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INTRODUCTION

The Research Management System (RMS) is a straightforward and easy to use application. RMS tracks the progress and status of Pre-award applications throughout the development and approval stages.

RMS replaces the Research Funding Application (RFAA) form and produces a record of the application and not the application itself. A copy of the application is submitted to an agency per their requirements and uploaded into the Supporting Document section of RMS for internal reference.

RMS facilitates:

- Quick and efficient entry of key Pre-award application details
- Minimum data entry with built-in selection options
- Centralized storage and access to information
- Filtered searches to help you quickly locate records
- Expedited and documented approval audit trail

The scenarios provided in this guide will help walk you through the process for creating, approving, and searching for a typical Pre-award record in the Research Management System (RMS).

RMS LOGIN AND SETTINGS

LOGIN

Logging into RMS, like many systems on campus, requires Multi-Factor Authentication (MFA):

- Set up MFA – please note this process can take 30 minutes or more
- Contact IT Support for help at itsupport@ucalgary.ca

To login into RMS:

1. Enter the following URL into your browser to open RMS.
   https://my.RMS.ucalgary.ca
2. Enter your University of Calgary Login (username/email) into the Microsoft Sign in box and then click Next.
3. Enter your password and then click Sign in.
4. If needed, follow the instructions to validate your login using multi-factor authentication.
DASHBOARD FEATURES - LAYOUT

The Toolbar contains elements that remain static and are available to the user at all times.

The Log In Menu in the top menu toolbar, provides you with several options related to your profile.

The RMS Logout is also available in the menu.

Clicking the Add New Content button displays options based on your role permissions for creating content such as new Pre-award records.

The profile Edit feature is in the Dashboard Header.

The Dashboard Things to do section is where you will find records that are in progress and need your attention.

The Recently edited list displays records recently edited by you.
DASHBOARD FEATURES - MENUS

The Dashboard is where you will find menus related to your profile and settings.

To toggle email notification settings:

1. Click the dropdown arrow beside your login name.
2. Click My Settings to open the menu.
3. Check or uncheck the “Email” checkbox and then click Save. It is highly recommended that you keep this box checked so that you receive notifications from the system.

Profile information is populated daily from PeopleSoft. There are additional sections and fields where you can add more information. These sections pertain to your work affiliations, research, and provide more information about your professional accreditations.

To edit your Profile information:

1. Click Edit beneath your name in the dashboard banner. The PeopleData>Person page opens to the Key Information tab.
Key Information tab

In the Key Information tab, you can:

- Enter IDs (e.g., ORCID, CIHR, NSERC, and SSHRC)
- Add a secondary email
- Add an URL if you have a site page
- Add a profile picture

This is also where you can add a Designate which we be covered later in this guide.

Work Affiliations

a. The Work Affiliations tab displays the sequence for your affiliations and any Institute Memberships (Medicine). The Work Affiliation designated as #1 is the default at login.

b. Click the blue pencil icon to open the Affiliations Details page where you can add telephone numbers or a website URL. Other fields auto-populated from PeopleSoft cannot be edited. See also PRE-AWARD RECORD WORK AFFILIATIONS for instructions on how to change a PI and related work affiliations for a Pre-award record.
RMS ROLES

Permissions to create, edit, or approve Pre-award records in RMS are the same as those you have today for completing Research Funding Application forms. Role permissions define what you can view and do in RMS.

Roles are categorized according to organization (e.g., faculty, RSO), or individual (e.g., researcher). They are automatically assigned in RMS based on PeopleSoft job codes. Special circumstances may require manual assignment of roles.

RMS access is governed by roles defined in PeopleSoft. If you must delegate signing authority to someone who does not yet have appropriate access in RMS, you must first ensure that they have the correct role in PeopleSoft. To do this, submit a request through PSAR (PeopleSoft Access Request). This process may take 72 hours or more so it should not be relied upon for last-minute submissions.

Initiate PSAR process: Go to PSAR via MyUCalgary or Submit request through IT

Once the individual has the correct role in PeopleSoft, their role will be updated in RMS within 24 hours.

