DASH Research HGA

UTC Quick Guide for Reviewers & Approvers

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Types of Approvers

There are two types of approvers in HGA: Departmental Approvers and Ancillary Reviewers. Depending on your roles and the record type, you may be assigned one or both types of reviews.

Departmental Approvers

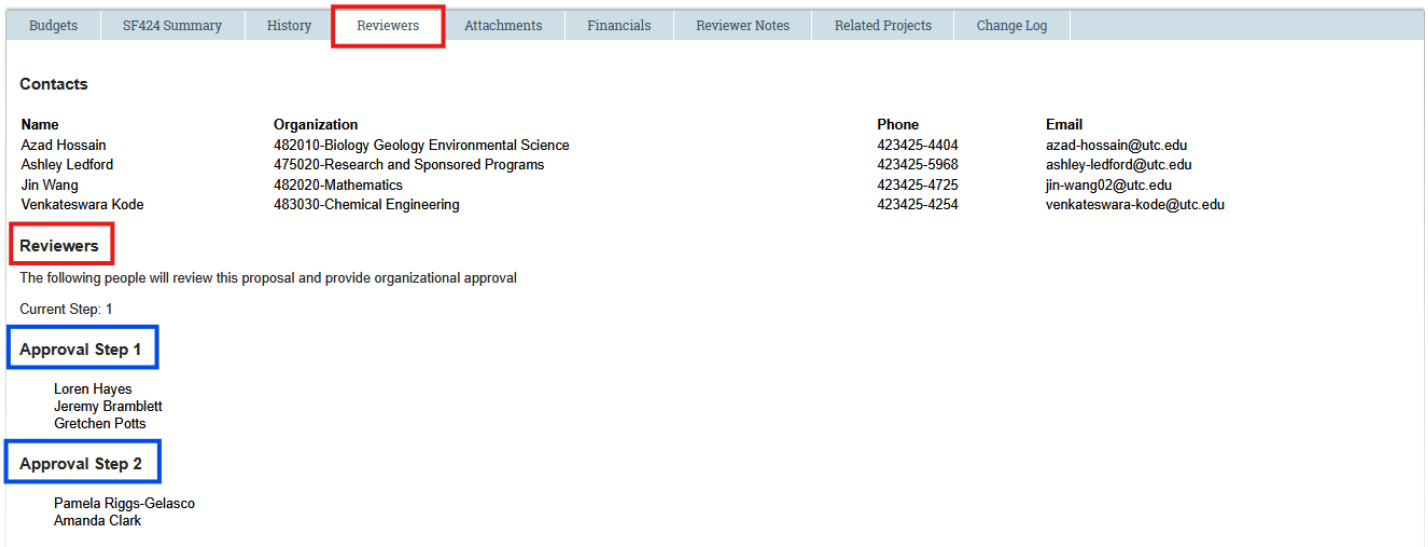
Departmental approvers appear in the Funding Proposal (FP) module only and are automatically assigned based on the **responsible organization** listed on the Personnel screen of the FP smart forms. The responsible organization is the unit responsible for administering the award, if the FP is funded. This is usually the PI's home department or an affiliated center.

Departmental approvers are notified in two sequential steps:

- **Step 1** – the FP routes to all approvers associated with the named responsible organization.
- **Step 2** – the FP routes to the approvers associated with the roll-up entity for the responsible organization (e.g., the dean or vice chancellor).

Step 2 approvers will not be notified until the Step 1 approval has been completed.

The list of approvers assigned to each step is detailed in the Reviewers section of the Reviewers tab on the FP workspace. Only one (1) approver per Step can complete the review.



Ancillary Reviewers

Ancillary reviews include both auto-assigned reviewers and manually assigned reviewers:

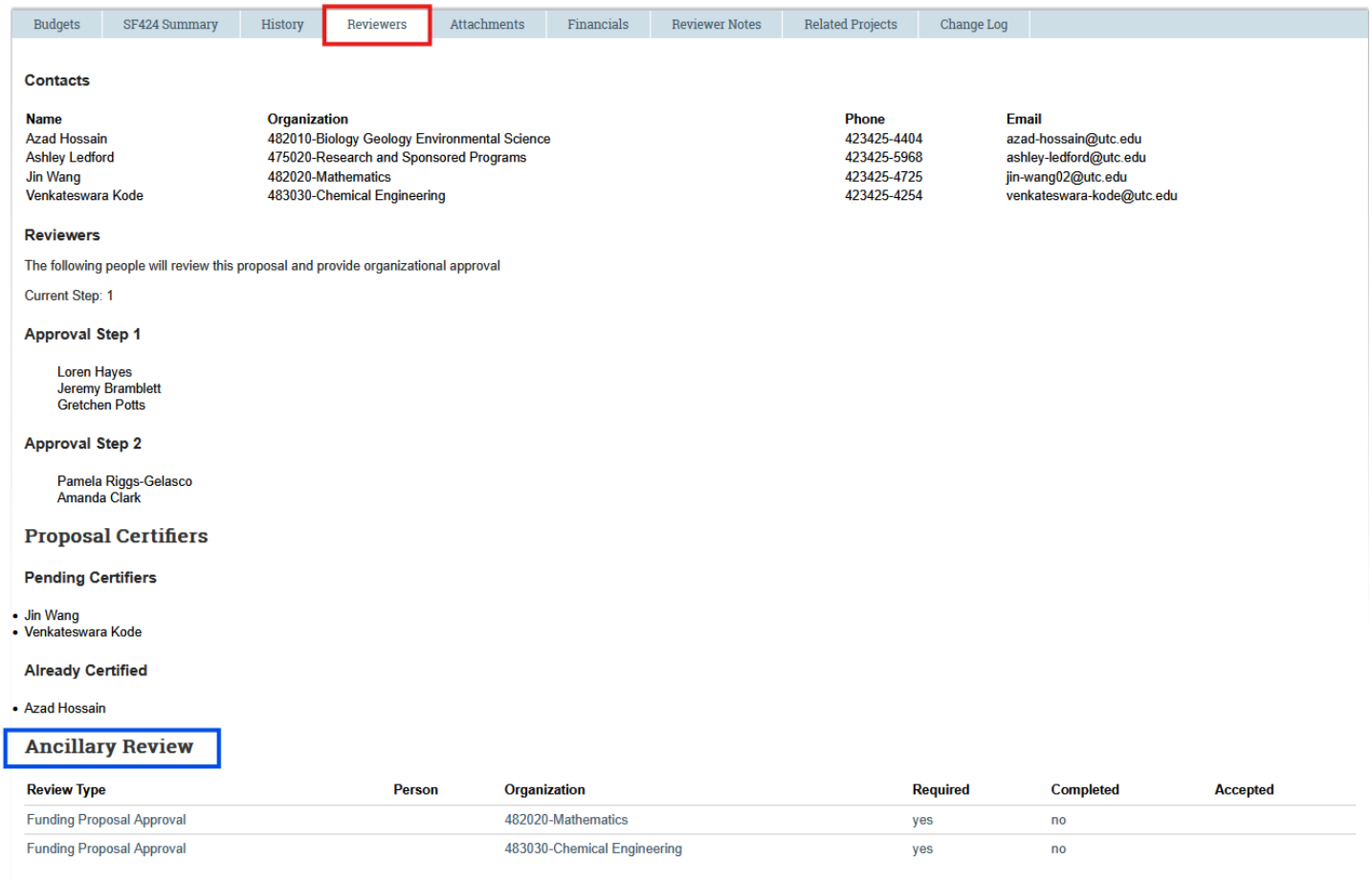
- **Auto-assigned reviewers** – Applicable to the FP module only. When the FP record is submitted for routing, the approvers for the departments and rollups of any non-lead personnel are automatically assigned as ancillary reviewers. If the responsible organization for the FP is different than the PI's home department, the approvers for that unit and its rollup are also assigned as ancillary reviewers at the time the FP record is submitted for routing.

- **Manually assigned reviewers** – Applicable to all modules (FPs, Awards, and Agreements). At any point in the record's state, the Specialist or another central office staff member can manually assign an ancillary reviewer to the record.

NOTE: In the Agreements module, all Department and Dean-level reviews for research and research-related agreements will be obtained via Ancillary Review.

Unlike departmental approvals, ancillary reviewers are notified as soon as they are assigned, regardless of the record's state.

The list of ancillary reviewers assigned to each step is detailed in the Ancillary Review section of the Reviewers tab on the FP workspace.



Approver's Responsibilities in HGA

The approval responsibilities for **department heads, deans, and other unit approvers** are as follows:

1. Determine what type of review is needed – departmental or ancillary.
2. Review the record, including smart forms, budget workspace (if applicable), and attachments to understand the project and your faculty's role in it.
3. For FP records, review the Submission Notes document to understand your department's responsibilities for the project, if funded.

4. For Awards and Agreements, review the record and any attachments thoroughly to understand your department's responsibilities.
5. Request clarification from the PI or Grants Specialist, if needed.
6. Submit the department approval or ancillary review, as assigned.

The approval responsibilities for **central office staff** are as follows:

1. Read the email notes to understand what parts of the record require your review.
2. Review the applicable parts of the record, including smart forms, budget workspace, and/or attachments.
3. Request clarification from the PI or Grants Specialist, if needed.
4. Submit the ancillary review.

