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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

A link to RMS provides you with convenient access.

To login into RMS:

1. Enter the following URL into your Google browser to open RMS.
   https://my.RMS.ucalgary.ca

2. Enter your University of Calgary Login details into the Central Authentication Service dialogue box.
DASHBOARD FEATURES

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

To view and change basic settings:

1. Click the dropdown arrow beside your login name.
2. Click My Settings to open the menu.

![Figure 2: My Settings](image)

Person Data>People

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.

![Figure 3: Dashboard Banner](image)
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 will cover further on in the guide.

Figure 4: Profile Key Information Details window
Work Affiliations

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.

In the Affiliations Details page you can also add telephone contact 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 typically automatically assigned in RMS based on PeopleSoft job codes. Special circumstances may require manual assignment of roles.

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

Within RMS, users may also have dual 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.

**TIP:** The To-do list in the dashboard displays tasks associated with the role selected.
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.
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.

**Note:** The filtered list will only display those with the role of Team Member in RMS.

4. Click the **+** icon.
5. Add the designate by clicking icon beside the name of the person you want to add. The Designate’s Name, Organization and Status are auto-populated.

6. Click the “x” to close the search results list.

7. 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.

**CO-INVESTIGATOR**

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.

PI’s can add Co-investigators 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.

Approvers (e.g., Department Head, ADR) do not have permission to add Co-Investigators.
To add a Co-Investigator:

1. Click the icon below Co-Investigator in the Key Information tab. The Search field displays.

2. Enter the name of the Co-PI into 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 fields.

4. Add the Co-Pi by clicking icon beside the name of the person you want to add. The Co-I’s Name, Organization and Status are auto-populated.

5. Click Save to apply the change.

Figure 11: Add Co-Investigator
ADD TEAM MEMBER

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

In a previous section, you added a Designate who has access to all of your Pre-award records. Team Members however, only have access to specific Pre-award records. As the PI you want to assign a Research Assistant who has the role of Team Member to a Pre-award record. As with the Designate, a Team Member must have a Team Member role in RMS.

As a Team Member, you can edit or contribute to a RMS record and submit for approval to a PI.

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

To add a team member:

1. Click the icon below Team Member in the Key Information tab. The Search field displays.
2. Click the icon and select a name from the list that displays.
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 Team Member fields.

Figure 12: Add Team Member
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.
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.

Figure 13: Add New Content Menu
ADD EXISTING FUNDING OPPORTUNITY 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 below Funding Opportunity. The search/add option (keyword, A-Z, +) icons display.

   Figure 14: Add a Funding Opportunity

2. Click the A icon to search for an opportunity, or enter the name of the opportunity into the Keyword Search field.

3. Click an alpha character in the displayed keyboard. Funding Opportunities beginning with the character selected displays.

   TIP: Alpha searches can be further refined by entering additional letters from the name (e.g., Gra).

4. Click the icon beside the name to associate the funding opportunity to the Pre-award record. Click the “x” to close the Search dialogue box.

5. Click Save. Funding Opportunity fields are populated.

   Figure 15: Populated Funding Opportunity fields
ADD NEW FUNDING OPPORTUNITY

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

Funding opportunities created within RMS are reviewed and approved by Research Services in parallel with academic approvals. RSO also determines whether or not the opportunities should be entered into the funding calendar. If the opportunities are small, one-off opportunities RSO may elect to only list them in and not the calendar.

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.

![Figure 16: Add New Funding Opportunity into a Pre-award Record](image)

**IMPORTANT NOTE:** In this release of RMS, only existing agencies can be selected from the A-Z list and added into the Agency field in the New Funding Opportunity page. For the time being, after saving the new funding opportunity the record returns to the main page where the agency can be added. Instructions are in the next section.
ADD EXISTING AGENCY TO A PRE-AWARD RECORD

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

To search for the agency:

1. Click the icon below Funding Agency/Sponsor. The search/add option (keyword, A-Z, +) icons display.

![Figure 17: Relate Agency to Funding Opportunity](image)

2. Click the icon.

3. Click the icon to select an existing agency from the list. Details are populated into the agency fields.

4. Enter the Link to Call (website URL to agency) if one exists and the field does not populate the link.

5. Enter the Program Deadline.

6. Click Save & Set Status.

7. Select For Intake by Research Services.

8. Click Save & Set Status. Funding Opportunity proceeds to Research Services for review. PI can continue completing Pre-award record and submit for Academic Approval.
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.

