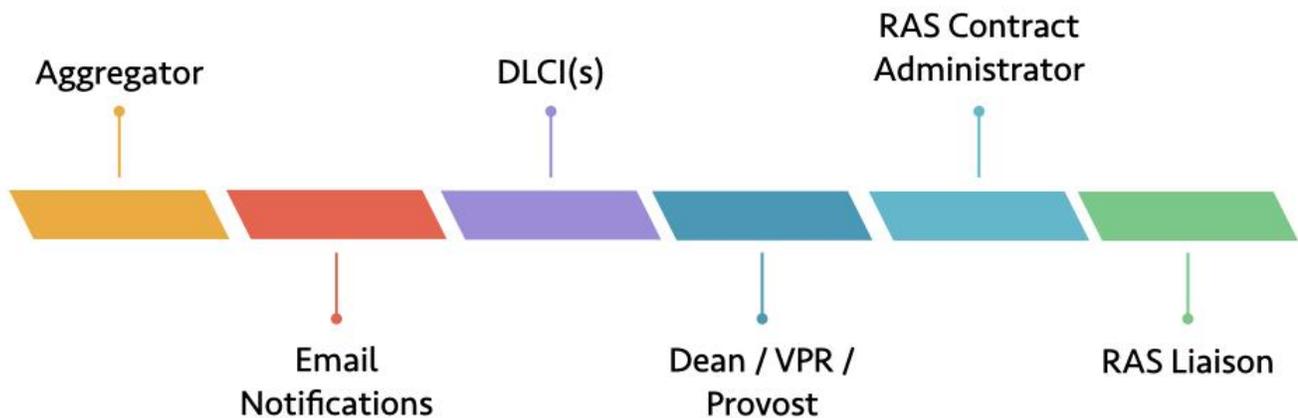


Overview

MIT proposals must be submitted in KC to route for internal approval by Departments, Labs, or Centers (DLCIs) for listed key personnel and, in many cases, the appropriate Dean’s Office, VP for Research, or Provost before being received by RAS for final review and submission to the sponsor.

Approval Routing Overview



Proposals route through the tiers outlined below in sequential order:

Role	Responsibilities
Aggregator	Submits final and complete proposal to route for review and approval.
DLCI Unit(s) [units for listed key personnel]	Reviews, advises, and approves proposal; Assures that project fits within academic framework and unit resources; Requests for new or renovated space, PI Status, and potential financial Conflict of Interest have been raised with appropriate people; Assures that commitments of DLCI resources, including funding for cost sharing or Under-recovery, will be met; Works with PI/Aggregator if waiver of 5-business-day is required and request from Dean/VPR/Provost.
Dean, VP for Research, Provost [based on routing policy]	Reviews, advises, and approves proposal; Reviews magnitude of annual budget costs, and assures that commitments and contributions for Under-recovery and Cost Sharing will be met by either the DLCI Unit or School/VPR/Provost; Identifies sponsors or activities outside of the U.S. and raises with appropriate people as needed; Approves PI Status for PI or Co-I who does not have PI status by virtue of his/her title; Grants waiver for 5-business-day internal deadline if required.
RAS Contract Administrator	Reviews complete proposal details, budget, and accompanying documents for compliance with federal regulations, solicitation guidelines, sponsor and MIT policies; Primary contact for DLCI throughout RAS proposal review and submission to sponsor;

[if credentialed for sponsor, will serve as RAS Sponsor Liaison]	Works with RAS Sponsor Liaison to identify and recommend changes for the PI and Aggregator to resolve issues that may cause the proposal to error when submitted. Works with DLCI to ensure proposal sent to Sponsor is reflected in Quali Coeus.
RAS Sponsor Liaison	Reviews complete proposal with RAS CA, and if no changes are needed or recommended, approves and submits electronically or authorizes submission to the sponsor; Provides signature as MIT authorizing official.

Primary and Secondary (alternate) Approvers:

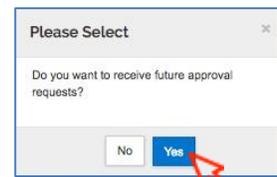
Each DLCI Unit and Dean’s Office/VPR/Provost has an **Approval Routing Map** with assigned Primary and Secondary (alternate) approvers. It is helpful to have Secondary approver(s) to cover staff outages or assist during high volume submissions. If the Primary or Secondary approvers need to be updated, please email ra-help@mit.edu

Proposal Submission & Approver Email Notification

1. Aggregator submits to route for approval

The Aggregator submits the complete, final proposal to route for internal approval. Validation is performed when the **Submit for Review** button is clicked, alerting the Aggregator to warnings and preventing submission of a proposal with errors such as incomplete proposal certifications by Investigators.