Accessing the Record in HGA

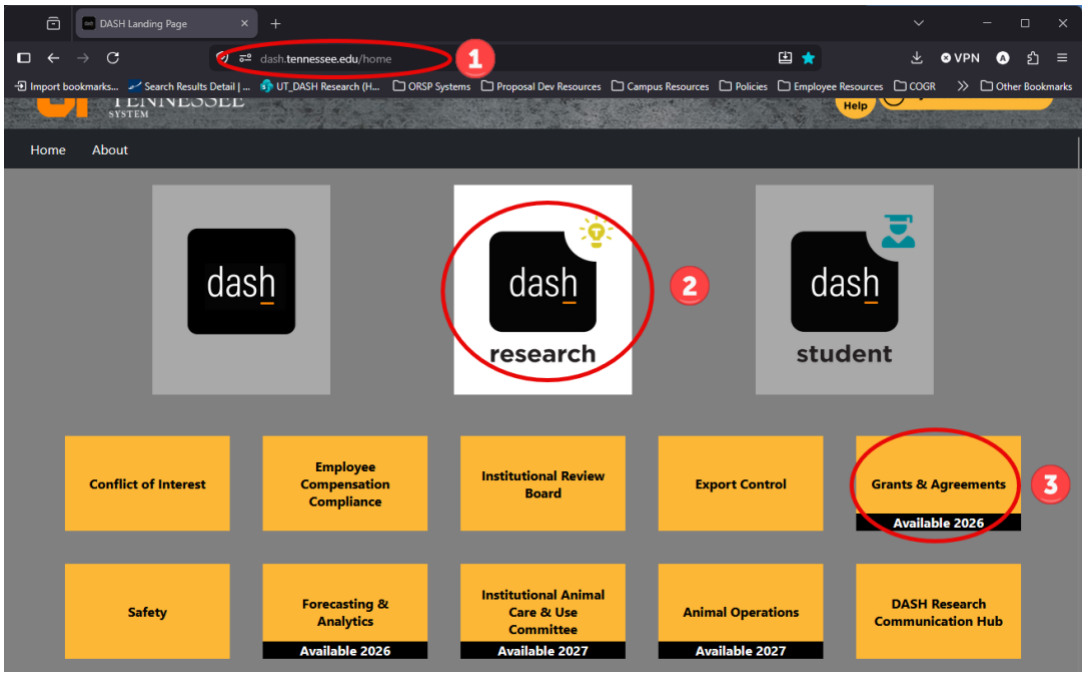
Direct Link

When a record (proposal, award, or agreement) is assigned to you for review, you will receive an email with a direct link to the record in DASH Research. Click the link and enter your UTC ID and password. The system will redirect you to the record's workspace.

DASH Research

Alternatively, you can log into DASH Research from the DASH Landing Page.

1. Click on Dash Research and select Grants & Agreements

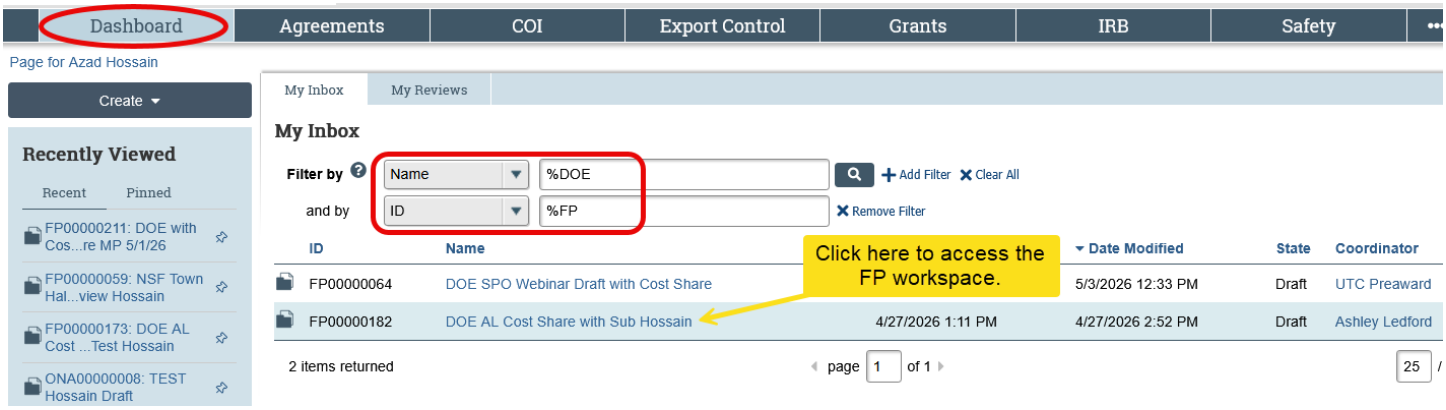


2. Enter your UTC ID and password.
3. The link takes you to your DASH Research Dashboard. The Dashboard contains a list of all records across all DASH Research modules that require an action from you.

4. Use the search bar and the wildcard symbol (%) to filter the results by record acronym (see table below) and keywords from the short project title (e.g., the sponsor acronym). The state of the record varies by record type.

Record Type	Acronym	State of Record
Funding Proposal	FP	Department Review; Specialist Review; or Post-Submission Update Requested
Award	300xxx	Draft, Designated Review, or Final Review
Agreement: Award Negotiation Record	ANR	Pre-Submission or In Review
Agreement: Clinical Trial Agreement	CTA	Pre-Submission or In Review
Agreement: Data Use Agreement	DUA	Pre-Submission or In Review
Agreement: Material Transfer Agreement	MTA	Pre-Submission or In Review
Agreement: Non-Disclosure Agreement	NDA	Pre-Submission or In Review
Agreement: Other Non-Funded Agreement	ONA	Pre-Submission or In Review
Agreement: Outgoing Subaward	SUB	Pre-Submission or In Review

5. Click the record name to open its workspace.

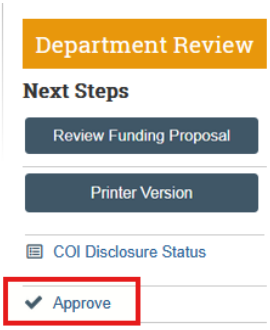


Determining Review Type

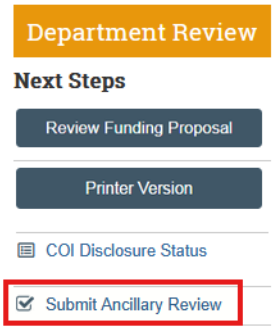
When a record (proposal, award, or agreement) is assigned to you for review, you will receive an email that states the type of review that is needed – departmental approval or ancillary review. For ancillary reviews, the email will also explain why the review is requested.

For award or agreement records, you will only ever be assigned an ancillary review.

For proposals, you may be assigned a departmental review, ancillary review, or – in rare cases – both. You can verify the type(s) of approvals needed on the FP workspace by reviewing the activities available to you:

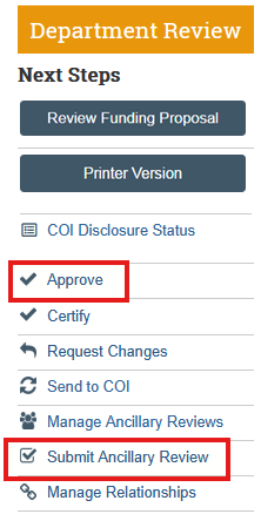


The presence of the **Approve** activity indicates that your unit is the responsible organization or the roll up for the responsible organization.



For department heads and other unit leaders, the presence of the **Submit Ancillary Review** activity on an FP record indicates that one or more of your faculty are participating as a non-lead investigator/staff member on the project. The presence of this activity on an Agreement record indicates that one of your faculty/staff is the lead PI for the agreement (non-lead departments will not be assigned a review).

For central office staff, the presence of the **Submit Ancillary Review** activity indicates that your expertise is needed to assess one or more aspects of the record.



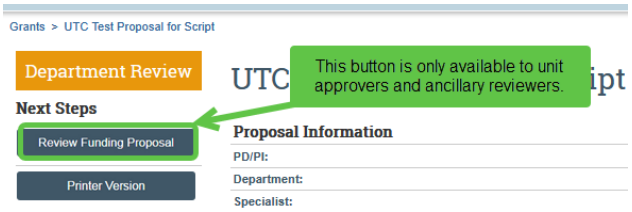
If you are an approver for multiple units, you may occasionally see **both the Approve and the Submit Ancillary Review** activities on the FP record. This means that one of your units is the responsible organization and one or more faculty from a different unit under your supervision are also participating in the project.

In these circumstances, both approval actions are required before the proposal can be submitted.