After academic approvals are completed, the Pre-award record progresses For Intake by Research Services to be reviewed in its entirety. This process will be covered further on in the guide.

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.

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.

```
Figure 19: New Agency Details Entry
```

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

8. Select **For Review by Research Services**.

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

```
Figure 20: New Agency Save & Set Status
```
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**.

   ![Figure 21: Cash Requested and Overhead Rate](image.png)

3. Leave the **Overhead Rate** field blank.

   **TIP**: Overhead Rate refers to costs associated with running a project. The **Overhead Rate** field is an optional, freeform text field where a number or per cent can be entered. Values in this field are validated by Research Services once the record proceeds to For Intake by Research Services.

4. Enter title from the application into the **Full Project Title** field.

5. Click **Save**.
Answering the questions in the Ethics and Special Requirement sections is mandatory for all faculties and fields are indicated with an *. The questions are the same as in the Research Funding Application Approval (RFAA) form.

ETHICS

1. Select either Yes, No, or not applicable to the questions in the Ethics section. If there are Ethic 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.

When Special Requirements are selected, the Research Administrator is added into the approval workflow for Medicine, Veterinary Medicine, and Kinesiology faculties.

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**

The Letters of Support section does not have version control like the **Documents** section. Documents can only be deleted or uploaded in this section. All documents will display, rather than the latest version. Documents can be manually labelled with a version number (e.g., Facility Rental Agreement v2).

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.

   **NOTE:** Letters of Support that have been added to the record can only be deleted for records that have a status of In Preparation. You can however, add subsequent versions of a document.
Figure 24: File Upload

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.

**TIP:** After saving the Pre-award record, the document upload date displays in the **Uploaded on** field.

3. Enter a file description (e.g., signed approvals) into the **Letters of Support Description** field.

4. Click **Save**.

**DOCUMENTS SECTION**

The **Documents** section is where you will upload a copy of the application and other documents (e.g., agreements, signature pages).

**To upload the funding application and other documents:**

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 application document and click **Open** in the *File Explorer* window.  
   *See Figure 24: File Upload.*

3. Select **Application** from the **Type** dropdown list.

   **NOTE:** Documents that have been added to the record can only be deleted for records that have a status of **In Preparation**. You can however, add subsequent versions of a document.

4. Click **Save**. The date is populated into the **Uploaded on** field.
UPLOAD NEW DOCUMENT VERSION

The **Documents** section facilitates version control. All versions of a document are stored in the **Manage Version** archive.

Version control is not enabled until the record is saved with the first version.

To upload a new version of an existing document in a Pre-award record:

1. Click the icon. The **Upload New Version** window opens.
2. Click the icon.
3. Select the file you wish to upload from the File Explorer.
4. Click **Open**.
5. Enter a **Comment** (optional) describing the document revision (e.g., budget amended).
6. Click Submit. The latest version displays in the Documents section. Previous version are stored in the Manage Versions section which can be viewed by clicking the icon.

Figure 27: Document File Versions
DELETING DOCUMENTS

To delete a document in the Documents section for records with a status of In Preparation:

**IMPORTANT NOTE:** Where a document has multiple version, clicking Delete in the Documents section will delete all versions of a document. When a document is versioned, you would add a new version to maintain the document archive. Only use the icon when the version control icon is not displayed.

1. Click icon beside the document you want to delete.
2. Click Save.

![Figure 28: Delete Document](image)

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 draft, In-Preparation RMS record.

SAVE RECORD WITHIN IN PREPARATION STATUS

**IMPORTANT NOTE:** Clicking Save or Save & Progress generates the RMS # for the record.

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.

If a user needs immediate access to a record, they can email 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, will have to be contacted via Outlook.

---

**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.

![Figure 32: Things to Do - Drafts](image)

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**.
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.

This step is required each time you wish to advance the record. For example, if you neglected to fill in a mandatory field and, after selecting Save & Progress, the system will force you to complete the required information. It will also automatically default back to ‘In preparation’ status and you must re-select ‘Submitted for approvals’ when you are ready to once again advance the record.

