Last Updated: November 15, 2021

RMS PRE-AWARD

GENERAL USER LEARNING GUIDE

Contents

INTRODUCTION

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

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

RMS facilitates:

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

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

RMS LOGIN AND SETTINGS

LOGIN

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

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

To login into RMS:

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

PSAR – PeopleSoft Access Request

When a person changes roles within the university, they will lose existing permissions in PeopleSoft. If you must delegate signing authority to someone who does not yet have appropriate access in RMS, you must first ensure that they have the correct role in PeopleSoft. In either case, a request must be submitted through PSAR (PeopleSoft Access Request).

This process may take 72 hours or more so it should not be relied upon for last-minute submissions.

Initiate PSAR process

Go to PSAR via MyUCalgary

OR

Submit request through IT

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

It is a good idea to periodically check the status of your PSAR request to see where it is in the process (i.e., who needs to provide approval).

DASHBOARD FEATURES - LAYOUT

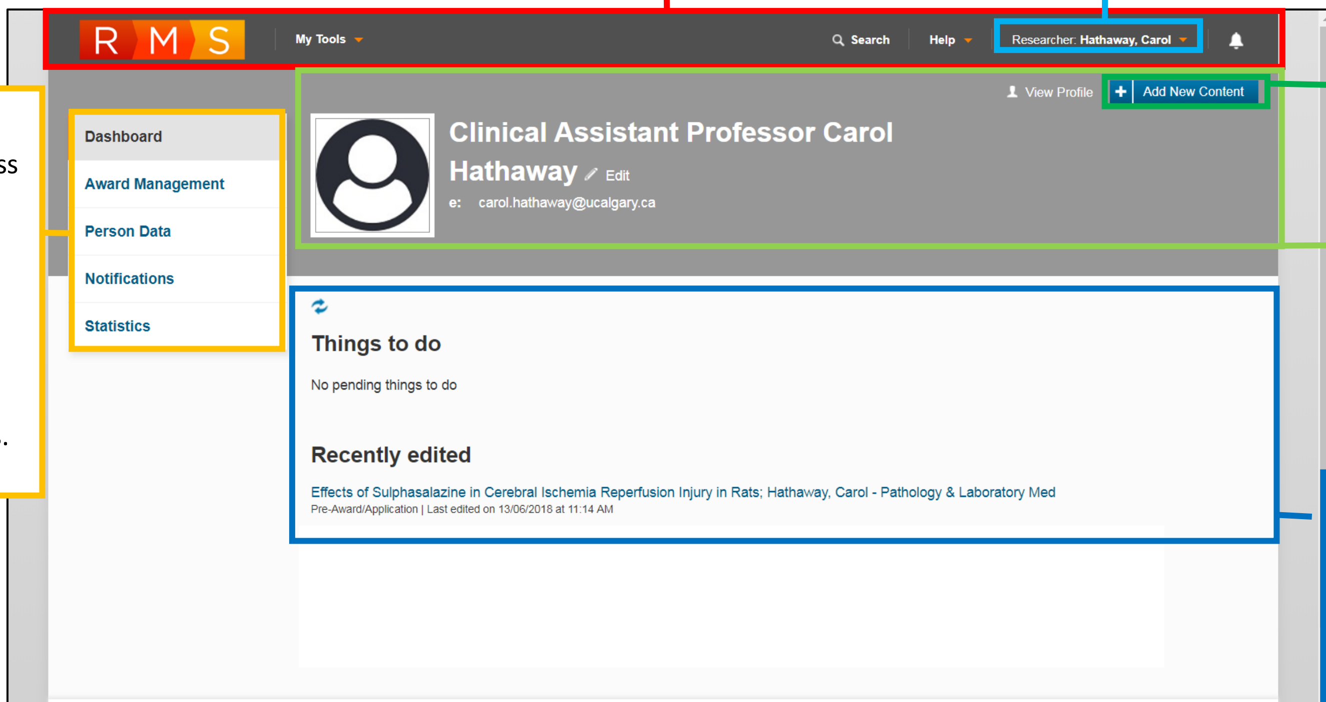
The **Log In Menu** in the top menu toolbar, provides you with several options related to your profile.