Completing Departmental Reviews

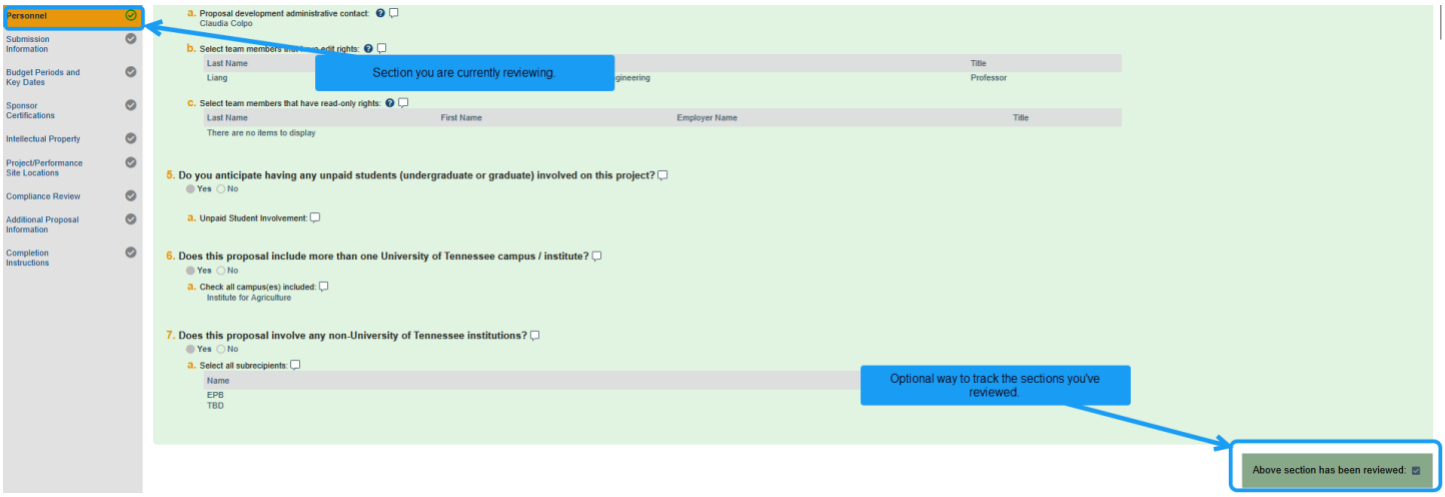
This activity is only applicable to Funding Proposals. These instructions below apply to both Step 1 and Step 2 approvers.

Review the FP Smart Forms



Click the blue "Review Funding Proposal" activity on the left side of the FP workspace.

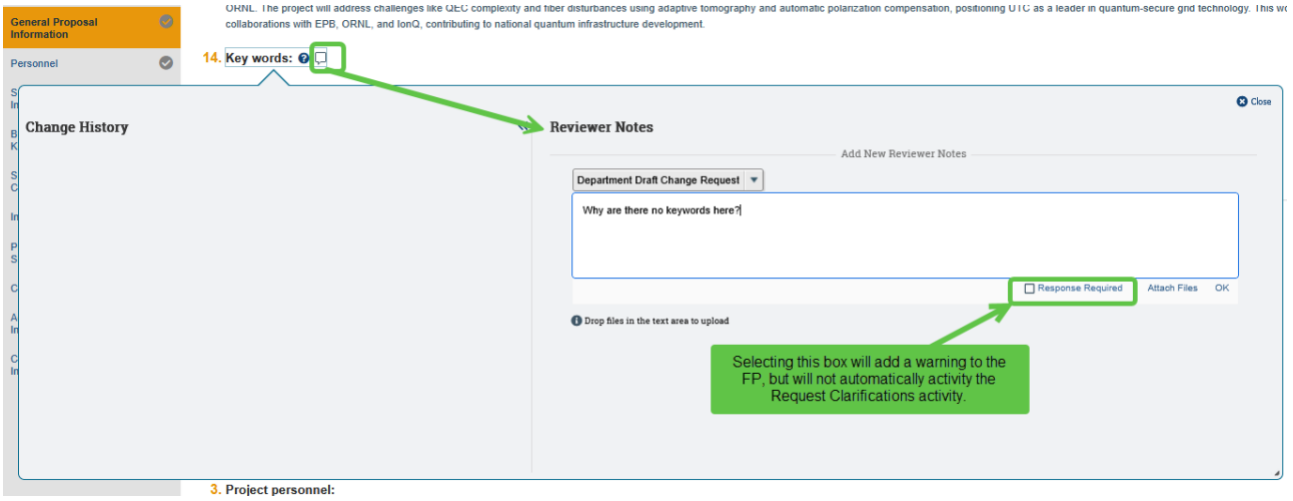
The activity will populate a comment-only version of the FP smart forms. As you scroll through each section, you can select the checkbox to track the sections you have completed reviewing. This is completely optional.



Adding Comments

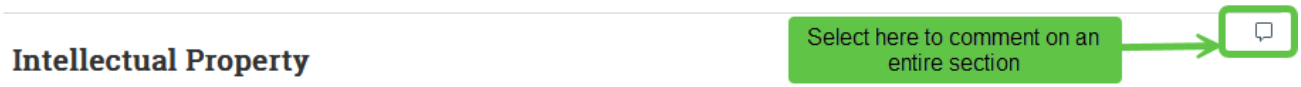
The FP module provides departmental approvers the ability to add a comment to the record. This is also completely optional.

To add a comment, click the dialogue bubble beside the appropriate field, and type your note into the text box. If you want to flag a field for the PI or Specialist to address before submission, check the Response Required box below the text box. Otherwise, leave the box unchecked.

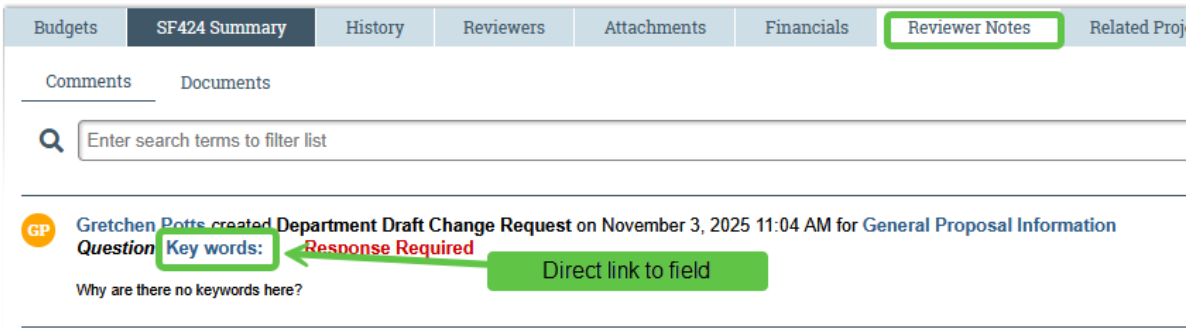


NOTE: This does not automatically trigger a response. To do that, you'll need to email the PI or Specialist or complete the Request Changes activity prior to completing the review.

You can comment on an entire section by selecting the dialogue bubble to the far right of the section title.



Any comments made in the review smart forms show up under the Reviewer Notes tab on the FP workspace with a direct link to the field in question.



Review Attachments

Back on the FP workspace, click the Attachments tab to review the documents that will be submitted to the sponsor. Attachments will appear in alphabetical order by file name.

At a minimum, all FP records should contain the following documents:

- Sponsor Guidelines
- Internal budget spreadsheet
- Full draft of the proposal narrative
- Submission Notes

If a proposal has routed to you **without one or more of these documents**, it means the proposal was routed prematurely and you should not submit your review. Instead, use the Request Changes activity to request the missing the document. This will move the record out of workflow until all appropriate documents are ready and the PI or Specialist resubmits the record.



Submission Notes

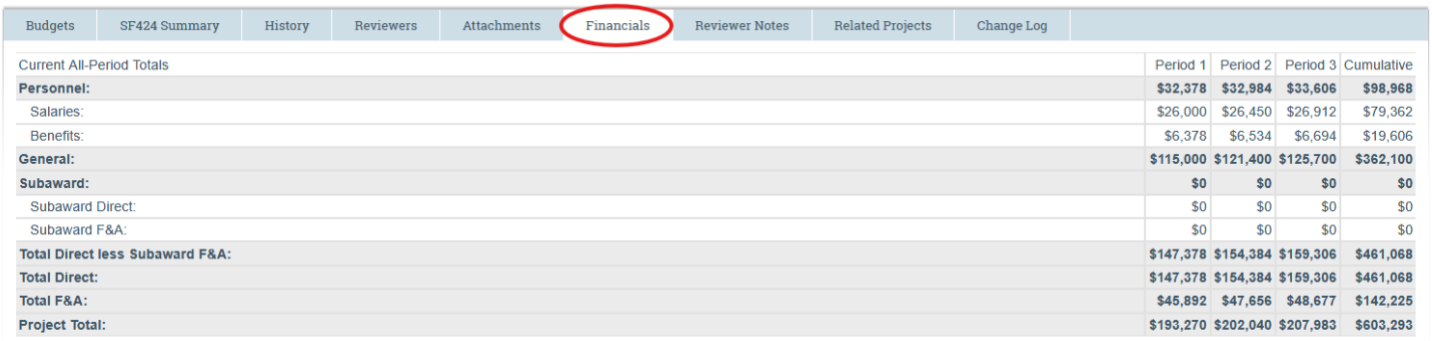
The submission notes document contains important compliance information for departmental approvers, including the presence of cost share and any risks associated with the proposals. Please read this document thoroughly and reach out to the FP Specialist for clarification, as needed.

Reviewing Budget Totals

This step is optional, as the internal budget spreadsheet uploaded to the record contains line-item details about the project budget. However, you may review the budget in two places on the FP record: the Financials tab of the FP workspace and the budget workspace.