3. Click Save & Set Status.

The diagram below illustrates what occurs in the approval workflow after the status is changed to Submitted for approvals.

![Approval Workflow Diagram]

Figure 35: Approval Workflow
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.

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

To select a PI for the record:

1. Navigate to the Applicants section.

2. Click the Trash icon to remove the Principal Investigator’s (PI) name.

3. 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.*

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.
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.

Figure 38: Add Team Member

PI VIEWS RECORDS 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
When Using a Mac computer, the results are slightly different after clicking the icon:

Chrome Browser

1. The PDF download file displays in the middle of the window with the name “output.pdf”:

![Chrome Browser Interface]

2. Next, click on the Finder icon:

![Finder Interface]

3. Then, locate the folder where you saved the PDF:
4. Double click the document. The Preview application will up. Click "File" at the top of the screen and select on "Print":

5. Print. Select printer of choice.

Firefox Browser

1. The PDF download file displays in the middle of the window with the name “output.pdf”
2. At this point, the user has two selections as shown in the above diagram, ‘Open with Preview’ or “Save File’.
   a. For ‘Open with Preview’, repeat steps 4 and 5 as for the Chrome browser (except you will not need to double click the document)
   b. For ‘Save File’, repeat steps 2 through 5, as for the Chrome Browser.

Safari Browser

1. The Safari browser will automatically launch the PDF into Preview application mode
2. Repeat steps 4 and 5, as for the Chrome Browser

VIEW STATUS LOG FOR A RECORD.

Figure 39: Team Member Edit Tracking
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 following occurs:

- PI receives notification of pending approval and is the first approver in the Academic Approvals queue.

![Academic Approvals]

*Figure 40: Approval by PI*

- Team Member **does not** receive a notification of approval by PI, but can check the progress of the record in the Pre-award list.
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.

- 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 the ADR and Dean.
Figure 41: Approval Workflow
AUTOMATED APPROVAL NOTIFICATION

In our scenario 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 turn off 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.

![Click hyperlinked summary in notification]

2. Click the blue hyperlinked summary to open the full notification.

![Figure 42: Approval Notification Alert]

Retain notifications in the Notifications inbox, or delete.

![Figure 43: Notification email]
To open a notification from the Notifications menu:

There is an option to Reply to notifications sent to contacts from within RMS. This does not apply to auto-generated notifications (e.g., approvals).

1. From the Dashboard, click Notifications in the left pane. Notifications display in the right pane.

2. Click the hyperlink to open the record.

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.
APPROVE RECORD

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

1. The initial screen has one tab, Key Information, where you may enter approver comments and initiate approval. To review the Pre-award record details (Figure 47) prior to approval, click the blue pencil icon to switch to the details review screen.

This Approval screen will have 1 tab visible
- Key Information

You can enter comments and approve from this page by clicking Save & Progress and setting the status; or click the blue pencil to access the Pre-award details screen.

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.

Figure 46: Approval Main page (can enter comments and approve from here)

Figure 47: Details Page (Review Pre-Award information; cannot approve from here)
2. Click the Approvals & Comments tab to view approvers. 

**Important:** Only when an approver has a Status of Pending 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 in the queue displays as Queued 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).

4. Click Save & Progress.

5. Select Approved.

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

Below are details for each approval option which will be explored further on in the guide.

- **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.

The Dean in this scenario will follow this same process to approve the record once they are notified that the record requires their approval. As the Dean is the last approver, the record’s status will change to For Intake by Research Services once the Dean sets the status to Approve.
PRE-AWARD RECORD NOT APPROVED

What if the Dean decided that significant changes were needed to the record, or they didn’t see the application as viable? In this case, they would change the status to Not Approved.

To set approval status as Not Approved:

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.

![Figure 49: Pre-Award/Applications Pending Approval](image)

4. In the Key Information tab, click the blue pencil icon to view details for the Pre-award record.
5. Click the Approvals tab.
6. Enter details as to why the record is not being approved in the Approver comments field in the Key Information tab of the record.
7. Click Save & Progress.
8. Select **Not Approved** in the Set Status dialogue box.

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

*Figure 50: Change Status to Not Approved*
The following occurs after the status is changed to Not Approved:

1. All previous approvals are discarded.

   As part of the record’s audit trail, the Discarded Approvals section cannot be edited or deleted.

