Creating a Pre-Award/Application Record

Purpose: In order to obtain academic and institutional approval for a grant application, you need to create a Pre-Award Application record in RMS and upload your application documents.

Audience: Researcher, Research Facilitator, Team Member, RSO

Note: External grant applications, including Letters of Intent, must be processed through RMS for academic and institutional approval from the Grants and Awards Division, prior to being submitted to an agency. This occurs, regardless of whether the agency application requires an institutional signature.

For trainee applications, only those requiring an institutional signature need to be reviewed by RSO. If not, these can be submitted directly to the agency.
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 1: 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 A-Z Search icon to search for an opportunity, or enter the name of the opportunity into the Keyword Search field.

3. Click the letter of alphabet in the displayed keyboard to display the opportunities starting with that letter.

   **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 determine whether or not the opportunities should be entered into the funding calendar. Small, one-off opportunities may only be entered into RMS 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.
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.

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

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

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

![Figure 9: New Agency Save & Set Status](image)

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**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**.

   **NOTE:** 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 10: Cash Requested and Overhead Rate](image)

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

![Figure 11: Overhead Rate](image)
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.

CLOSE AND REOPEN AN INCOMPLETE 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.

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.

To open and edit a Draft Pre-award record:

1. Click Draft Pre-award/applications for completion to open the list.

2. Click the hyperlinked title of a record in the list. The record opens and you can continue completing the record.

Figure 11: Things to Do - Drafts
After reopening the Draft Pre-award record, you will complete the remaining sections in the record.

Answering the questions in the Ethics and Special Requirement sections is mandatory for all faculties. The questions are the same as in the Research Funding Application Approval (RFAA) form.

**ETHICS**

1. Select either Yes, No, or not applicable for the questions in the Ethics section.

![Figure 12: Ethics](image)

**SPECIAL REQUIREMENTS**

Selecting ‘yes’ to any of the Special Requirement questions, triggers a requirement for the Special Requirements Details field to be completed for selected faculties. The *asterisk beside Special Requirements indicates that answering the questions is mandatory.

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 Yes radio button below Additional Space or Facilities.

2. Enter details into the Special Requirement Details field.

   Click the Folder icon in the Letters of Support section to upload supporting documents (e.g., approvals, etc.). The Windows File Explorer window opens.
The Letters of Support section does not have version control like the Documents section. Documents can only be deleted (when record has status of In Preparation) 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).

3. 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.

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

5. Click Save.

To upload the funding application:

In order for a Pre-award/Application record to proceed through the approval stage 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 14: File Upload.

3. Select Application from the Type dropdown list.

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

To 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.

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.
To progress the Pre-award record for approvals:

1. Click **Save & Progress**.

![Save & Progress](image)

2. Select **Submitted for approvals**.

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

![Save & Set Status](image)

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

![Approval Workflow Diagram](image)