Kuali Research

Responsible Unit (Department/College) Review and Approval

The University of Arizona
Spring 2022
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Overview

In this context, “Unit” refers to any department, school, college, or other division at the University of Arizona which may be included in a proposal.

A Unit may be included in a proposal for several reasons:

- Faculty/Staff from the Unit are included in a PI, Co-I, or Key Person role
- The unit has been listed as a responsible Unit for included cost-share
- The Unit is a parent to another involved Unit

For more information on Proposal Roles and Responsibilities, see https://research.arizona.edu/administration/proposal-submission/roles-and-responsibilities.

Department Head/Director

The Department Head/Director or their designee(s) has the authority to approve and commit the use of Department personnel and resources in a proposal.

By approving the proposal in UAccess Research the Department Head/Director:

- Certifies that, to the best of the Department Head/Director's knowledge, the PD/PI/Co-PI in their department is competent and capable of carrying out the proposed project
- Certifies that when the project is funded, the PD/PI/Co-PI's responsibilities within the department will be adjusted so that the investigator will be able to commit the required effort to the project
- Approves the involvement, role, and level of effort for any Co-Is or KPs in their department
- Approves the use or involvement of other resources in their department as indicated in the proposal
- Certifies that when the project is funded, the department will manage award funds in compliance with University of Arizona and sponsor policies
- Signifies approval of cost sharing and/or proposed Facilities & Administrative costs, if applicable
- Signifies that space and facilities are or will be available for the project should the proposal be funded
- Signifies that the project is consistent with the mission of the department, the college, and the University

Dean/Vice President

The Dean/Vice President or their designee(s) has the authority to approve and commit the use of College personnel and resources in a proposal.
By approving the proposal in UAccess Research the Dean/Vice President:

- Certifies that the required resources will be available and that the department is capable of carrying out the proposed project
- Signifies that the project is consistent with the mission of the college and the University
- Signifies approval of cost sharing and/or proposed Facilities & Administrative costs, if applicable

**Unit Review**

Units should review proposals to confirm that the individual listed as PD/PI/Co-PI under their Unit is capable of carrying out the proposed project, understand what Unit resources are being committed to a project, and provide Unit approval for the commitment of those resources.

Units must provision appropriate individuals with the authority to approve and commit the use of Unit personnel and resources in a proposal for this role using AccessFlow: [https://uarizona.service-now.com/accessflow](https://uarizona.service-now.com/accessflow). Generally, those individuals include the Director, Head, or Dean of the Unit, as well as one or more designee.

**Units should review the following for accuracy and communicate/coordinate any necessary changes with the initiator of the Proposal Development Document.**

<table>
<thead>
<tr>
<th>Image</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Personnel</strong> - Changes to Personnel are considered a Major Change and will require re-routing for approvals so that those individuals can review and approve their roles and allocations.</td>
<td></td>
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</tbody>
</table>

**For individuals in your responsible Unit:**

- Does the named individual have the necessary skills and training to perform the role they are listed at?
- Does the named individual have Unit approval to submit this proposal and participate in the project should it be funded?

<table>
<thead>
<tr>
<th>Key Person</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wilbur Wildcat</td>
<td>Principal Investigator</td>
</tr>
<tr>
<td>Wilma Wildcat</td>
<td>Co-Investigator</td>
</tr>
<tr>
<td>Wil E. Coyote</td>
<td>Key Person</td>
</tr>
<tr>
<td>Tha Roadrunner</td>
<td>COI Discloser, no routing</td>
</tr>
</tbody>
</table>
Credit Allocation - Changes to Credit Allocation are considered a Major Change and will require re-routing for approvals either at time of proposal, or prior to award (if Sponsored Projects agrees).

For individuals in your responsible Unit:
- Are all applicable/appropriate units for the named individual included?
- Is the distribution of Credit for Award accurate among their units?
- Is the distribution of F&A Revenue accurate among their units?
- Is the percentage of Credit for Award being allocated to the named individual accurate, as agreed upon?

Attachments - Attachments can be added while a proposal document is routing for approvals. Do not return a proposal for edit for these minor changes. Please communicate any necessary changes with the proposal initiator.

Is attached required Project Summary accurate?
Is attached required Budget accurate? Including any identified cost-share, whether mandatory/voluntary and committed/uncommitted.
Is attached required Budget Justification accurate?

Budget Summary - At times the budget summary may deviate from the attached budget. As long as the deviation is not in cost-share commitments and is less than 25% of the originally submitted budget summary, it can be handled without returning for edit.

Is there cost-share included?
If so, click on Budget in the left-hand navigation panel, open the green highlighted budget, click on Institutional Commitments > Cost Sharing in the left-hand navigation panel and review the cost-share to determine what was allocated to your Unit (if anything). Approving the proposal approves cost-share commitments allocated to your Unit.
Unit Proposal Actions

After reviewing the Proposal and coordinating any necessary changes with the initiator of the document, click the blue Approve button at the bottom of the Summary/Submit screen.

While Unit approver roles do have the option of returning a document to the initiator for edit, it is strongly recommended that they communicate/coordinate with the proposal initiator rather than doing so, as the proposal will need to re-route for approvals and this can add complications and delays.

Some changes can be coordinated with SPS without impacting routing. The proposal initiator can facilitate these changes. They also have the ability to recall the document for more extensive edits if that level of action is needed to make changes.

If a Unit approver must return a proposal for edit, click on the white Return button at the bottom of the summary/Submit screen.

Then, enter the reason for return, add attachments (optional), and click the blue OK button.