Financials Tab

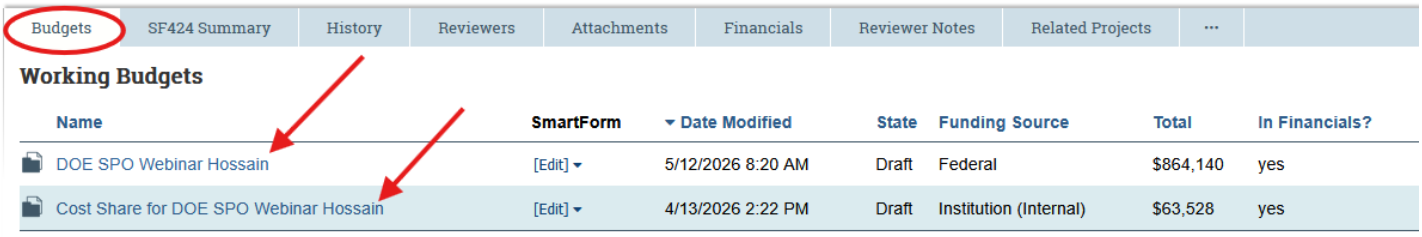
The Financials tab on the FP workspace shows the cumulative totals of all sponsor, subaward, and cost share budgets.



Current All-Period Totals	Period 1	Period 2	Period 3	Cumulative
Personnel:	**$32,378**	**$32,984**	**$33,606**	**$98,968**
Salaries:	$26,000	$26,450	$26,912	$79,362
Benefits:	$6,378	$6,534	$6,694	$19,606
General:	**$115,000**	**$121,400**	**$125,700**	**$362,100**
Subaward:	**$0**	**$0**	**$0**	**$0**
Subaward Direct:	$0	$0	$0	$0
Subaward F&A:	$0	$0	$0	$0
Total Direct less Subaward F&A:	**$147,378**	**$154,384**	**$159,306**	**$461,068**
Total Direct:	**$147,378**	**$154,384**	**$159,306**	**$461,068**
Total F&A:	**$45,892**	**$47,656**	**$48,677**	**$142,225**
Project Total:	**$193,270**	**$202,040**	**$207,983**	**$603,293**

Working Budgets

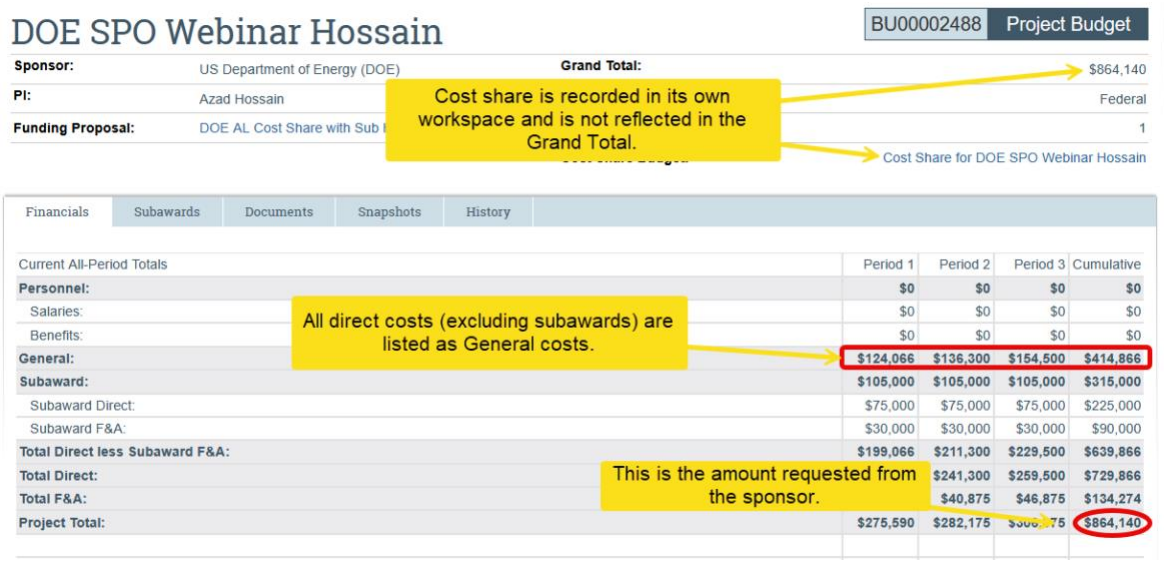
If you would like more details, you may also review the working budget for the sponsor and the cost share budget, if applicable. These are linked in the Budgets tab in the table at the bottom of the workspace. Click the budget name to enter the budget workspace.



Budget Workspace

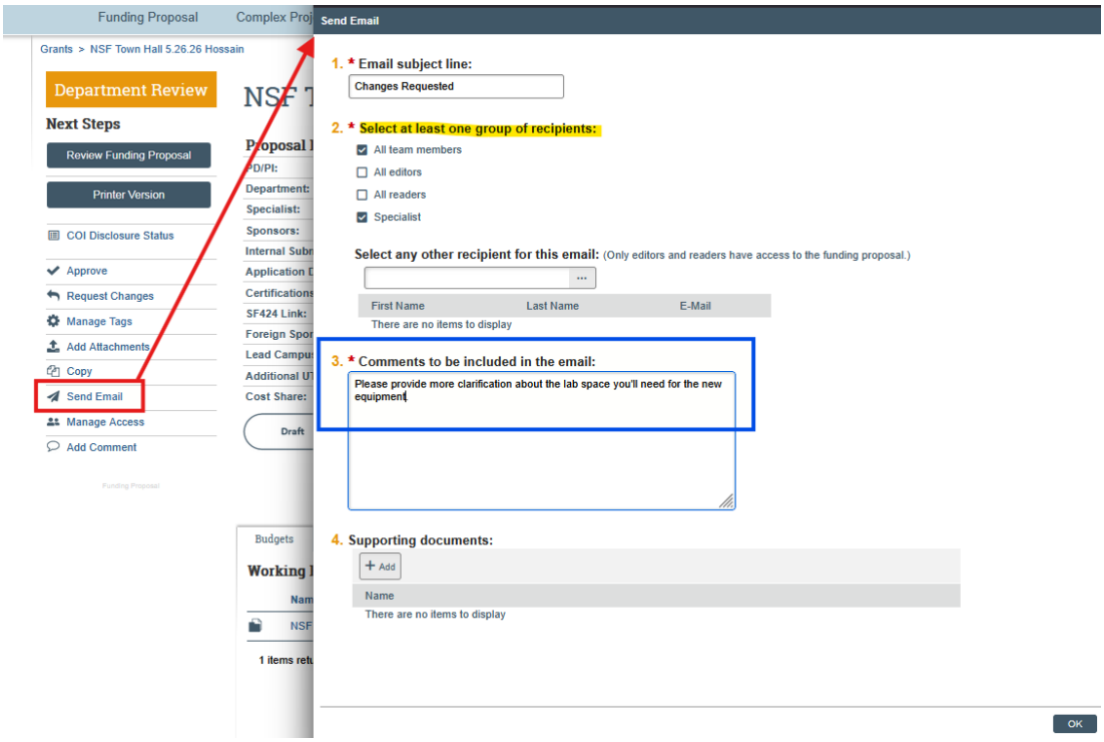
The budget workspace shows the financials for that specific budget and any subawards added to that budget. The Financials tab provides a high-level overview of these costs. Note that because ORSP enters a streamlined budget, all direct costs appear under the General costs line.

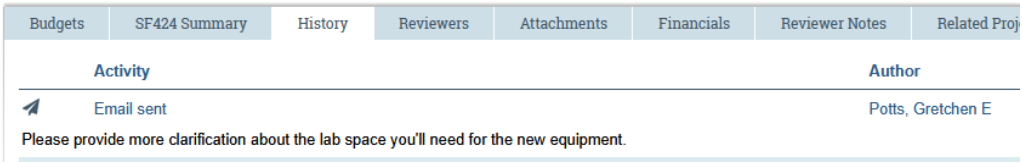
If the proposal includes cost share, that portion of the budget is recorded in a separate workspace. Click the link at the top of the budget workspace to enter the cost share workspace.



Requesting Changes

In most cases, it is more efficient to email the PI and/or Specialist to request clarifications or minor changes to the FP record. You may do that through Outlook or use the **Send Email** activity in the FP workspace, which not only directly notifies all individuals you select, but also saves a copy of the email in the FP record.