System roles do not equate to job titles. While role names maybe similar, they are not always the same. For example, a Team Member’s role permissions in PeopleSoft are not the same as a Team Member’s permissions in RMS.

SWITCH ROLE

In RMS, users may have multiple roles. For example, an Associate Dean Research (ADR) may also have the role of Researcher. This provides flexibility, but also has built-in rules for segregation of duties. While an ADR can create a Pre-award record in RMS, they cannot approve their own record and must assign a different Principle Investigator (PI).

If a user has more than one role, RMS defaults to the most frequently used role and typically the one with the highest level of permissions.

To verify your RMS role:

1. Click the dropdown arrow beside your login username.
2. Select Switch Role from the menu list.
3. Select a role.
PRE-AWARD RECORD WORK AFFILIATIONS

Work affiliations accommodate circumstances where an individual has appointments in more than one department within a faculty or more than one faculty.

RMS records can be associated with a specific work affiliation.

To change the PI and work affiliation for a Pre-award record:

1. Within the Pre-award record, navigate to the Applicants section.
2. Click the Trash icon to delete the current work affiliation for the record.
3. Enter the name of the PI into the Keyword search field. A list displays with the individual’s work affiliations.
4. Click the icon beside the person's name in the list to add them into the record. Details pertaining to the person auto-populate in the Principal Investigator fields.
5. Click Save.
DESIGNATE

As the PI, you may want to designate an associate to provide assistance with your Pre-award records. The Designate differs from the Team Member, in that the Designate has access to all of the PI's Pre-award records. The Team Member is only assigned by the PI to specific Pre-award records. Individuals that can be designated, must however, have a role as Team Member in RMS.

Designates have access to pre-award/applications equivalent to a Researcher where they can edit or contribute to a PI’s Pre-award records when designated by the PI.

Approvers (e.g., Department Head, ADR) do not have permission to add Designates.

While Designates do not receive notifications, they can email contacts from within RMS.

To add a Designate:

1. Click Edit beneath your name in the dashboard banner. The Key Information page displays.
2. Scroll down to the bottom of the Key Information page.
3. Click the icon at the bottom of the page below Designate(s). The search field displays.
4. Click the icon.
5. Add the designate by clicking icon beside the name of the person you want to add.
6. Click Save to apply the change. The Designate can now view all Pre-award records associated with the PI who added them as a designate.
PI CREATES PRE-AWARD RECORD

You’ve received information about a research Funding Opportunity and need to create the RMS Pre-award application record. Below is a flow diagram that gives you an overview of the RMS process.

CREATE PRE-AWARD RMS RECORD

To create a new Pre-award/application:

1. Click the +Add New Content button in the top right-hand corner of the dashboard.

2. Select Award Management>Pre-Award/Application>Research Application>Grant> Grant – Full Application>Grant Full Application.

Grant Full Application menu appears twice as it is currently setup for pre-multi-sponsor. Once multi-sponsor options are available there will be options below each selection option.
ADD EXISTING FUNDING OPPORTUNITY AND FUNDING AGENCY TO A PRE-AWARD RECORD

The next step is to search for and select the Funding Opportunity.

To search for an existing funding opportunity in RMS:

1. Click the icon under Funding Opportunity to add the funding opportunity.

2. Search for the funding opportunity that corresponds to the information in the NoD. You can type the name in the search field, or to browse all funding opportunities, click the icon.

3. Click the icon beside the funding opportunity to add it to the record.

Note: If the Funding Opportunity has a funding agency connected to it already, the Funding Agency/Sponsor section will autopopulate and you do not need to add one. If it does not autopopulate, click the Save button to force that function. Otherwise, you can manually add a funding agency (see below).

4. To manually add a funding agency, click the icon under Funding Agency/Sponsor to add the source of funds. This should match what is in the Notice of Decision.
5. To search for a specific source, type the name in the search field, or to browse all sources, click the icon.

