Proposal Review and Approval for DLC, Dean/VPR/Provost approvers

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

Approval Routing Overview

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aggregator</td>
<td>Submits final and complete proposal to route for review and approval.</td>
</tr>
<tr>
<td>DLC Unit(s) [units for listed key personnel]</td>
<td>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 DLC resources, including funding for cost sharing or Underrecovery, will be met; Works with PI/Aggregator if waiver of 5-business-day is required and request from Dean/VPR/Provost.</td>
</tr>
<tr>
<td>Dean, VP for Research, Provost [based on routing policy]</td>
<td>Reviews, advises, and approves proposal; Reviews magnitude of annual budget costs, and assures that commitments and contributions for Underrecovery and Cost Sharing will be met by either the DLC 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.</td>
</tr>
<tr>
<td>OSP Contract Administrator [if credentialed for sponsor, will serve as OSP Sponsor Liaison]</td>
<td>Reviews complete proposal details, budget, and accompanying documents for compliance with federal regulations, solicitation guidelines, sponsor and MIT policies; Primary contact for DLC throughout OSP proposal review and submission to sponsor; Works with OSP 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 DLC to ensure proposal sent to Sponsor is reflected in Kuali Coeus;</td>
</tr>
<tr>
<td>OSP Sponsor Liaison</td>
<td>Reviews complete proposal with OSP 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.</td>
</tr>
</tbody>
</table>

Proposals route through the tiers outlined below in sequential order:

Primary and Secondary (alternate) Approvers:
Each DLC 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
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 DLC 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 kc-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:

<table>
<thead>
<tr>
<th>Email: PI’s Proposal is . . .</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Waiting for your review</td>
<td>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 (DLC Lead Unit), Sponsor, Prime Sponsor (if a subaward) and Deadline Date.</td>
</tr>
<tr>
<td>Approved by Another User</td>
<td>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 Open Document link for your reference.</td>
</tr>
<tr>
<td>Has been returned to the Aggregator</td>
<td>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.</td>
</tr>
<tr>
<td>Narrative added to proposal</td>
<td>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.</td>
</tr>
</tbody>
</table>

Sample email notification:

TO: [gates@mit.edu]

Wood, Carol J’s Proposal 45656 is waiting for your review and approval.

Proposal Summary:

Submitter: Mondello, Larry
PI: Wood, Carol J
Profit Center: 402000 Koch Inst - Integrative Cancer Research
Proposal Number: 45656
Sponsor: 005817 Dana Farber Cancer Institute
Prime Sponsor: 005044 American Association For Cancer Research
Deadline Date: 01/10/2020
Title: Cancer research proposal for routing
Sponsor Announcement: American Association for Cancer Research Grant
You can view this proposal through KC at the following address: Open document

Click to open proposal in KC for review/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.

- **Approve** and **Return** buttons.
  - Click **View Route Log** to see past and future Approval actions.

**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.

- **Green Yes** indicates Grants.gov submission
- **Click tabs to review**
- **Sponsor Deadline Date**

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

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

![Screenshot of KC Summary/Submit screen with PI Status flag](image)

**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.

<table>
<thead>
<tr>
<th>Certification flag (PI or Co-I Last name)</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current space insufficient</td>
<td>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.</td>
</tr>
<tr>
<td>Use of space other than submitting unit</td>
<td>PI/Co-I should share plans to conduct all of this research outside of the DLC submitting this proposal with the departmental administrator and/or Department Head or Lab Director.</td>
</tr>
<tr>
<td>Will appoint individuals outside submitting unit</td>
<td>PI/Co-I should share details of plans to appoint outside of the DLC submitting this proposal with your departmental administrator and/or Department Head or Lab Director</td>
</tr>
<tr>
<td>Will appoint visitors at MIT</td>
<td>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 Visiting Engineer, Visiting Scientist, Visiting Scholar as well as sponsor policies.</td>
</tr>
<tr>
<td>Use of animals</td>
<td>Research and teaching exercises involving live or dead vertebrates must have the approval of MIT’s Committee on Animal Care. Approval is not required for proposal submission but must be obtained prior to beginning the research.</td>
</tr>
<tr>
<td>Use of human subjects</td>
<td>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.</td>
</tr>
</tbody>
</table>
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 Provost’s 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.

Potential Debarment Issue | PI/Co-I indicate she/he is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by a federal department or agency.

### 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).
<table>
<thead>
<tr>
<th>Summary Screen Tabs</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Proposal Summary</td>
<td>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.</td>
</tr>
<tr>
<td>2. Personnel</td>
<td>Investigators and Key Personnel, Role, Unit(s), and link to view certification responses.</td>
</tr>
<tr>
<td>3. Compliance</td>
<td>Any special reviews listed in the proposal are displayed here, including Human Subjects, Animal Usage, Foundation Relations, hESC, International Programs, Biohazards, etc.</td>
</tr>
<tr>
<td>4. Attachments</td>
<td>Files uploaded as Proposal, Personnel, Abstracts, Notes or Internal attachments. Click View to open a file. Note: Aggregators are encouraged to upload a foundation/industrial RFP/Solicitation as an Internal attachment.</td>
</tr>
<tr>
<td>5. Questionnaire</td>
<td>Questionnaire is required if proposal is a Grants.gov S2S submission; includes questions that populate Grants.gov forms included/required by the sponsor/program. If a proposal is rerouting after being returned for revision, a specific questionnaire is required.</td>
</tr>
<tr>
<td>6. Supplemental Info</td>
<td>Major Initiatives, specific certification requirements.</td>
</tr>
<tr>
<td>7. Budget Summary</td>
<td>F&amp;A Rate Type, Underrecovery and Cost Sharing amounts; Costs to sponsor by category including, Personnel (salary and fringe), Non-Personnel (Equipment, Travel, Other Direct).</td>
</tr>
</tbody>
</table>

### 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:

1. 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.
2. Prime Sponsor – if the proposal is for Subaward, the Prime Sponsor is not listed on the Summary/Submit screen.
3. 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

4. Click the Other Organizations tab
5. View SubAward Organization details and Risk.
View Prime Sponsor

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

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

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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.

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.

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.

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*After view budgets, click **Return to Proposal** for access to Approve/Reject buttons.*
4. 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 OSP 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.
2. On the Please Select pop-up window, Approvers may add Approval comments or upload an Attachment. Click the OK button.
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:
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.
3. 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.