Note: If the submitting **Aggregator** is also a **DLCI Approver**, you may see a *Please Select* pop-up window asking "Do you want to receive future approval request?" when submitting for review. Please click "Yes". Clicking "No" will add an additional approval stop at the Dean/VPR/Provost level.



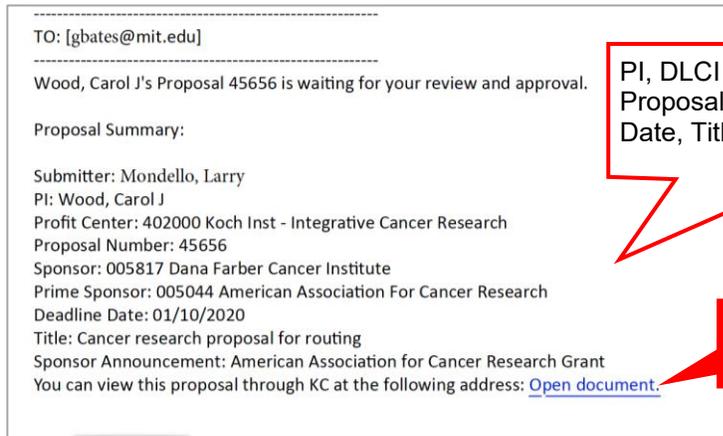
2. Email Notification - Open proposal via link

You will receive email notification from ra-help@mit.edu with the subject: **[PI_NAME]'s Proposal [PROPOSAL_NUMBER] is waiting for your review** when the proposal is at an approval stop pending your approval.

Notifications to Approvers:

Email: <i>PI's Proposal is . . .</i>	Description
Waiting for your review	Your review is required; Primary and Secondary approvers at approval stop are notified. Includes Open Document link to access proposal in KC for review and approval. Lists a brief summary, including: Submitter (Aggregator), PI, Profit Center (DLCI Lead Unit), Sponsor, Prime Sponsor (if a subaward) and Deadline Date.
Approved by Another User	Your review is no longer required. Sent to other approvers when proposal has been approved by a Primary or Secondary Approver at that stop. Includes <i>Open Document</i> link for your reference.
Has been returned to the Aggregator	Proposal has been returned for revisions, so your review is not required at this time. Sent to all Primary and Secondary approvers at the approval routing stop.
Narrative added to proposal	An attached Narrative file that you approved has been replaced with a different file. The specific narrative type is listed. Attachment files are the only part of a proposal that may be changed by the Aggregator after submission to route for approval.

Sample Email Notification:



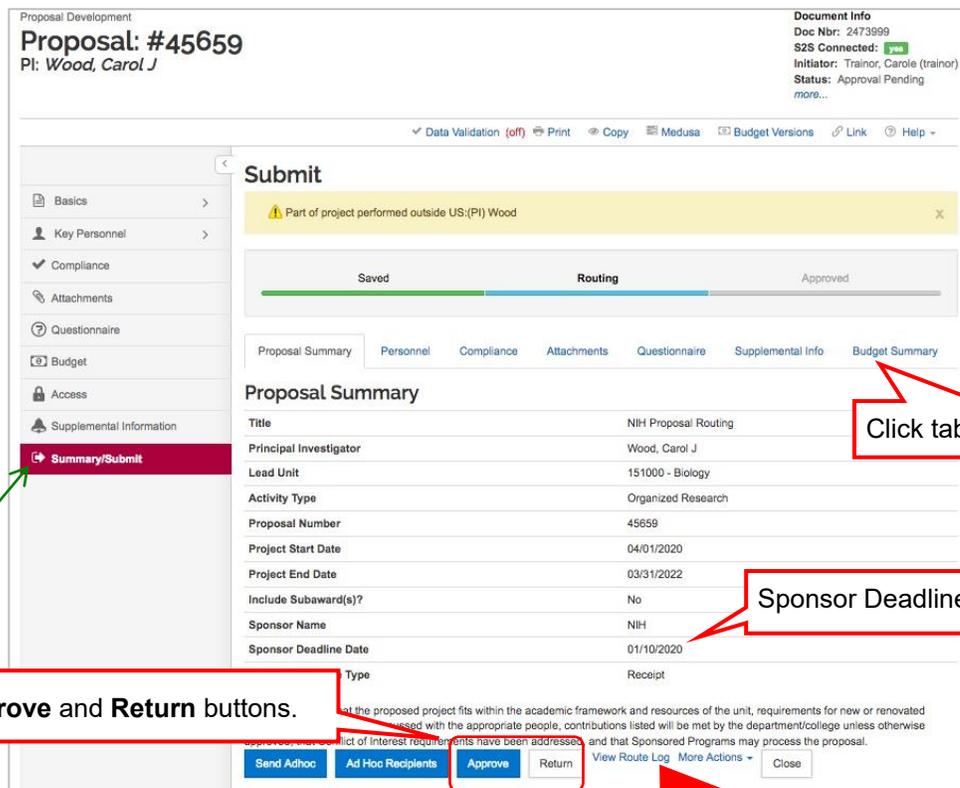
PI, DLCI Lead Unit (Profit Center), Proposal Number, Sponsor, Deadline Date, Title and Announcement