6. Click the icon beside the agency/sponsor to add it to the record.

ADD NEW FUNDING OPPORTUNITY

The Research Services Office enters most funding opportunities into the Funding Calendar which become accessible in RMS. If a Researcher identifies a new funding opportunity and can’t find it in the funding calendar or RMS database, a new one is created. This typically occurs for small, one-off funding opportunities.

To add a new funding opportunity in RMS:

1. Click the icon below the Funding Opportunity section. The text entry field will display.

2. Click the icon beside the Funding Opportunity entry field. The New Funding Opportunity window opens.

3. Enter the funding opportunity name into the Program Name field.

4. If the opportunity is connected to an existing agency, click the icon to add the agency.

5. If known, add any other information about the funding opportunity to the Key Information and/or Details tabs.

6. Click Save & set status when complete.
ADD NEW AGENCY TO A PRE-AWARD RECORD

It’s important to note that funding opportunity and agency records are separate entities that are linked to a Pre-award record.

Each new funding opportunity and agency is reviewed and approved separately from the Pre-award record. These reviews occur in parallel with Pre-award academic approvals to facilitate the continued progression of the Pre-award record.

To add a new agency related to the funding opportunity within a Pre-award record:

1. Click the icon below Funding Agency/Sponsor. The search options display.

2. Click the icon to add a new agency. The New Agency window opens.

3. Enter the agency’s name into the Operating as field. This is name that is used to conduct business and maybe an abbreviated form of the legal name.

4. Click the dropdown arrow in the Type of agency (source) field to select a type.

5. Enter the website URL for the agency in the Link to Agency field.

6. Enter any relevant details into the Notes field.
7. Add any supporting documents related to this Agency. Under Attachments, click the blue folder icon, select the file and then click Open.
   - You can add a description for the attached file(s) in the Description field.

8. Click Save & Set Status.

9. Select For review by Research Services.

10. Click Save & Set Status.

---

ADDING ADDITIONAL PRE-AWARD DETAILS

1. If the currency is other than the pre-populated Canadian Dollar default, select a Currency from the dropdown list in the Funding/Agency section.

2. Enter an amount in the Cash Requested field. Amount is auto-formatted with commas and decimal when you click Save.

Do not enter a $ sign in the Cash Requested field. If it is entered and you click Save, the Cash Requested field is outlined in red indicating an error. If this occurs, delete the $ and click Save.

3. Enter the # of Years Requested for Funding.

4. If known, enter the Overhead as a dollar value or a percentage.

Overhead Rate refers to costs associated with running a project and is an optional field. Values in this field are validated by Research Services once the record proceeds to For Intake by Research Services.
5. Enter title from the application into the Full Project Title field.

6. Click Save.

---

**ADD CO-INVESTIGATOR OR TEAM MEMBER**

A Co-investigator is typically someone who makes a significant contribution to the intellectual direction and/or conducts research or research related activities. They may also have responsibility for financial aspects of research.

Team Members typically provide administrative support and may include collaborators, research assistants, postdocs, or other associates.

PI’s can add Co-investigators and Team Members to edit or contribute to a RMS record if they have the role of Researcher or Team Member in RMS. They can also submit the record for approval to the PI.

A designate has access to all of the Pre-award records associated with the person who designated them. Team Members however, only have access to specific the Pre-award record that they are listed as Team Member. As with the Designate, a Team Member must have a Team Member role in RMS.

To add a Co-Investigator or Team Member:

1. Click the icon below Co-Investigator(s) or Team Member(s) in the Key Information tab. The Search field displays.

2. Enter the name of the person in the Keyword search field, or click the icon and select a name from the displayed list.

3. Click the icon beside the person's name in the list to add them into the record. Details pertaining to the person auto-populate in the Co-Investigator or Team Member fields.

4. Click Save to apply the change.
ETHICS

1. Select either Yes, No, or not applicable to the questions in the Ethics section. If there are Ethics implications, additional reviews may be required at this stage. Ethics requirements and documentation are handled in the Post-award stage.