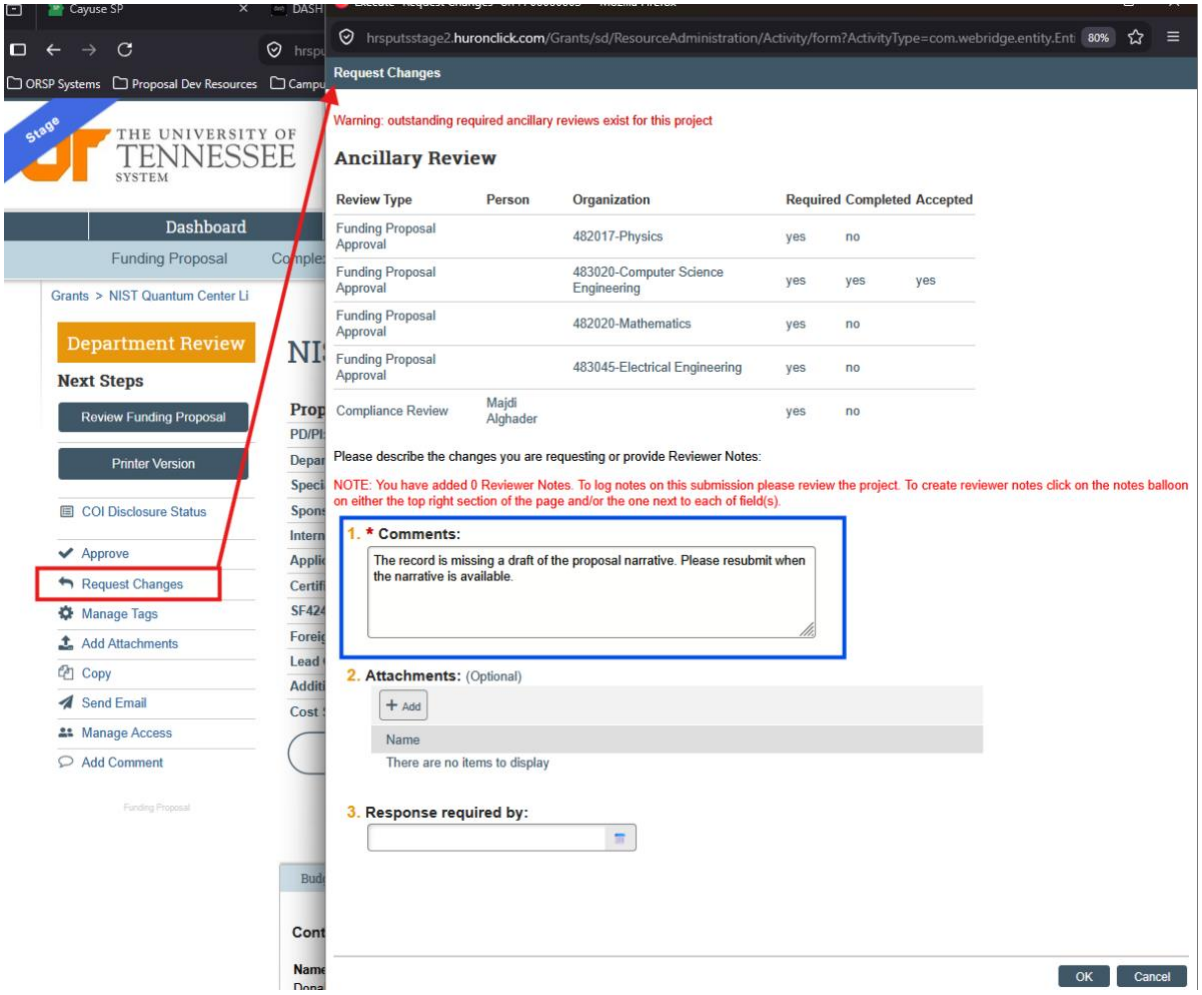
Pausing Workflow for Critical Issues

In some circumstances, however, it may be appropriate to pause the FP record's workflow in order to address critical issues, such as routing without required documentation, or to manage a potential compliance concern.

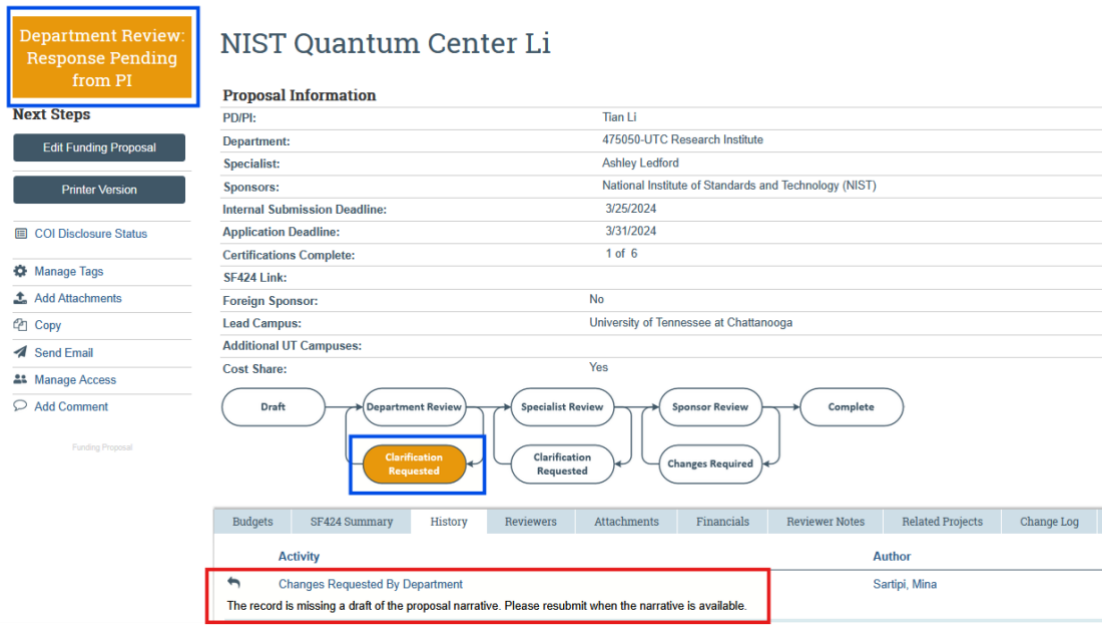
In these situations, the departmental approver should not complete the Approve activity. Instead, they should use the **Request Changes** activity to return the FP record to the PI/Specialist.

NOTE: While the Request Changes activity prevents the step 1 and step 2 approvers from completing a review, it will not prevent ancillary reviewers from submitting their approvals.

In the pop-up window, describe the critical issues to be addressed in the comments section. A response by date is optional, and you can ignore the message about reviewer notes or follow the instructions above to add comments to the smart forms.



Click OK to complete the activity and send an email to the PI and the admin contact. The state and workflow status on the FP record have changed, and a copy of the request now appears under the History tab.

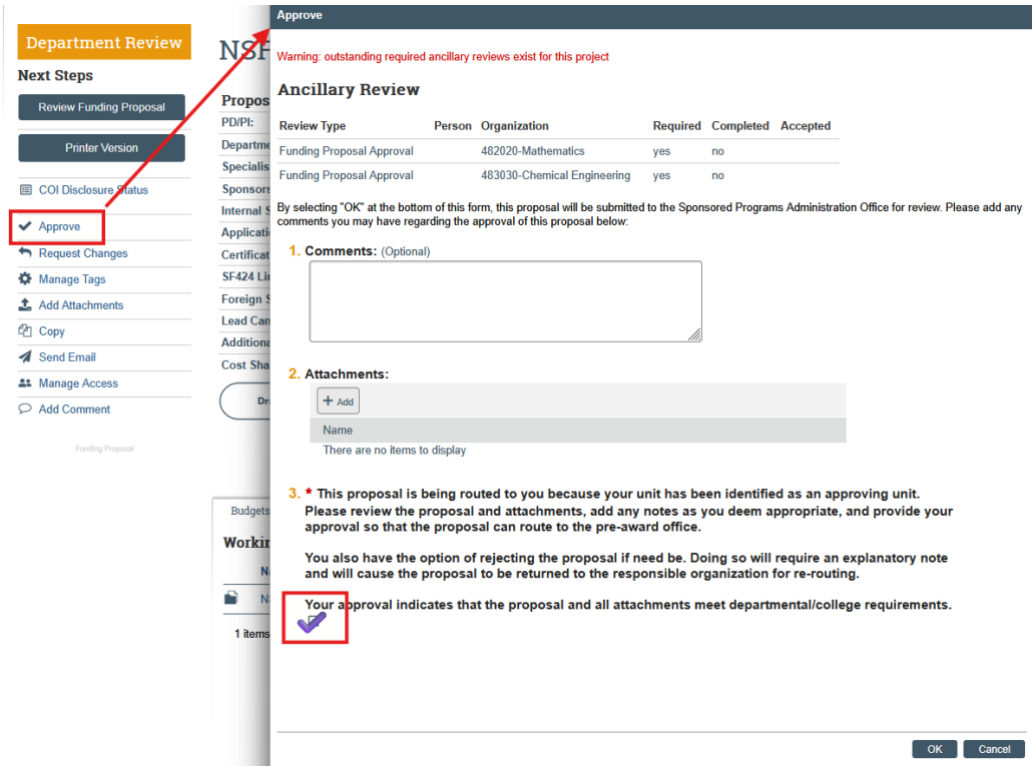


The proposal will no longer appear on your Dashboard (because you have no current action to take on it). It will reappear in your Dashboard once the PI or Specialist completes the changes and resubmits the record for review. You will also be notified via email when the record is re-submitted for your review.