The RMS **Logout** is also available in the menu.

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

The **Left Navigation Menu** provides access to research process and administration tools.

The options that appear are dependent on your role and permissions.



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

The profile **Edit** feature is in the **Dashboard Header**.

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

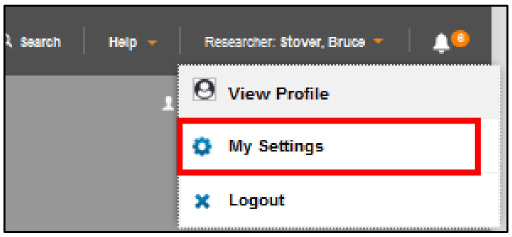
The **Recently edited** list displays records recently edited by you.

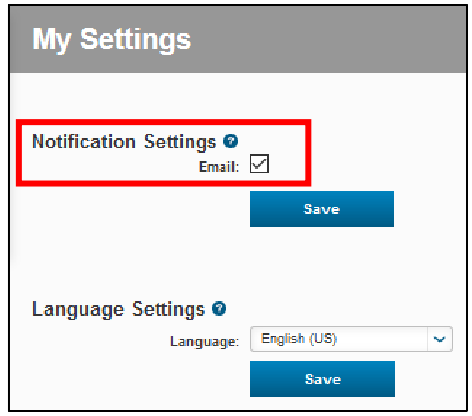
DASHBOARD FEATURES - MENUS

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

To toggle email notification settings:

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





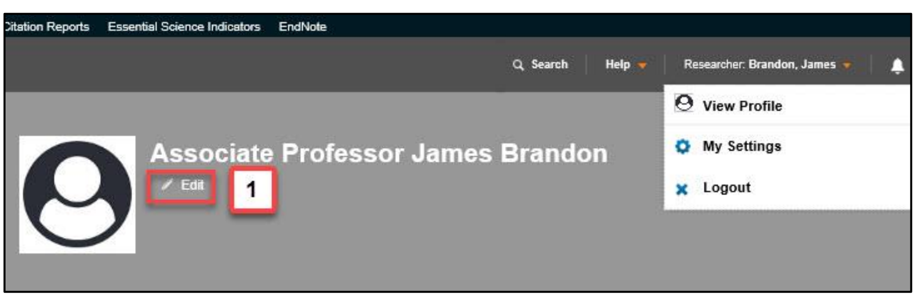
3. Check or uncheck the "Email" checkbox and then click **Save**. It is highly recommended that you keep this box checked so that you receive notifications from the system.

Person Data>People

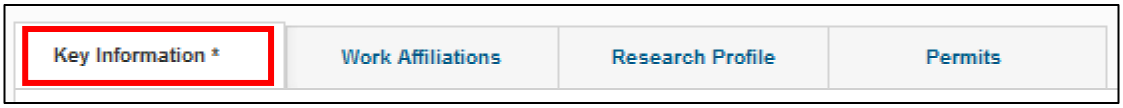
Profile information is populated daily from PeopleSoft. There are additional sections and fields where you can add more information. These sections pertain to your work affiliations, research, and provide more information about your professional accreditations.

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.