SPECIAL REQUIREMENTS

When Special Requirements are selected, the Research Administrator is added into the approval workflow for Medicine, Veterinary Medicine, and Kinesiology faculties. The Special Requirements Details field and Letters of Support sections are provided where you can supply additional details.
To add Special Requirements:

1. Select the radio button for the answer applicable to each question.
2. If you answer ‘Yes’ to any of the questions, additional supporting details and documents can be added into the Special Requirement Details field and Letters of Support section.

UPLOAD SPECIAL REQUIREMENT DOCUMENTS

1. Click the Folder icon in the Letters of Support section to upload supporting documents (e.g., approvals, etc.). The Windows File Explorer window opens.

2. Select a file to upload and click Open in the File Explorer window. The File Type and document Name display in the Letters of Support section.

3. Enter a file description (e.g., signed approvals) into the Letters of Support Description field.
4. Click Save. The Uploaded on date will appear.

DOCUMENTS SECTION

The Documents section is where you will upload a copy of the application and other documents (e.g., agreements, signature pages, etc.). In order for a Pre-award/Application record to proceed through the approval stage a copy of the application must be uploaded.

1. Click the folder icon in the Documents section. The Windows File Explorer window opens.
2. Select the document and click **Open** in the *File Explorer* window.

3. Select the type of file from the *Type* dropdown list.

4. Click **Save**. The date is populated into the *Uploaded on* field.

5. To delete a document, click the trash can icon to the right side of the document.

**SAVE, CLOSE, OR REOPEN A RECORD**

In every application there are best practices to prevent data from being lost. **Frequent saving is one practice that can prevent data loss.** Leaving unsaved records open at any time puts your data at risk. Below are the instructions for saving, closing, and reopening a RMS record that is *In Preparation*.

**SAVE RECORD WITHIN IN PREPARATION STATUS**

*To save a record with In Preparation status:*

1. Click **Save & Progress**. The *Set Status* dialogue box opens.

2. Select *In Preparation*.

3. Click **Save & Set Status**. The record closes and appears in the *Dashboard*->*Things to Do*->*Draft Pre-award Applications for Completion*.

**LOCKED RECORD**

Pre-award records with a status of either *In Preparation* or *Submitted for Approval* cannot be **edited** by two users at the same time. The records can be viewed, but not edited.
If you open a record and attempt to edit and save changes to a record that is open by another user, you will receive the message “currently being edited by Surname, Name”.

If a user needs immediate access to a record, they can message the person (e.g., PI, Team Member, or Co-I) from within the RMS record and request they log out of the record.

When a record is in Submitted for Approval status, the approvers are identified in the Academic Approvals section but there is not an option within RMS to send a notification. Approvers that have a record open, can be contacted via email, phone or in-person.

OPEN AND EDIT RECORD FROM DASHBOARD LIST

If you are working in a record, and need to close and finish later, the details below provide instructions for opening and editing a record.

**IMPORTANT NOTE**: When a record is open and you choose to browse elsewhere in RMS, you **must click Cancel** before clicking Dashboard, or other menu items. If you do not click Cancel, the record will be locked to other users (e.g., Approvers, Team Members) wanting to approver or edit the record.

**To open and edit a Draft Pre-award record from the Dashboard:**

The process for opening a Pre-award record from the Dashboard or from the Pre-award menu list are different.

1. Click **Draft Pre-award/applications for completion** in Things to do list.
2. Click the hyperlinked title of a record in the list. The record opens and you can continue completing the record.

After reopening the Draft Pre-award record, you will complete the remaining sections in the record.

---

**VIEW OR EDIT A PRE-AWARD RECORD FROM THE PRE-AWARD MENU**

Draft/In Preparation Pre-award records do not display in a Designate’s dashboard. Designates view the records from the Pre-award menu list. They can view Pre-award records they, or the PI have recently edited in the Dashboard>Recently Edited section.

To view/edit a record from the Pre-award menu list:

1. Click Dashboard.
2. Click Award Management>Pre-award/Applications.
3. Click Edit below the record you wish to view or edit.

