# Contents

INTRODUCTION ................................................................................................................................. 6

RMS LOGIN AND SETTINGS .............................................................................................................. 6
  LOGIN .................................................................................................................................................. 6
  DASHBOARD FEATURES .................................................................................................................. 7

RMS ROLES ......................................................................................................................................... 10
  SWITCH ROLE ..................................................................................................................................... 10
  PRE-AWARD RECORD WORK AFFILIATIONS .................................................................................. 11
  DESIGNATE ....................................................................................................................................... 12
  CO-INVESTIGATOR ............................................................................................................................. 13
  ADD TEAM MEMBER ....................................................................................................................... 15

PI CREATES PRE-AWARD RECORD .................................................................................................... 16
  ADD EXISTING FUNDING OPPORTUNITY TO A PRE-AWARD RECORD ........................................... 18
  ADD NEW FUNDING OPPORTUNITY .................................................................................................. 19
  ADD EXISTING AGENCY TO A PRE-AWARD RECORD .................................................................... 21
  ADD NEW AGENCY TO A PRE-AWARD RECORD .............................................................................. 22
  ADDING ADDITIONAL PRE-AWARD DETAILS ................................................................................ 24
  ETHICS ................................................................................................................................................ 25
  SPECIAL REQUIREMENTS ................................................................................................................ 25
  DOCUMENTS SECTION .................................................................................................................... 27

SAVE, CLOSE, OR REOPEN A RECORD ............................................................................................... 28
  SAVE RECORD WITHIN PREPARATION STATUS ............................................................................... 28
  LOCKED RECORD ............................................................................................................................... 29

OPEN AND EDIT RECORD FROM DASHBOARD LIST ......................................................................... 30
  VIEW OR EDIT A PRE-AWARD RECORD FROM THE PRE-AWARD MENU ......................................... 31

TEAM MEMBER CREATES A PRE-AWARD RECORD ........................................................................... 33
  CHANGE PI ......................................................................................................................................... 34
  PI VIEWS RECORDS CHANGES MADE BY TEAM MEMBER .............................................................. 35
  TEAM MEMBER SUBMITS PRE-AWARD RECORD TO PI ................................................................... 37

PRE-AWARD ACADEMIC APPROVALS ................................................................................................. 38
  AUTOMATED APPROVAL NOTIFICATION ....................................................................................... 40
  APPROVE RECORD ............................................................................................................................ 43
RMS PRE-AWARD LEARNING GUIDE
2019-07-08 3:07:00 PM