Key Information tab

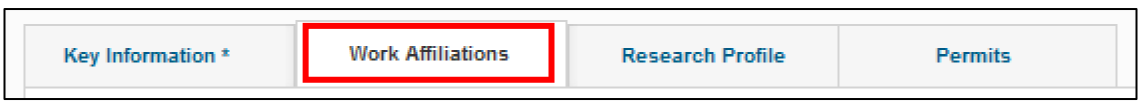


In the *Key Information* tab, you can:

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

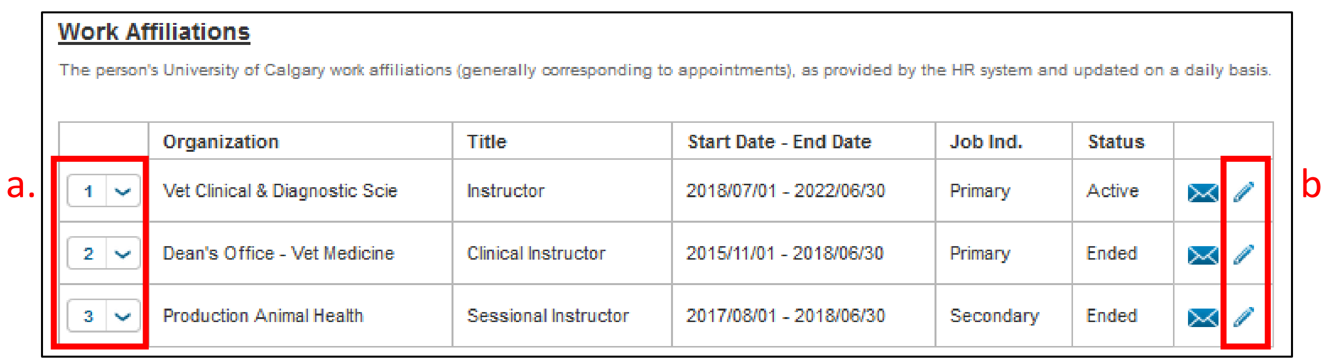
This is also where you can add a **Designate** which we be covered later in this guide.

Work Affiliations



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

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



Work Affiliations

The person's University of Calgary work affiliations (generally corresponding to appointments), as provided by the HR system and updated on a daily basis.

	Organization	Title	Start Date - End Date	Job Ind.	Status	
1	Vet Clinical & Diagnostic Scie	Instructor	2018/07/01 - 2022/06/30	Primary	Active	
2	Dean's Office - Vet Medicine	Clinical Instructor	2015/11/01 - 2018/06/30	Primary	Ended	
3	Production Animal Health	Sessional Instructor	2017/08/01 - 2018/06/30	Secondary	Ended	

RMS ROLES

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

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

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

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

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

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

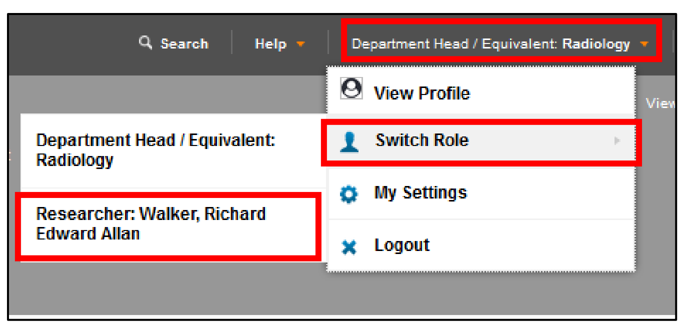
SWITCH ROLE

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

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

To verify your RMS role:

1. Click the **dropdown arrow** beside your login username.
2. Select **Switch Role** from the menu list.
3. Select a role.