To progress a Pre-award record for approvals:

1. Click Save & Progress.
2. Select Submitted for approvals.

3. Click Save & Set Status.

NOTE: ‘In preparation’ status is the default status populated by the system. You must intentionally select ‘Submitted for approvals’ in order to advance the record for academic approval.

TEAM MEMBER CREATES A PRE-AWARD RECORD

Individuals with the role of Team Member in RMS can create a Pre-award record. They can’t however, assume the PI role and have to assign a Researcher with PI permissions.

To create a Pre-award/application record:

1. Click the +Add New Content button in the top right-hand corner of the dashboard.

2. Select Award Management>Pre-Award/Application>Research Application>Grant> Grant – Full Application>Grant Full Application.

Note: The process to create a record is essentially the same for a PI and a Team Member. There are some additional steps involved if a Team Member creates a record on behalf of the PI.

3. Complete the details for the record. See PI CREATES PRE-AWARD RECORD.

To select a PI for the record:

1. Navigate to the Applicants section. Click the Trash icon to remove the person from the Principal Investigator spot.

2. Enter the name of the PI into the Keyword search field. A list displays with the individual’s name.

PIs may have more than one work affiliation. Ensure that you select the correct work affiliation for the PI.
3. Click the \( + \) icon beside the person's name in the list to add them into the record. Details pertaining to the person auto-populate in the Principal Investigator fields.

4. Click Save.

To add yourself into the record as the team member:

In order to continue having access to the record, you must add yourself into the record as Team Member.

1. Click the \( + \) icon below Team Member in the Key Information tab. The Search field displays.
2. Enter your name into the Keyword search field.
3. Click the \( + \) icon beside your name in the list. Details auto-populate in the Team Member fields.

PI VIEWS RECORD’S CHANGES MADE BY TEAM MEMBER

The PI does not receive a notification when a Team Member makes a change to a Pre-award record and clicks Save vs. Save & Progress. The Pre-award record displays in the PIs Dashboard in Things to do>Draft pre-award/applications for completion. Details of when the record was last edited and by whom displays beneath the Pre-award Project Title.

Edits to specific sections are not tracked in the Status Log for a record. See VIEW STATUS LOG FOR A RECORD.
TEAM MEMBER SUBMITS PRE-AWARD RECORD TO PI

To submit the record for PI approval:

1. After completing the details for the record, click **Save & Progress**.
2. Select **Submitted for Approval**.
3. Click **Save & Set Status**.

The PI receives notification of pending approval and is the first approver in the Academic Approvals queue. The Team Member does not receive a notification of approval by PI, but can check the progress of the record in the Pre-award list.

<table>
<thead>
<tr>
<th>Academic Approvals</th>
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<tbody>
<tr>
<td>Description</td>
</tr>
<tr>
<td>Approval by PI</td>
</tr>
</tbody>
</table>

| 1 | Approval by PI | Pending approval | Maher, Daniel Joseph |

![Image of Academic Approvals table]
PRE-AWARD ACADEMIC APPROVALS

University policies based on regulatory or audit requirements and risk mitigation practices, govern approval workflows. RMS embeds the approval workflow based on those policies.

- Typical approval workflows include two-level approval (i.e., departmentalized faculty approvers would include Department Head and Associate Dean Research (ADR)), as determined by the faculty.

- For non-departmentalized faculties, typically approvals are only completed by the ADR.

- There is also the potential for tri-level approvals. For example:
  - applications with special requirements require additional review from the Research Administrator for Medicine, Veterinary Medicine, and Kinesiology faculties.
  - new Funding Opportunities created within a Pre-award record require approval from RSO.
  - Approvers (e.g., ADR) with a dual role of Researcher cannot create and approve their own Pre-award records where they are named as the Principal Investigator (PI).
  - Team Members can only submit a Pre-award record to a Principal Investigator (PI) for approval.

To illustrate the process for creating and approving a Pre-award record, we will use a scenario based on the Education faculty which is a non-departmentalized faculty and therefore does not have Department Heads in the approval workflow.