PRE-AWARD RECORD NOT APPROVED ................................................................................. 45
PRE-AWARD RECORD RETURNED TO PI FOR FURTHER INFORMATION ........................... 48
PI RESUBMITS RECORD FOR APPROVAL WITH INFORMATION REQUESTED ..................... 49
ADD AN APPROVER ............................................................................................................. 52
RESEQUENCE APPROVERS ............................................................................................... 54
SENDING NOTIFICATIONS .................................................................................................. 55
SEARCH FOR RECORDS ......................................................................................................... 57
MENU SEARCH ....................................................................................................................... 57
CONDUCT FILTERED SEARCH .............................................................................................. 58
CONDUCT SINGLE FILTER SEARCH ...................................................................................... 59
CONDUCT AND SAVE A MULTI-FILTERED SEARCH ............................................................. 60
LOAD A SAVED FILTER .......................................................................................................... 61
PI SEARCHES FOR PRE-AWARD RECORDS WITH TEAM MEMBERS ASSIGNED ............... 61
DESIGNATE SEARCHES FOR RECORDS ASSOCIATED WITH A PI .................................. 62
VIEW/PRINT PRE-AWARD RECORD DETAILS ................................................................. 64
VIEW STATUS LOG FOR A RECORD .................................................................................... 68
Figure 1: RMS Login ................................................................................................................. 6
Figure 2: My Settings .................................................................................................................. 7
Figure 3: Dashboard Banner ........................................................................................................ 7
Figure 4: Profile Key Information Details window ...................................................................... 8
Figure 5: Work Affiliations .......................................................................................................... 9
Figure 6: Switch Role Menu ....................................................................................................... 10
Figure 7: Change Work Affiliation ............................................................................................. 11
Figure 8: Select Different Work Affiliation ................................................................................ 11
Figure 9: Work Affiliation Auto-Populate ................................................................................ 12
Figure 10: Add Designate .......................................................................................................... 13
Figure 11: Add Co-Investigator .................................................................................................. 14
Figure 12: Add Team Member .................................................................................................... 15
Figure 13: Add New Content Menu ........................................................................................... 17
Figure 14: Add a Funding Opportunity ....................................................................................... 18
Figure 15: Populated Funding Opportunity fields ...................................................................... 18
Figure 16: Add New Funding Opportunity into a Pre-award Record ......................................... 20
Figure 17: Relate Agency to Funding Opportunity ...................................................................... 21
Figure 18: Add New Agency to a Pre-award Record .................................................................. 22
Figure 19: New Agency Details Entry ....................................................................................... 23
Figure 20: New Agency Save & Set Status ................................................................................... 23
Figure 21: Cash Requested and Overhead Rate ........................................................................ 24
Figure 22: Ethics .......................................................................................................................... 25
Figure 23: Special Requirements ............................................................................................... 26
Figure 24: File Upload ................................................................................................................ 26
Figure 25: Documents Section ................................................................................................... 27
Figure 26: Things to Do - Drafts ................................................................................................. 28
Figure 27: Locked Record Message ........................................................................................... 29
Figure 28: Mail Icon .................................................................................................................... 29
Figure 29: Things to Do - Drafts ................................................................................................. 30
Figure 30: View or Edit from Pre-Award menu list ................................................................... 31
Figure 31: Save & Set Status ...................................................................................................... 32
Figure 32: Approval Workflow ................................................................................................... 32
Figure 33: Add New Content Menu ........................................................................................... 33
Figure 34: Change PI .................................................................................................................... 34
Figure 35: Add Team Member .................................................................................................... 35
Figure 36: Team Member Edit Tracking .................................................................................... 36
Figure 37: Approval by PI .......................................................................................................... 37
Figure 38: Approval Workflow ................................................................................................... 39
Figure 39: Approval Notification Alert ....................................................................................... 40
Figure 40: Notification email ...................................................................................................... 41
Figure 41: Notification Menu ..................................................................................................... 42
Figure 42: Things to do - Pending Approvals ............................................................................ 42
Figure 43: Approval Main page .................................................................................................. 43
Figure 44: Details Page .............................................................................................................. 43
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.

![Figure 5: Work Affiliations](image-url)
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.

![Figure 6: Switch Role Menu](image)
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 Pl’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. 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 A 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.

2. Click the 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.
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. 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 search for an existing 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**

**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. Double-click the name of the Funding Agency/Sponsor in the Funding Opportunity row and press Ctrl+C to copy the name. If a funding agency is not displayed in the field, select A-Z search option to find an agency.

3. Place your cursor into the Funding Agency/Sponsor search field and press Ctrl+V to paste the agency name from the Funding Opportunity row into the field. A list displays below with the agency listing.

4. Click the beside the agency name in the search list to associate it with the Funding Opportunity.

5. Click Save. Agency fields are populated.
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](image)

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

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

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

![Figure 20: New Agency Save & Set Status](image)
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. 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.
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.

Click the Folder icon in the Letters of Support section to upload supporting documents (e.g., approvals, etc.). The Windows File Explorer window opens.
4. 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.

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

6. 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.

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

---

*Figure 25: Documents Section*
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 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*.

*Figure 26: Things to Do - Drafts*
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.

![Locked Record Message](image)

*Figure 27: Locked Record Message*

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.