   ![Discarded Approvals](image)

   **Figure 51: Discarded Approvers**

2. Status of the record is changed to In Preparation

   ![Pre-award Applications Status View](image)

   **Figure 52: Pre-award Applications Status View**

3. Record displays in PI’s Things to Do>Draft pre-award/applications>Draft pre-award/applications for completion list.

   ![Things to Do Draft List](image)

   **Figure 53: Things to Do Draft List**
PRE-AWARD RECORD RETURNED TO PI FOR FURTHER INFORMATION

During the Dean’s review they realize that one of the signature documents was not uploaded. They don’t believe that discarding previous approvals is necessary. In this case, they will change the status of the record to Return to PI for Further Information.

- Previous approvals are retained
- Status of the record is changed to In Preparation
- PI receives a notification that the record requires more information

To set approval status as Return to PI for Further Information:

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.
4. In the Key Information tab, click the blue pencil icon to view details for the Pre-award record.
5. Click the Approvals tab.
6. Enter details as to what additional information the PI needs to provide in the Approver comments field in the Key Information tab of the record.
7. Click Save & Progress.
8. Select Return to PI for further information in the Set Status dialogue box.
9. Click Save & Set Status.
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.

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. See Figure 53: Things to Do Draft List
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 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**.
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, click the icon below the Academic Approvals section. The Add Approver page displays.
2. Click the + icon below Approver. The Search options display.

Figure 59: Add New Approver Page

3. Enter the approver’s name into the Keyword search field, or click the A icon and select a name from the list that displays.

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

6. Click **Save & Set Status**.

7. Select **Queued for Approval**.

8. Click **Save & Set Status**.

9. Click **Save & Progress**.

10. Select **Submitted for Approval**.

11. Click **Save & Set Status**.

---

**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. Another example is where an ADR may choose to review Pre-award records with Special Requirements. In this case, they would remove the Research Administrator who is automatically added into the Academic Approvals when Special Requirements are selected.

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 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** (e.g., low, medium, high) for the notification.

4. Enter the **Subject**.

5. Enter a message into the **Body**. A hyperlink to the record is auto-populated into the message 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.
3. Click the dropdown arrow to change the sort options.

By default the records display in ‘descending’ order by ‘last edit’ date (Updated on descending). Sorting by ‘ascending’ is also available. Alphabetical search does not sort the list alphabetically. It sorts project titles that contain A-Z or Z–A in the title. Instructions are provided below for using the filter feature which is recommended for more refined results.

To open a file in this view:

1. Click Edit below the record.

To view a summary of the record:

1. Click the blue hyperlinked title for 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>Updated on>equals>date
- Pre-award>Status>equals>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services)
- Pre-award>Status>does not equal>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services)
- Approvals>Status>equals>type (e.g., Submitted for Approval, For Intake by Research Services, etc.)

**Grants Assistant/Grants Officer**
- Funding Opportunities>program deadline>equals>date
- Funding Opportunity>status>equals>type
- Funding Agency>type of agency>equals>type
- Funding Agency> acronym>contains>(e.g. NSERC, SSHRC)
- Agency>status>equals>(type)
- Agency>record source> equals>(RMS/PeopleSoft)
- Agency>PeopleSoft Agency ID>is not empty or is empty
- Principal Investigator>last name or first name>contains>(enter name)
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. Switch to query mode section displays.
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 Figure 65: Search Parameters in the previous section. Switch to query mode section displays.
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.

![Pre-Award/Applications (5)](image)

**Figure 66: Save Filter**

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 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**.

![Image of filter loading process]

**Figure 67: Load Filter**

PI SEARCHES FOR PRE-AWARD RECORDS WITH TEAM MEMBERS ASSIGNED

To search for Pre-award records assigned to a specific team member:

1. Select **Awards Management** from the left-pane menu.
2. Select **Pre-award/Applications**.
3. Click the ![icon] icon.
4. Select the following filters from each dropdown.
   - Team Members
   - Last name
   - Contains
   - Last name of team member
DESIGNATE SEARCHES FOR RECORDS ASSOCIATED WITH A PI

When a PI assigns a Designate, the Designate can view all Pre-award records for a specific PI. The records display in the **Pre-award** list based on their login. They do not display in the **Dashboard**.