Typical approvals in the Education faculty include only the ADR.
Academic Approvers open Notification of Pending Approval

Open Application in Things to Do

Review Application for completeness and validity

Add Supporting Documents

Add Comments if needed

Additional supporting documents needed?

Yes

No

Ready for approval?

Yes

Click Save & Progress

Set Status to Approved

Application status updated to For Intake by Research Services

No

Set Status to Not Approved (all approvals discarded)

Application status updated to In Preparation

Set Status to Return to PI for further information (approvals will not be discarded)

Application status updated to Pending PI Information

OR

Grants Officer submits for Institutional Approval

Final Approval by Grants Director

Grants Director or PI Submits to Agency
AUTOMATED APPROVAL NOTIFICATION

In a scenario where the PI has submitted the Pre-award record for approval, the ADR who is the first approver has a status of Pending Approval in the Academic Approvals section. They receive a notification that alerts them to a Pre-award record that requires approval.

IMPORTANT NOTE: By default, users receive approval notifications within RMS and by email to their University of Calgary email address.

To turnoff University of Calgary email notifications:

1. Click the dropdown arrow beside your user login name in the Dashboard.
2. Select My Settings.
3. Deselect the Notification Settings>Email checkbox.

To view a notification alert:

1. Click the Notification icon. The notification preview displays.
2. Click the blue hyperlinked summary to open the full notification.

To open a notification from the Notifications menu:

1. From the Dashboard, click Notifications in the left pane. Notifications display in the right pane.
2. Click the hyperlink to open the record.
APPROVE OR NOT APPROVE A PRE-AWARD APPLICATION

To view a pending approval record from the Things to do section:

1. Click Dashboard.
2. Click Pre-Award/Applications pending approval in the Things to do section.
3. Click the blue hyperlinked title to open a record. The record opens to the Key Information tab.

To review the details of a record prior to approving it:

1. The initial screen is where you can enter approver comments and initiate approval. To review the full Pre-award record details prior to approval, click the blue pencil icon to switch to the detailed review screen.

This Approval screen does not show all details of the record.

You can enter comments and approve from this page, or navigate to the blue pencil to view the full Pre-award details.
To approve it now, skip to step 4.
To view full details, proceed to step 2.
Navigate to this page to view Pre-award details and supporting documents. This screen will have 3 tabs:

- Key Information
- Approvals
- Notice of Award

You cannot Approve applications or edit fields from this view. Click Cancel & return to go back to the approval.

2. Click the Approvals & Comments tab to view approvers.

Note: Only when an approver has a Status of Pending approval can they approve or not approve a Pre-award record. At that point, this record will appear in their Dashboard Things to do list. The next approver(s) in the queue display as Queued for Approval.

Note: The names listed under Approval By are all the people who can provide that level of approval. Each row only requires one of the people listed in that row for approval.

3. When your review is done, click Cancel & Return. This will exit the review screens and take you back to the initial approval screen (with the single Key Information tab) as shown in Step 1.

4. Click Save & Progress.
5. Select the status:
   - **Approved** – record proceeds to the next queued approver whose status changes to **Pending**.
   - **Not approved** – record returned to PI for additional information or changes. All approvals are discarded and the status of the record returns to **In Preparation**.
   - **Return to PI for further information** – record returned to PI for additional information or changes. Prior approvals are retained and the status of the record remains as **Submitted for Approval**.

6. Click **Save & Set Status**. The status of the record remains as **Submitted for Approval** until all academic approvals are completed.

   **Note:** Once the last approver provides approval, the record’s status will change to **For Intake by Research Services**.

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**PI RESUBMITS RECORD FOR APPROVAL WITH INFORMATION REQUESTED**

When the approver returns the record to the PI, the PI receives a notification. The approver’s comments are included in the notification.

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*Notifications*

Your RMS pre-award/application requires additional information (RMS19-25524522)  
04/07/2019 | Priority: NORMAL

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*RSO Deadline*

Pre-award record details

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To open the record requiring further information:

1. Click **Dashboard**.
2. Click **Pre-award/applications requiring further information from PI (for approver)** in the **Things to do** section.
3. Click the blue hyperlinked title to open a record. The record opens to the **Key Information** tab.