Click to open proposal in KC for review/approval

DLCI and Dean/VPR/Provost Proposal Review and Approval

3. View Proposal KC Summary/Submit – overview and alerts

When you click **Open Document** in the email notification, the proposal will open to the **KC Summary/Submit** screen. If it does not open to that specific screen, click **Summary/Submit** from the left navigation menu.



Note: If a blue **Approve** button does not display, this indicates the proposal has already been approved/returned by another approver at this stop. Click the **View Route Log** link to view actions taken and pending actions.

View Route Log More Actions Close

Actions Taken hide

	Action	Taken By	For Delegator	Time/Date	Annotation
	SAVED	Trainor, Carole		03:09 PM 07/08/2019	
show	COMPLETED	Trainor, Carole		11:11 AM 07/09/2019	
show	APPROVED	Mondello, Larry	Bates, Gilbert L	12:30 PM 07/11/2019	
show	APPROVED	Landers, Alison		12:46 PM 07/11/2019	Comment

Click the **Show** button to display Secondary Approvers and additional approval details

	Action	Requested Of	Time/Date	Annotation
show	APPROVE	Landers, Alison	12:31 PM 07/11/2019	PeopleFlow Name: 151000 Biology

Future Action Requests [show](#)

Click **Show** on *Future Action Requests* to see upcoming approval stops, including RAS

	Action	Requested Of	Time/Date	Annotation
show	IN ACTION LIST APPROVE	Hasseltine, Ronald E	12:46 PM 07/11/2019	PeopleFlow Name: 101860 VP Research

KC Summary/Submit screen flags certification responses for approvers, and presents a yellow warning  for PI Status issues. See details below:

PI Status (Summary/Submit screen)

Any person assigned role of Principal Investigator or Co-Investigator must have **PI Status** as described in MIT policies.

If KC cannot confirm PI Status based on **based on the person's Appointment Title from the HR person record**, a yellow alert  **Does not have PI Status (PI/Co-I) [Last name]** will display.

- Proposal approval at the Dean/VPR/Provost level constitutes approval of PI status.
- PI Status approval may be included in the proposal as an Internal Attachment (click **Attachments** tab, and then click the **Internal** sub-menu to view).
- Click on the Personnel tab to view all Key Persons on the proposal.

 This page has 2 warnings

- Use of animals:(PI) Wood
- Does not have PI Status:(COI) Trainor

Saved Routing Approved

Proposal Summary Personnel Compliance Attachments Questionnaire Supplemental Info Budget Summary

Personnel Print All

Key Person	Role	Unit	Proposal Person Certification
Wood, Carol J	Principal Investigator	151000 - Biology (Lead Unit) 402000 - Koch Inst - Integrative Cancer Research	complete (view)
Trainor, Carole	Co-Investigator	402000 - Koch Inst - Integrative Cancer Research	complete (view)

Certification flags (Summary/Submit screen)

The Summary/Submit screen will include a bulleted list for responses to Certification questions, including use of **Animals, Human subjects, potential Financial Conflict of Interest and work being performed outside the US.**