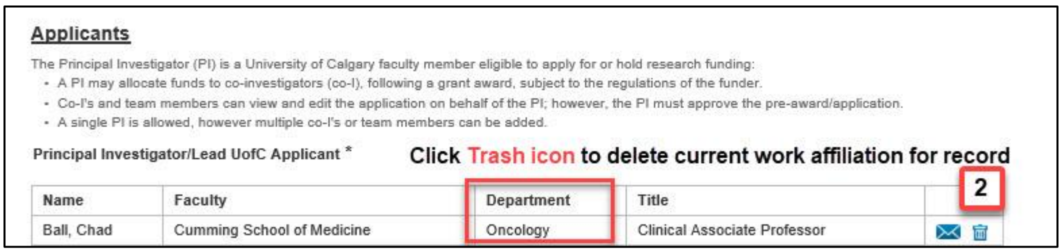
PRE-AWARD RECORD WORK AFFILIATIONS

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

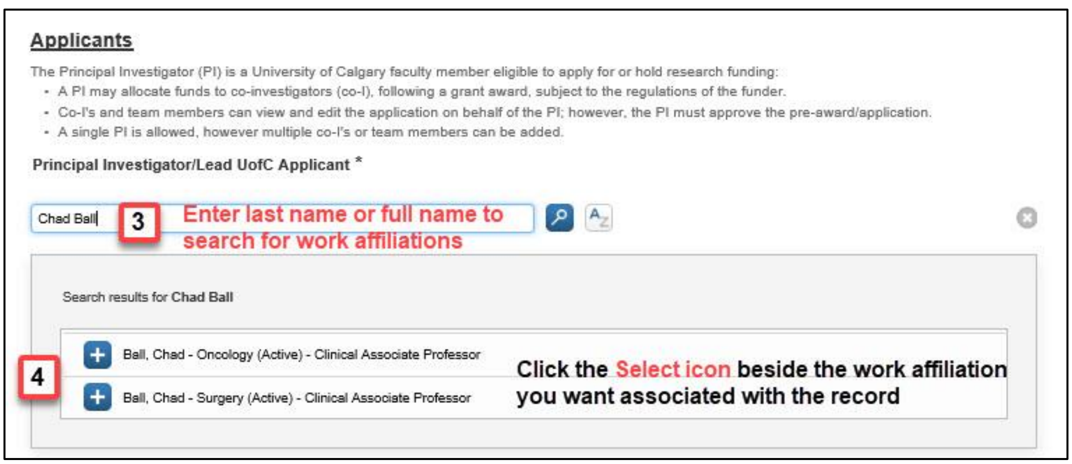
RMS records can be associated with a specific work affiliation.

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

1. Within the Pre-award record, navigate to the **Applicants** section.
2. Click the **Trash** icon to delete the current work affiliation for the record.



3. Enter the name of the PI into the **Keyword search** field. A list displays with the individual's work affiliations.



4. Click the icon beside the person's name in the list to add them into the record. Details pertaining to the person auto-populate in the **Principal Investigator** fields.
5. Click **Save**.

DESIGNATE

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

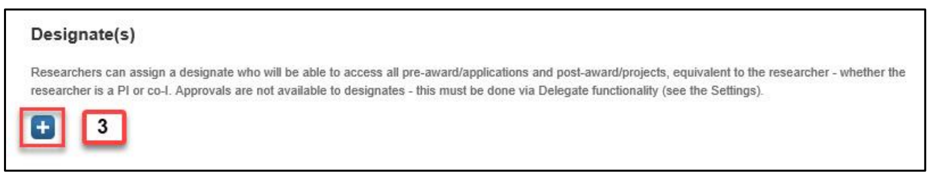
Designates have access to pre-award/applications equivalent to a Researcher where they can edit or contribute to a PI's Pre-award records when designated by the PI.

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

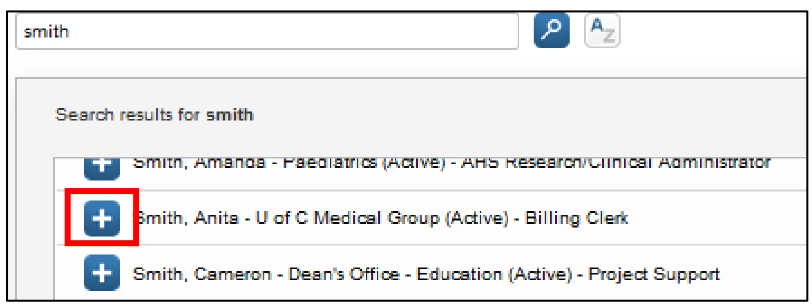
While Designates do not receive notifications, they can email contacts from within RMS.