Submitting Departmental Approvals

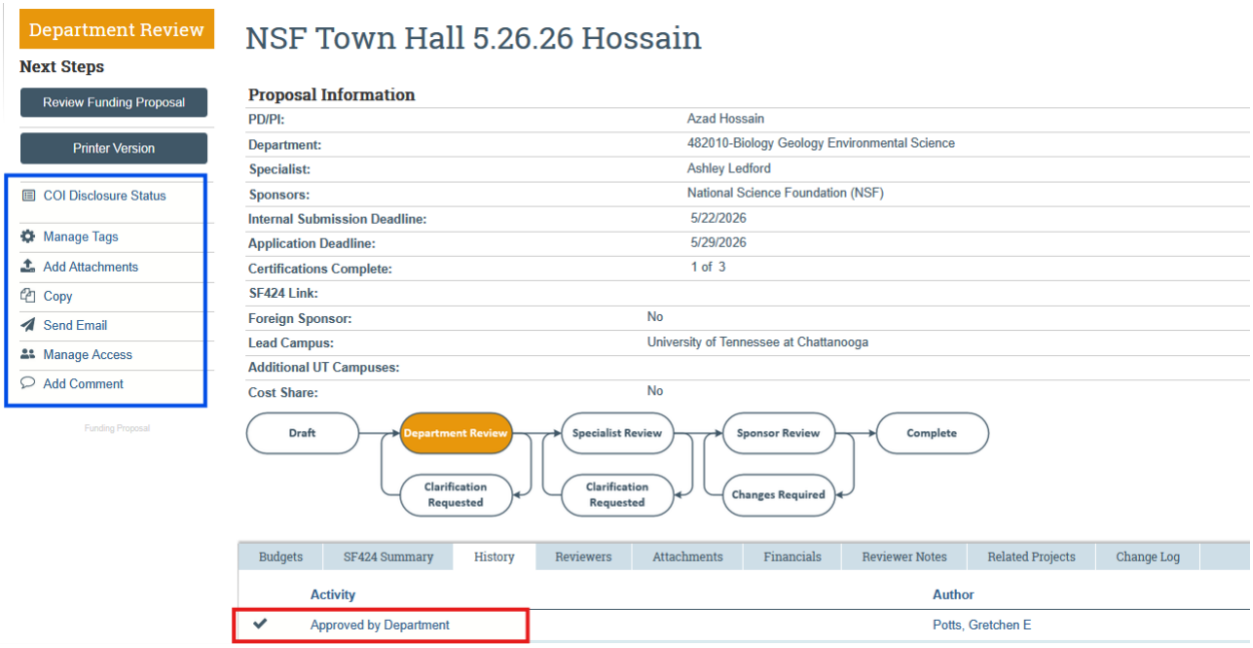
When you are ready to submit your review as the Step 1 or Step 2 approver, select the **Approve** activity on the left side of the workspace.

In the pop-up window, comments are optional and you can ignore the warning for any outstanding ancillary reviews. You must, however, **check the box in field 3** before you can click OK to complete the activity.



NOTE: All approvers assigned to the responsible organization and its roll up will receive a notification that a review is needed; however, only one (1) approver per Step can complete the review. If you log in to review the FP record, but the Approve activity is unavailable, it likely means that another approver has already completed the review. You can verify by reviewing the approval activities on the History tab.

When completed successfully, a record of the approval appears under the History tab and the Approve activity no longer appears on the FP workspace.



Completing Ancillary Reviews

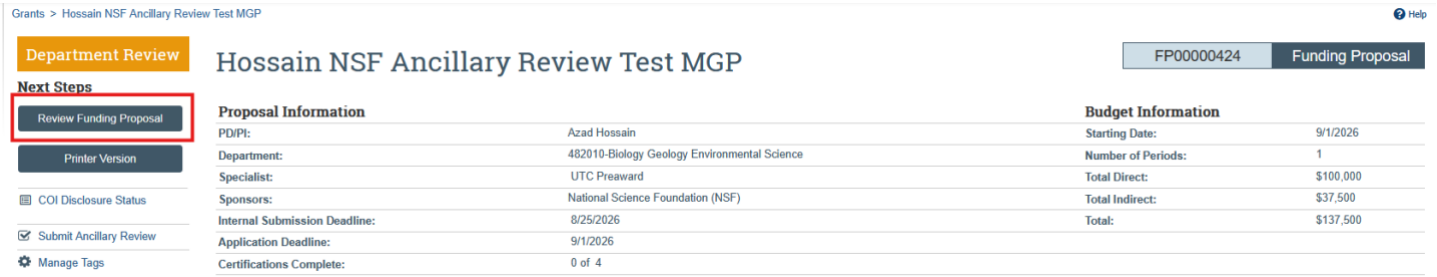
This activity applies to FP, award, and agreement records.

Reviewing Records

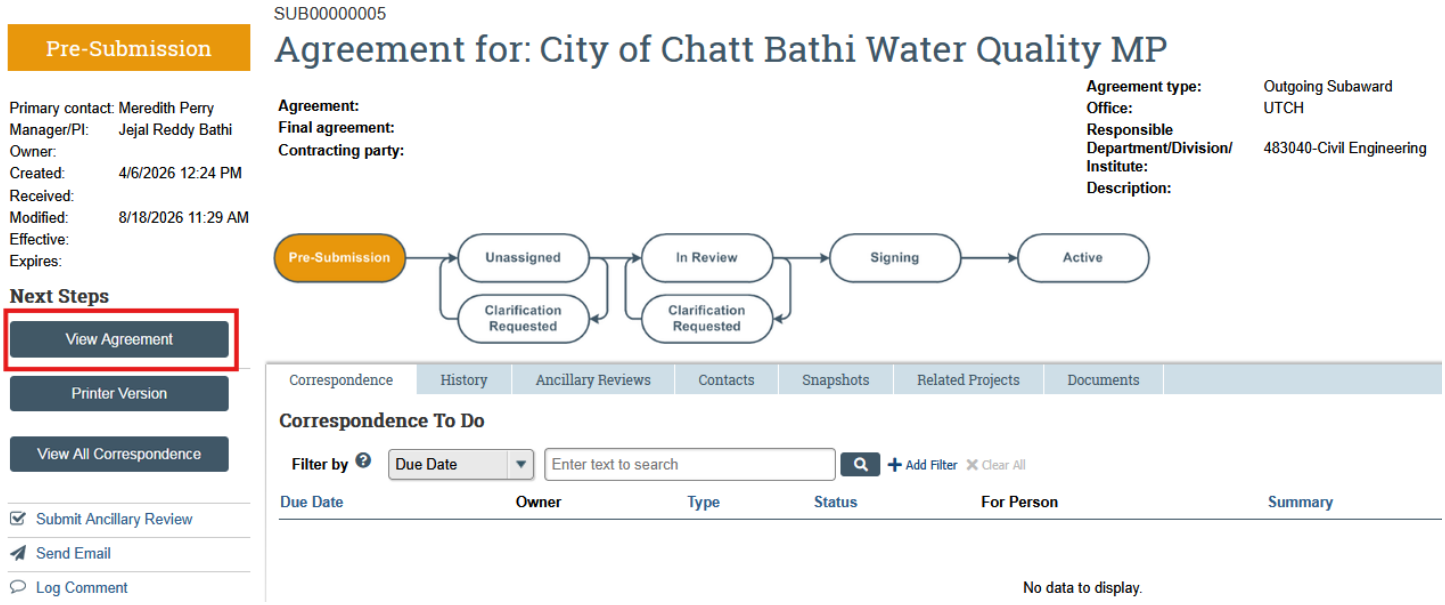
Follow the instructions in the email to review the applicable parts of the record.

Smart Forms

To review the smart forms, click the blue Review/View activity on left side of the workspace. For FP records, ancillary reviewers have the option to add comments directly into the smart forms but ancillary reviewers do not have access to the Request Changes activity .



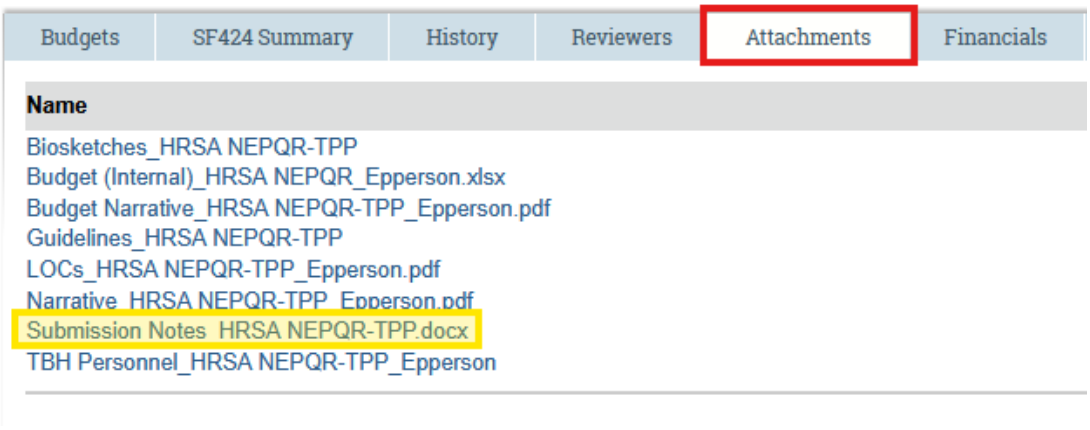
For Award and Agreement records, the smart forms are view-only.



Attachments

FPs and Awards

To review FP and award documents, click on the Attachments tab at the bottom of the record's workspace. Documents will appear in alphabetical order by file name.



At a minimum, all FP records should contain the following documents:

- Sponsor Guidelines
- Internal budget spreadsheet
- Full draft of the proposal narrative
- Submission Notes

The submission notes document contains important compliance information for departmental approvers, including the presence of cost share and any risks associated with the proposals. Please read this section of the document thoroughly and reach out to the FP Specialist for clarification, as needed.

All award records should contain the following documents:

- Award notice
- Internal budget spreadsheet matching awarded totals
- Award Notes document

Agreements

To review an agreement, click on the link at the top of the workspace. Any additional documentation affiliated with the agreement would appear in the Documents tab.