![Mail Icon](image)

*Figure 28: Mail Icon*
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:

1. Click Draft Pre-award/applications for completion in Things to 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.

Figure 30: View or Edit from Pre-Award menu list
To progress a Pre-award record for approvals:

1. Click **Save & Progress**.

2. Select **Submitted for approvals**.

3. Click **Save & Set Status**.

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

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
Things to do

2 Draft pre-award/applications for completion

RMS19-28608399: 0628L B Designate Changed Title; Ball, Chad - Surgery
Last edited by Clint Westgard on 28/06/2019 at 10:43 AM

Figure 36: 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.

![Figure 37: Approval by PI](image)

- 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.
ACADEMIC APPROVERS

OPEN NOTIFICATION OF PENDING APPROVAL

OPEN APPLICATION IN THINGS TO DO

REVIEW APPLICATION FOR COMPLETENESS AND VALIDITY

ADDITIONAL SUPPORTING DOCUMENTS NEEDED?

YES

ADD SUPPORTING DOCUMENTS

NO

ADDITIONAL SUPPORTING DOCUMENTS NEEDED?

YES

ADD COMMENTS IF NEEDED

NO

READY FOR APPROVAL?

YES

CLICK SAVE & PROGRESS

SET STATUS TO APPROVED

APPLICATION STATUS UPDATED TO FOR INTAKE BY RESEARCH SERVICES

SET STATUS TO RETURN TO PI FOR FURTHER INFORMATION (APPROVALS WILL NOT BE DISCARDED)

APPLICATION STATUS UPDATED TO PENDING PI INFORMATION

SET STATUS TO NOT APPROVED (ALL APPROVALS DISCARDED)

APPLICATION STATUS UPDATED TO IN PREPARATION

GRANTS OFFICER SUBMITS FOR INSTITUTIONAL APPROVAL

FINAL APPROVAL BY GRANTS DIRECTOR

GRANTS DIRECTOR OR PI SUBMITS TO AGENCY

Figure 38: 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 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.
Figure 40: 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.
To approve a record:

1. In the **Key Information** tab, click the blue pencil icon to view details for the Pre-award record.

![Figure 43: Approval Main page](image)

![Figure 44: Details Page](image)
2. Click the Approvals tab to view approvers.

Only when an approver has a Status of Pending can they approve or not approve a Pre-award record. The next approver in the queue displays as Queued for Approval.

3. Click Save & Progress.

4. Select Approved.

5. 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.

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**.

*Figure 46: Pre-Award/Applications Pending Approval*
8. Select **Not Approved** in the Set Status dialogue box.

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

---

**Figure 47: 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 48: Discarded Approvers**

2. Status of the record is changed to In Preparation

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

   **Figure 49: 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 50: Things to Do Draft List**
PRE-AWARD LEARNING GUIDE

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 50: 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. Click the icon below the Academic Approvals section. The Add Approver page displays.

2. Click the icon below Approver. The Search options display.
3. Enter the approver’s name into the **Keyword** search field, or click the 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**.

---

**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.
   
   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.
3. Click the **dropdown arrow** to change the sort options.

   ![Dashboard Pre-award List View/Search](image)

   *Figure 59: Dashboard Pre-award List View/Search*

   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).

![Figure 60: Search Parameters](image)

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 60: 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.

![Image of filter interface]

Figure 61: 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)

*Figure 62: 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.
4. Select the following filters from each dropdown.
   - Team Members
   - Last name
   - Contains
   - Last name of team member
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.

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.

Figure 64: Designate View of Records
**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 filter 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 65: Designate Filters Pre-award List by PI and Status*
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 66: Open Pre-award Record Detail Overview
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.

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 67: Overall Pre-award Record Details

Figure 68: Create PDF of Pre-award Record Details Page
2. Click the arrow beside the download file.

![Figure 69: Create PDF of Pre-award record](image)

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 66: 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.

![Figure 70: Print Record](image)
4. Click the **Print** icon. The *Print* options dialogue box opens.

![Print Select Window](image1)

*Figure 71: Print Select Window*

5. Select **Print options** and designated University of Calgary printer from the **Destination** dropdown list.

6. Click **Print**.

![Select Print Options](image2)

*Figure 72: Select Print Options*
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 73: Open Record to View Status Log]

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 74: Open Status Log]
Figure 75: Status Log