message will show if they have not completed their certifications. See the Data Validation and Certifications section for more information.

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

Saved   **Routing**   Approved

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

Here is view of the Data Validation error the PIs and co-PIs will see when they click the Data Validation link, clicking on the Fix It link brings the PI or co-PI to the certification page to certify. See the Data Validation and Certifications section for more information.

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Data Validation   [Turn Off]

Show [10 ▼] entries

Search: [   ]

| Area	Section	Description	Severity	Actions
Error				
Key Personnel		The Investigators are not all certified. Please certify Maryellen Jagelski.	Error	Fix It

Additional Approver Review

Once the PI and co-PIs have approved, the proposal will continue in the workflow routing. See the Workflow Approvals section for more information. The view for additional approvers is the same as what the PI and co-PI see when they approve.

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:

Proposals routing to me

You're up!   Proposal #53
Alternate   Due date: 12/1
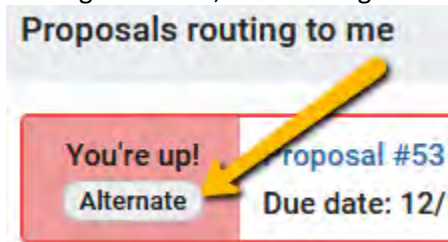
Approve Action

Approving once the proposal has been fully reviewed is easy, direct your approvers to click the approve button in the Summary/Submit section.

Note – it is extremely important that all approvers take the time to fully review all proposals prior to approving.

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UMass Boston

Saved		Routing	Approved

Proposal Summary

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

Proposal Summary

Title	Testing
Principal Investigator	David Hoff
Lead Unit	B009900000 - Institute Community Inclusion
Proposal Type	New
Activity Type	Research
Proposal Number	52
Project Start Date	11/01/2022
Project End Date	10/31/2023
Include Subaward(s)?	No
Sponsor Name	NATIONAL SCIENCE FOUNDATION
Prime Sponsor Name	
Sponsor Deadline Date	12/15/2022
Sponsor Deadline Type	Target - Due Date is a Window

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

Left sidebar navigation:
- Basics
- Key Personnel
- Questionnaire
- Compliance
- Attachments
- Budget
- Access
- Supplemental Information
- Summary/Submit
- Notifications History