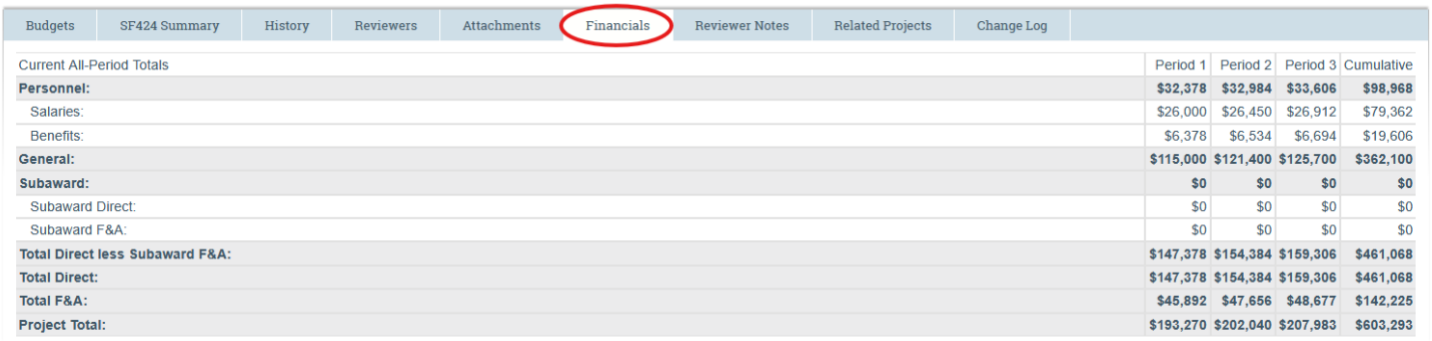


Budget Totals

For ancillary reviewers, the internal budget spreadsheet attached to the FP and award records is the best place to review the costs that are applicable to you. However, you may review budget totals in both record types.

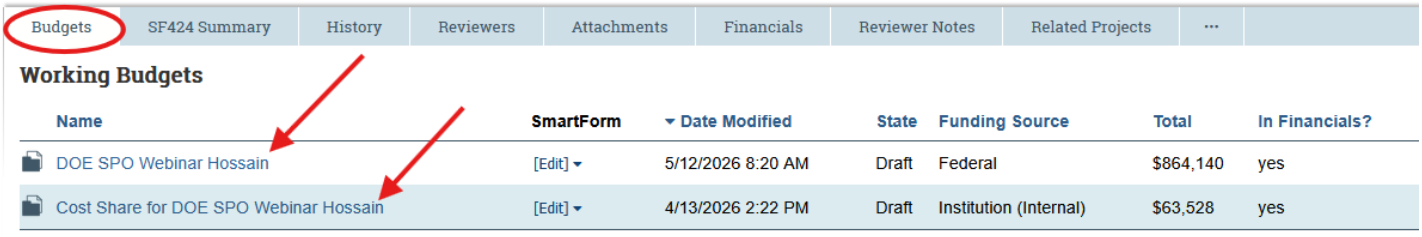
FP Records

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Subaward Direct:	$0	$0	$0	$0
Subaward F&A:	$0	$0	$0	$0
Total Direct less Subaward F&A:	**$147,378**	**$154,384**	**$159,306**	**$461,068**
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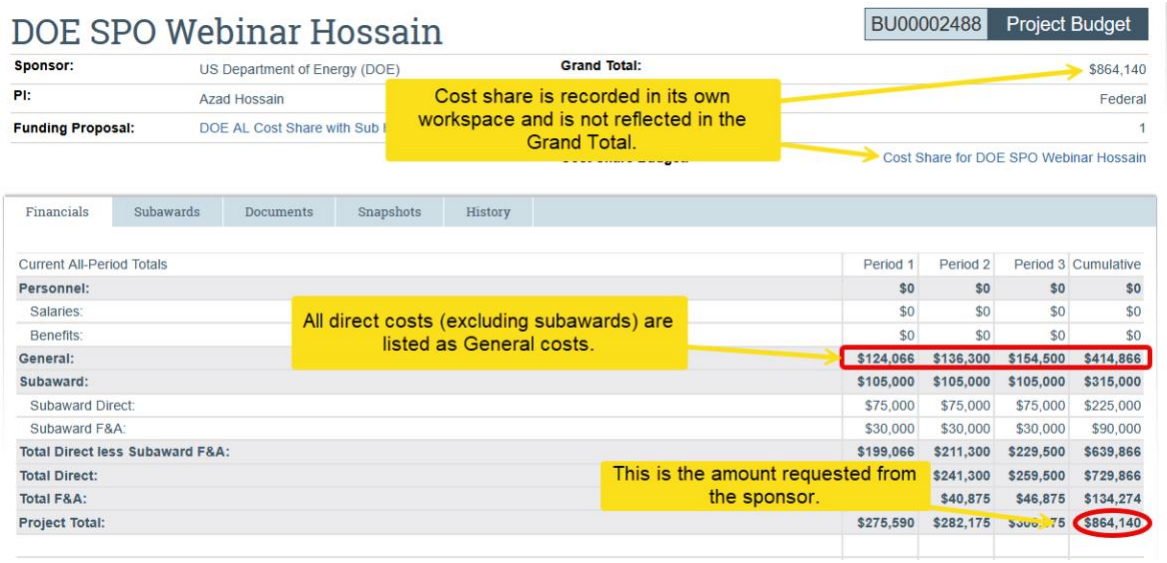
If you would like more details, you may also review the working budget for the sponsor and the cost share budget, if applicable. These are linked in the Budgets tab in the table at the bottom of the workspace. Click the budget name to enter the budget workspace.



Budget Workspace

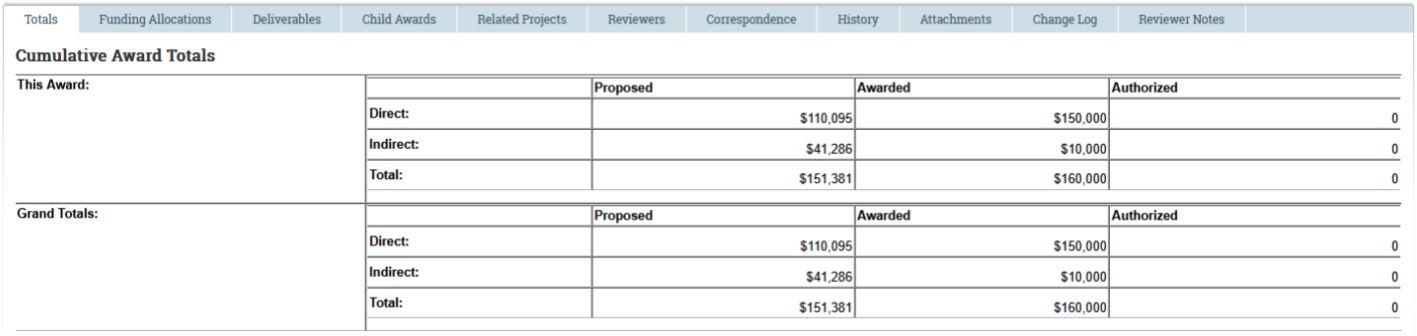
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Award Records

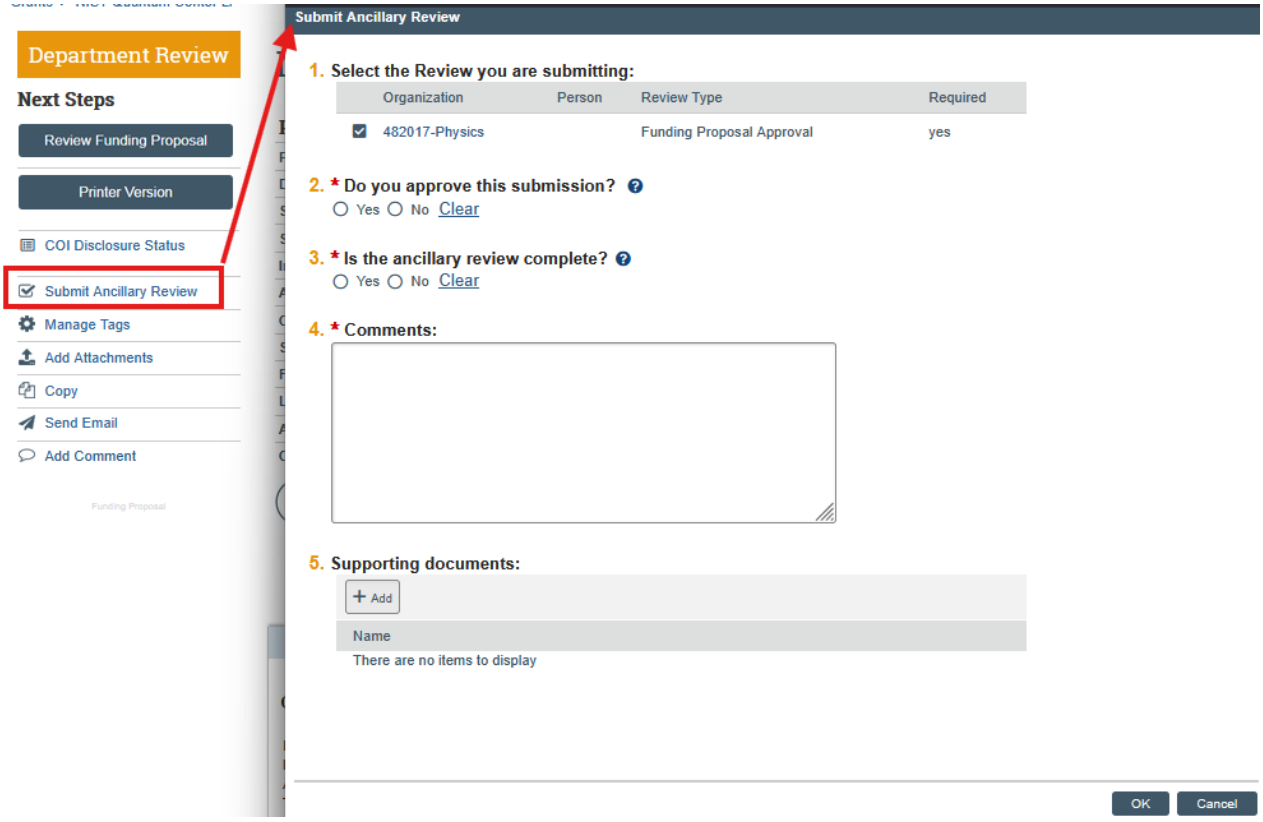
The Totals tab on the Award Workspace outlines the amount proposed, amount funded, and the amount authorized. The amount authorized will be $0 until the award record is approved and pushed to DASH.