To respond to approver comments:

1. Click the **Approvals & Comments** tab.
2. Click the pencil icon beside the approver’s name to view the comments page.
3. Review the **Approver Comments**.
4. Enter response to approver in the **Note to approver(s)** box.
5. Click **Save & Set Status**.
6. Select **Return to PI for further information**.
7. Click **Save & Set Status**.
8. Update RMS record with information requested.
To resubmit the updated record for approval:

1. Click **Save & Progress**.
2. Select **Submitted for Approval**.
3. Click **Save & Set Status**. The approval status for the approver who requested additional information will change to **Pending Approval**.

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**ADD AN APPROVER**

Research Facilitators and ADRs can add approvers for Pre-award records that have any of the following statuses:

- In Preparation
- Submitted for Approvals
- Pending PI Information

Grants Assistant and Grants Officer can add approvers for Pre-award records that have any of the following statuses:

- In Preparation
- Submitted for Approvals
- Pending PI Information
- For Intake by Research Services
- For Review by Research Services

To add an approver:

1. After opening a Pre-award record, navigate to the Approvals & Comments tab. Click the plus icon below the **Academic Approvals** section. The **Add Approver** page displays.

<table>
<thead>
<tr>
<th>Academic Approvals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>Approved by Department Head / Equivalent</td>
</tr>
<tr>
<td>Approval by Associate Dean (Research)</td>
</tr>
<tr>
<td>Vice-dean</td>
</tr>
</tbody>
</table>
3. Click the **Add** icon below Approver. The **Search options** display.

4. Enter the approver’s name into the search field or click the **Search** icon and select a name from the list that displays.

5. Click the **Add** icon beside the approver’s name. Details for the approver are populated into the fields.

6. Enter the approver’s role name (e.g., Research Administrator) into the **Description** field. This **must be entered**, otherwise the approver role will not display in the **Description** field of the Academic Approvals table.

7. Click **Save & Set Status**.

8. Select **Queued for Approval**.

9. Click **Save & Set Status**.

10. Click **Save & Progress**.

11. Select **Submitted for Approval**.

12. Click **Save & Set Status**.

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**DISCARD AN APPROVER**

A variety of circumstances (e.g., vacations, leaves, moves to other faculties, etc.) could require that an approver be discarded from a Pre-award record. Only certain roles within RMS (e.g., Research Facilitator, ADR, Grants Assistant, Grants Officer) have permission to discard approvers.

RMS retains a permanent record of discard approvers for tracking and audit purposes.

*To discard an approver:*
1. After opening the Pre-award record, click the Approvals & Comments tab.

2. Click the icon beside the approver you want to discard.

3. Click Save to update the record. The approver moves from the Academic Approvals section to the Discarded Approvals section at the bottom of the page where it is permanently retained.

RESEQUENCE APPROVERS

After a Pre-award record is created and the status is changed by the PI to Submitted for Approvals, the Academic Approver’s section is populated. Rules for approvals including the sequence in which they occur, are based on audit, university, and faculty policies. These policies are built-into RMS’s approval workflow.

RMS does provide some flexibility for those with permissions to amend the sequence.

Research Facilitators and ADRs can re-sequence approvers that have not yet approved a Pre-award record with any of the following statuses:

- In Preparation
- Submitted for Approvals
- Pending PI Information

Grants Assistant and Grants Officer can re-sequence approvers that have not yet approved a Pre-award record with any of the following statuses:

- In Preparation
- Submitted for Approvals
- Pending PI Information
- For Intake by Research Services
• For Review by Research Services

To re-sequence approvers:

1. Open the Pre-award record.
2. Click the Approvals & Comments tab.
3. Navigate to the Academic Approvals section.

4. Click the dropdown arrow beside an Approver with a status of Pending approval or Queued for approval and select the number in the sequence you want them to appear. The sequence for the remaining approver(s) will update accordingly.
5. Click Save & Progress.
6. Select Submitted for Approval.
7. Click Save & Set Status.