Certification flag (PI or Co-I Last name)	Explanation
Current space insufficient	PI/Co-I indicate additional/renovated space is required to conduct proposed research. Statement of Work or Budget may indicate need, i.e., large equipment purchase. Departmental administrator and/or Department Head or Lab Director must be aware of requirement to assure needs will be met.
Use of space other than submitting unit	PI/Co-I should share plans to conduct any or all of this research outside of the DLC submitting this proposal with the departmental administrator and/or Department Head or Lab Director.
Will appoint individuals outside submitting unit	PI/Co-I should share details of plans to appoint outside of the DLCI submitting this proposal with your departmental administrator and/or Department Head or Lab Director
Will appoint visitors at MIT	PI/Co-I should discuss plans to appoint visitors associated with this project with the departmental administrator and/or Department Head or Lab Director. MIT Please refer to MIT policy 5.3.4 <i>Visiting Engineer, Visiting Scientist, Visiting Scholar</i> as well as sponsor policies.
Use of animals	Research and teaching exercises involving live or dead vertebrates must have the approval of MIT's Committee on Animal Care (CAC). Approval is not required for proposal submission but must be obtained prior to beginning the research.
Use of human subjects	The Committee on the Use of Humans as Experimental Subjects (COUHES) must review and approve ALL research involving human subjects that is performed under the auspices of MIT. Approval is not required for proposal submission but must be obtained prior to beginning the research.
Restricted access or use for some researchers	Receipt of material or equipment, or information or software not publicly available, might be subject to US export controls and could restrict participation, conflicting with MIT's open research policy, or risk violation of US export regulations. This would require approval from the VPR office and a plan to assure compliance.
Part of project performed outside US	The criteria to qualify as fundamental research, excluded from export controls, are different when research is conducted abroad.
Will ship outside the US	International transfers may require an export license. Transfers that don't require a license should be documented correctly to minimize problems.
Related SFI Identified	Investigator/Key Person responded "yes" to any of the 3 financial Conflict of Interest screening questions, requiring completion of COI Disclosure prior to submission. Significant Financial Interests must be disclosed.
Lobbying	For a Federal sponsor, PI/Co-I has lobbied government officials in support of this project. Lobbying includes oral or written communications to government officials regarding the adoption of program funds, or execution of program funds that would specifically support this project.

4. KC Summary/Submit – Review tab details

The *Summary/Submit* screen contains 7 tabs. It opens to the **Proposal Summary** tab, listing general info of the proposal including Title, PI, Lead Unit, Sponsor, and Sponsor Deadline Date. It will also indicate if the proposal includes a Subaward. **Subaward – Yes** indicates the proposal includes a Subaward.

Note, if this proposal is for a Subaward, the **Prime Sponsor** is not listed on the Summary screen but is included in the email notification and Proposal Basics screen.

Summary/Submit tabs

Use the tabbed Summary/Submit menu to access the information described in the table (below).

Saved		Routing				Approved
1	2	3	4	5	6	7
Proposal Summary	Personnel	Compliance	Attachments	Questionnaire	Supplemental Info	Budget Summary

Proposal Summary	
Title	Cancer research proposal for routing
Principal Investigator	Wood, Carol J
Lead Unit	402000 - Koch Inst - Integrative Cancer Research
Activity Type	Organized Research
Proposal Number	45656
Project Start Date	04/01/2020
Project End Date	03/31/2022
Include Subaward(s)?	No
Sponsor Name	Dana Farber Cancer Institute
Sponsor Deadline Date	01/10/2020
Sponsor Deadline Type	Receipt

Summary Screen Tabs	Description
1 Proposal Summary	Basic information about the proposal: Title, Principal Investigator, Lead Unit, Activity Type, Proposal Number, Project Start and End dates, includes Subaward(s) flag, Sponsor, Sponsor Deadline date and Sponsor Deadline type.
2 Personnel	Investigators and Key Personnel, Role, Unit(s), and link to view certification responses.
3 Compliance	Any special reviews listed in the proposal are displayed here, including Human Subjects, Animal Usage, Foundation Relations, hESC, International Programs, Biohazards, etc.
4 Attachments	Files uploaded as <i>Proposal</i> , <i>Personnel</i> , <i>Abstracts</i> , <i>Notes</i> or <i>Internal</i> attachments. Click View to open a file. <u>Note</u> : Aggregators are encouraged to upload a foundation/industrial RFP/Solicitation as an Internal attachment.
5 Questionnaire	Questionnaire is required for proposals that are returned to DLCI and re-routed, to indicate if any significant changes were made to the proposal upon original routing.
6 Supplemental Info	Major Initiatives, specific certification requirements.
7 Budget Summary	F&A Rate Type, Underrecovery and Cost Sharing amounts; Costs to sponsor by category including, Personnel (salary and fringe), Non-Personnel (Equipment, Travel, Other Direct).

5. Full Proposal Details – Subaward, Prime Sponsor, Budget

A few items that you may need to review are accessible only in the full proposal, not on the Summary/Submit screen:

- Subawards – the Proposal Summary may show a subaward is included, the **Organization and Location** screen in full proposal will provide more details on specific subawardees.
- Prime Sponsor – if the proposal is for Subaward, the Prime Sponsor is not listed on the Summary/Submit screen

- Cost Sharing and Under Recovery distributions if they are included in the proposed budget.

View Subaward organization

Click on **Basics** in the left navigation menu, and then select **Organization and Location**

- Click the Other Organizations tab
- View SubAward Organization details and Risk.