**To view Pre-award records where they are designated to a PI:**

1. In the **Dashboard**, click **Award Management** in the left pane.
2. Click **Pre-Award/Application**.

---

5. Click the + icon to add another filter to narrow the search for records with a status of **In Preparation**.

6. Click **Apply**. The list of Pre-award records where the team member is assigned in RMS displays.
**TIP:** If a Designate is assigned to more than one PI, they can filter the list to view records by each PI.

3. Click the **icon.

4. Select the following filter options:
   - Principal Investigator
   - Last Name
   - Contains
   - Ball

5. Click the ** icon to further filter the list by status. For example, to filter the list by PI and those records with a status of In Preparation you would select the following filters:
   - Pre-award/Application
   - Status
   - Equals
   - In Preparation

6. Click **Apply.**

*Figure 70: Designate Filters Pre-award List by PI and Status*
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.

![Figure 71: Open Pre-award Record Detail Overview](Image)
This view provides an overall view of the complete record which can be easily scanned for information. See instructions in the next section for saving a PDF version and printing the PDF.

There are four common internet browsers used in computers: Chrome, Internet Explorer, Firefox and Safari. The following pages describe how to save and or print PDF copies of the application summary page using a PC computer.

Google Chrome

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 PDF download file displays in the ribbon at the bottom of the window with the name “output”.

Figure 72: Overall Pre-award Record Details
2. Click the **arrow** beside the **download file**.

3. Select **Show in Folder** if you want to save the record. The **Downloads** folder in your file **Explorer** window will display.

4. **Rename the file** and copy it into the folder where you want it saved.

**To print the PDF version of the file:**

1. Click **Create PDF** in the top right-hand side of the page banner. **See Figure 71: Open Pre-award Record Detail Overview.**

2. Click the **arrow** beside the **download file**.

3. Select **Open**. The record displays in a new window with the print option.
Internet Explorer (IE) Browser
In the IE browser, a dialog bar appears at the bottom of the page.

![Figure 75: Print Record](image)

Click **Open** to display the record in a new window.

Next, Click ![Open](image). The **PDF File-Print** dialog appears:

![PDF File-Print dialog](image)

Check the Printer options. Are both **Print to PDF** and a **Printer** available? Select the appropriate options to print to paper or PDF.

Firefox Browser

In the **Firefox** browser, a dialog appears for the PDF output.
Click OK. Firefox places the PDF in your computer’s Downloads folder.

Navigate to Downloads in your Window’s Files (Folder).

Select the most recent output file and double-click on it.

The PDF appears in a browser window.

Click to display a Print dialog. Are both Print to PDF and a Printer available?

Select the appropriate options to print to paper or PDF.

Click the Print icon. The Print options dialogue box opens.
4. Select Print options and designated University of Calgary printer from the Destination dropdown list.

5. Click Print.
When Using a Mac computer the results are slightly different after clicking the icon:

Chrome Browser

6. The PDF download file displays in the middle of the window with the name “output.pdf”:

7. Next, click on the Finder icon:

8. Then, locate the folder where you saved the PDF:
9. Double click the document. The Preview application will up. Click "File" at the top of the screen and select on "Print":

![Preview application screenshot]


![Print screen shot]

**Firefox Browser**

3. The PDF download file displays in the middle of the window with the name “output.pdf”
4. At this point, the user has two selections as shown in the above diagram, ‘Open with Preview’ or “Save File’.
   a. For ‘Open with Preview’, repeat steps 4 and 5 as for the Chrome browser (except you will not need to double click the document)
   b. For ‘Save File’, repeat steps 2 through 5, as for the Chrome Browser.

Safari Browser

3. The Safari browser will automatically launch the PDF into Preview application mode
4. Repeat steps 4 and 5, as for the Chrome Browser

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**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. Select either of the following menu options to display record lists:
   - Award Management>Pre-award Application; or
   - Award Management>Funding Opportunity; or
   - Organization>Agencies

2. Click **Edit** below the record whose status log you want to view.

   ![Figure 78: Open Record to View Status Log](image)

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.

   ![Figure 79: Open Status Log](image)
Figure 80: Status Log