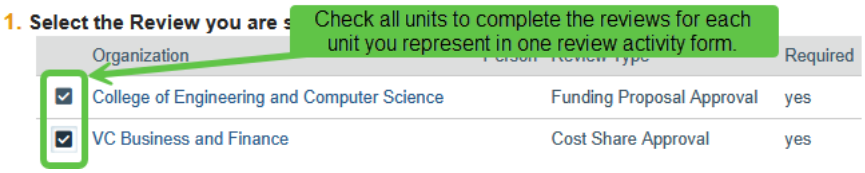


Submitting Ancillary Reviews

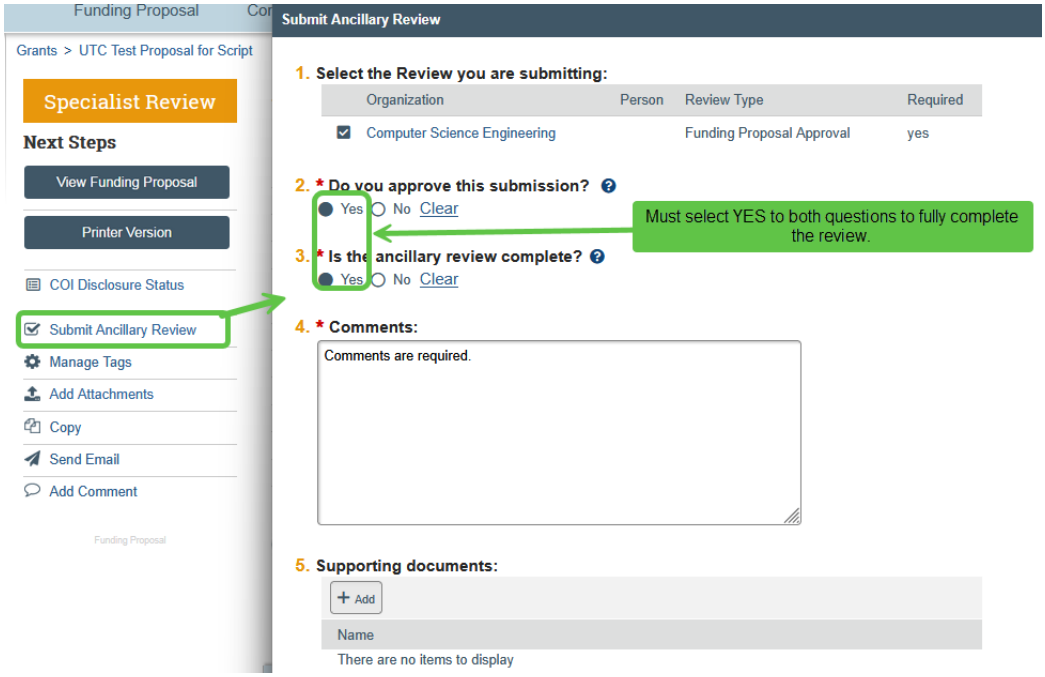
To submit an ancillary review (regardless of record type), select the Submit Ancillary Review activity on the left side of the workspace.

In the pop-up window, ensure all applicable organizations are checked in field 1. In most cases, only one unit will appear. However, if you are listed as an approver for multiple units and individuals from those units are participating as non-lead personnel on the proposal, you can select all units to complete all ancillary reviews in one action.



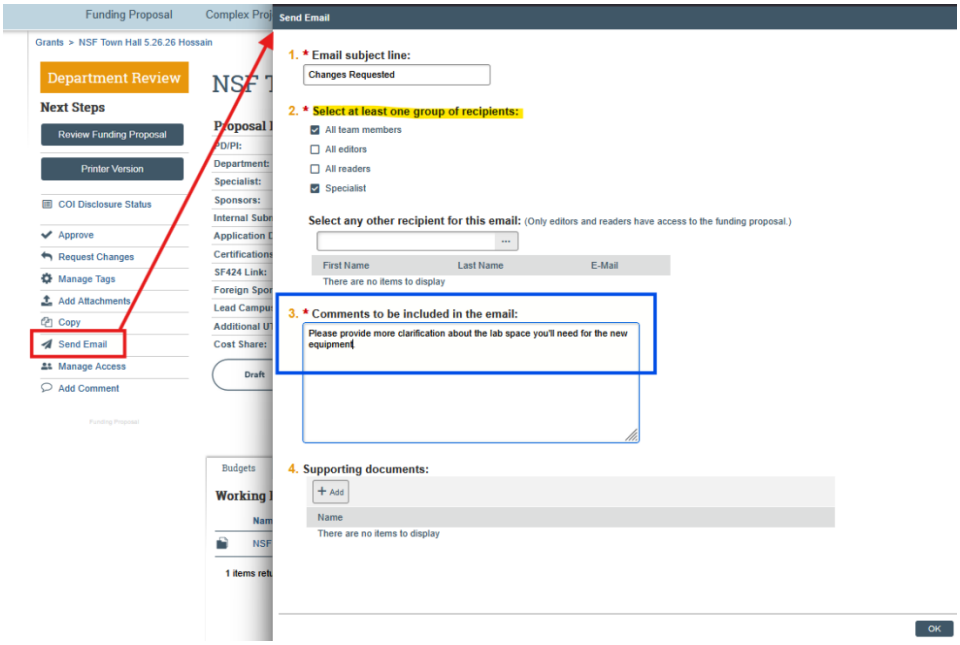


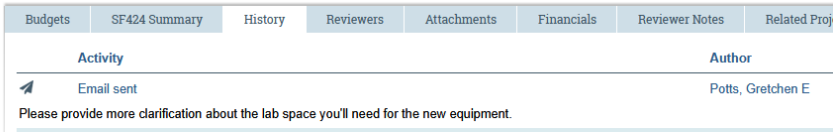
You must select YES to questions 2 and 3 in the slide-in for the review to be completed successfully.



Requesting Changes

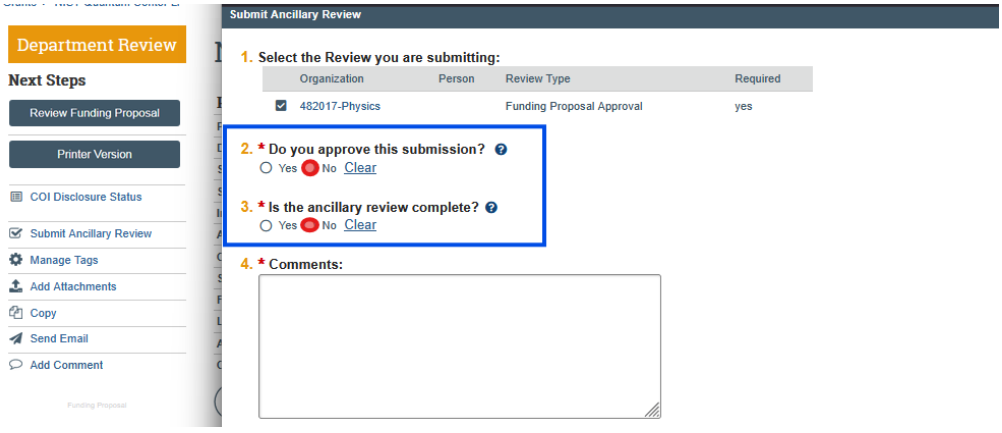
In most cases, it is more efficient to email the PI and/or Specialist to request clarifications or minor changes to the record. You may do that through Outlook or use the **Send Email** activity in the workspace, which not only directly notifies all individuals you select, but also saves a copy of the email in the record.





Incomplete Reviews

An ancillary reviewer also has the option to submit an incomplete review by selecting NO to both fields 2 and 3 in the pop-up window. Add the changes requested to the comments section and directly to the smart form fields, if applicable.



Once the changes have been made to the record, reopen the Submit Ancillary Review activity and select YES to both fields 2 and 3 to complete your review.