SENDING NOTIFICATIONS

Contacts listed in an RMS record can be sent a notification from within RMS wherever the icon is displayed. Sent notifications from within RMS, are not saved in the Notifications inbox.

To send a notification:
1. Navigate to the **Contact** field (e.g., PI, Team Member, Co-Investigator, Designate, or Grants Officer).

2. Click the 📧 icon in the right column beside the contact’s name. The notification template opens.

3. Select the **Priority**

4. Add the **Subject**.

5. Add the message into the **Body**.

6. Click **Send**.
SEARCH FOR RECORDS

MENU SEARCH

The Pre-award menu search feature lets you view and filter all Pre-award records associated with your login permissions. This view also gives you the options for deleting a record.

1. In the Dashboard left pane menu, click Award Management.
2. Click Pre-Award/Application. Pre-award records display in the right pane.

To open a file in this view:

1. Click Edit below the record.

CONDUCT FILTERED SEARCH

Filters are a powerful feature in RMS that allow you to quickly find records. The filtered search feature also lets you apply search criteria for frequently used queries. You can apply a single filter to a search, or use multiple filters to further refine your search.

As with other functionality in RMS, role permissions determine what you can search for in RMS.

Below are a few filtered search examples by role. Any one of the filters could be combined with each other.

Researcher/Team Member/Designate

- Pre-award>RMS#>contains>xyz (e.g., last three numbers)
- Pre-award>Type of Application>Equals>xyz type (e.g., Grant Full Application)
- Pre-award>Created on>equals>date
- Pre-award>Status>equals>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services)
CONDUCT SINGLE FILTER SEARCH

1. Select from the left pane menu options Award Management>Pre-Award/Applications.
2. Click the Filter icon in the right pane.
3. Select the search parameters (e.g., list view, attribute, operator, and value/date).
4. Click Apply. The list displays based on the search parameters.

CONDUCT AND SAVE A MULTI-FILTERED SEARCH

1. Select from the left pane menu options Award Management>Pre-Award/Applications.
2. Click the Filter icon in the right pane. See previous section.
3. Select the search parameters (e.g., list view, attribute, operator, and value/date) for the first filter.
4. Click the Add Filter icon to add each additional filter.
5. Click Save Filter.
6. Enter a name into the Filter Name field.
7. Click Save Filter. The list displays based on the filters. The filter icon changes from blue to amber to indicate the list is filtered.

NOTE: The list remains filtered (and the filter button remains orange) until you click the Reset button.
LOAD A SAVED FILTER

Once a filter is saved, it can be quickly reloaded for future searches.

1. Click the Restore Filter.
2. Select the filter you want to use from the Filter name dropdown list.
3. Click Load Filter.

VIEW/PRINT PRE-AWARD RECORD DETAILS

To view the details for a Pre-award record:

1. In the Dashboard, click Award Management in the left pane.
2. Click Pre-Award/Application.
3. Click the hyperlinked blue project title or anywhere within a record’s row to view the record’s details. The Research Funding Application Approvals window opens.

This view provides an overall view of the complete record which can be easily scanned for information.

To save a PDF version of the Pre-award record:

1. Click Create PDF in the top right-hand side of the page banner. The saved PDF can then be emailed or printed.
VIEW STATUS LOG FOR A RECORD

The Status Log option in RMS, provides you with a quick at-a-glance view the approval and change history for a Pre-award record, Funding Opportunity, or Agency.

The status log indicates status changes for the record and the person responsible for the change and the date and time the change was made. After the last academic approval is completed, the RMS workflow engine automatically changes the status to For Intake by Research Services. In the status log, you will see RMS Workflow rather than an individual’s name.

Changes to content in the record are not tracked in the status log.

To view the status log for a record:

1. Open any record you want to view that status log for.
2. This applies to: Pre-award/Application, Post-Award/Projects, Funding Opportunity or Agencies.
3. Click Admin info in the ribbon at the top of the window.
4. Click Status Log. The record’s log displays in descending order.