Organizations & Locations

Applicant Organization | Performing Organization | Performance Site Locations | **Other Organizations**

Other Organizations

Organization Name:	Harvard University
Contact Address Id:	President & Fellows of Harvard College
Risk:	▲ Low Risk
Contact Address Line3:	
Contact Address city:	Cambridge
Country Code:	USA

MA-005

View Prime Sponsor

Click on **Basics** in the left navigation menu, and then select **Proposal Details**

1. If a Prime Sponsor is listed, then this proposal is for a Subaward.

Proposal Details

* Indicates required fields

Proposal Type: New

Lead Unit: 402000 - Koch Inst - Integrative Cancer Research

Activity Type: Organized Research

Project Dates: 04/01/2020 - 03/31/2022

Project Title: Cancer research proposal for routing

Sponsor: 005817 - Dana Farber Cancer Institute

Prime Sponsor Code: 005044 - American Association For Cancer Research

Budget > Institutional Commitments

Click on **Budget** in the left navigation menu. From the budget versions listed, click on the budget labeled **(for submission)**. Click **Open** in the pop-up window.

Budgets

The following budgets are linked to this proposal.

Name	Version	Direct Cost	F&A	Total	Start	End	Status	Comments	Actions
Budget1 (for submission)	1	200,000.00	40,000.01	240,000.01	04/01/2020	03/31/2022	Complete	AACR provides 20% TDC IDC	Action-

The left navigation will be focused on Budget. The **Periods and Totals** screen will show Direct Costs, Indirect Costs (F&A), Unrecovered F&A, and Cost Sharing per period.

Periods & Totals		Recalculate with changes	Reset to period defaults						
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
04/01/2020	03/31/2021	12.0	120,000.01	100,000.00	20,000.01	38,330.49	30,315.63	100,000.00	0.00
04/01/2021	03/31/2022	12.0	120,000.00	100,000.00	20,000.00	38,447.14	30,773.08	100,000.00	0.00
		Total: 24.00	Total: 240,000.01	Total: 200,000.00	Total: 40,000.01	Total: 76,777.63	Total: 61,088.71	Total: 200,000.00	

Click on **Institutional Commitments** in the left navigation bar, then select either **Cost Sharing** or **Unrecovered F&A**. The Source Account and Amount per project period will be listed.

After view budgets, click **Return to Proposal** for access to Approve/Reject buttons

Period	Percentage	Source Account	Amount	Unit Details
1: 04/01/2020 - 03/31/2021	0.00	1402600		5,052.60 000001
2: 04/01/2021 - 03/31/2022	0.00	1509000		25,263.03 151000
1: 04/01/2021 - 03/31/2022	0.00	1402600		5,128.85 000001
2: 04/01/2021 - 03/31/2022	0.00	1509000		25,644.23 151000
			Total Allocated: 61,088.71	
			Total Unallocated: 0.00	

6. Approve / Reject

If still in the budget, click the << **Return to proposal** button at the top of the left navigation pane. Click on **Summary/Submit** in the Navigation Pane.

Buttons to Approve the proposal for processing by RAS appear at the bottom of the Summary/Submit screen.

To Approve:

1. Click on the blue **Approve** button at the bottom of the Summary/Submit screen to approve the proposal. The approval will take immediate effect.

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

2. On the **Please Select** pop-up window, Approvers may add **Approval comments** or upload an **Attachment**. Click the **OK** button.

Please Select

Are you sure you want to approve this document?

Approval Comment:

Comment

Attachment:

Choose File KC_DLC_Approval-8-16.pdf

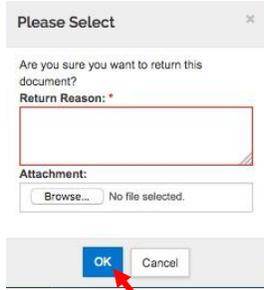
3. After Approving, the Approve and Return buttons will no longer display. Email notification will inform other approvers at the stop that the proposal was approved.

To Return for revision:

1. Click the white **Return** button at the bottom of the Summary/Submit screen. Summary Screen:

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

2. You must add the **Return Reason** when you Return a proposal. Enter the comments in the *Please Select* pop-up window. You may also upload an Attachment. The comments will be viewable from the **View Route Log** screen. Click **OK** to return to the Aggregator.



After Returning, the Approve and Return buttons will no longer display. Email notification will inform other approvers at the stop that the proposal was approved.

Getting Help

Email the RA Support Team at ra-help@mit.edu

Include your **Name**, and **Contact information** for the best way for us to contact you.