To add a Designate:

1. Click **Edit** beneath your name in the dashboard banner. The *Key Information* page displays.
2. Scroll down to the bottom of the *Key Information* page.
3. Click the icon at the bottom of the page below **Designate(s)**. The search field displays.



4. Click the icon.
5. Add the designate by clicking icon beside the name of the person you want to add.



6. Click **Save** to apply the change. The Designate can now view all Pre-award records associated with the PI who added them as a designate.

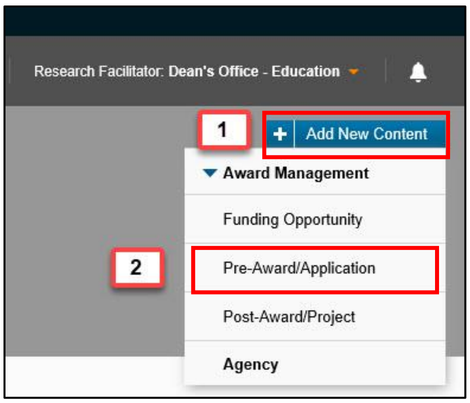
CREATE NEW PRE-AWARD/APPLICATION

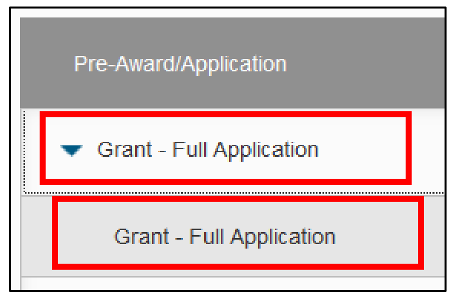
To create a new Pre-award/application:

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.





INTERNAL PEER REVIEW

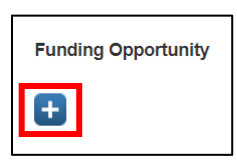
This question may be answered or left blank.

1. Choose yes or no.

ADD EXISTING FUNDING OPPORTUNITY AND FUNDING AGENCY TO A PRE-AWARD RECORD

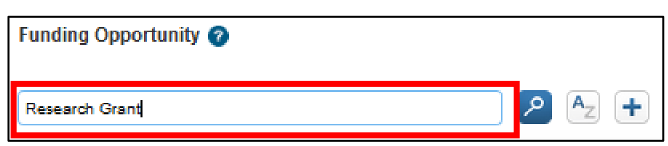
The next step is to search for and select the Funding Opportunity.

To search for an existing funding opportunity in RMS:



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

2. Search for the funding opportunity that corresponds to the information in the NoD. You can type the name in the

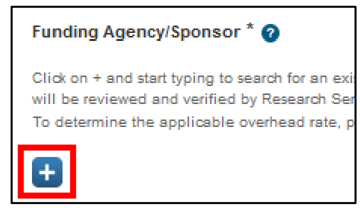


search field, or to browse all funding opportunities, click the A-Z icon.

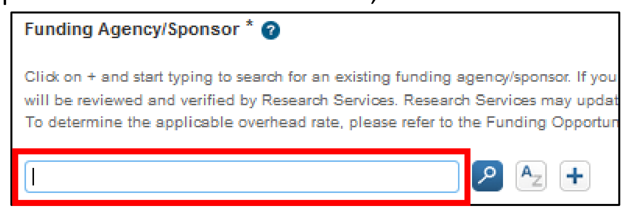
3. Click the **icon** beside the funding opportunity to add it to the record.

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

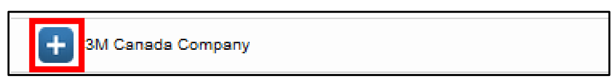
4. To manually add a funding agency, click the icon under Funding Agency/Sponsor to add the source of funds. This should match what is in the Notice of Decision.



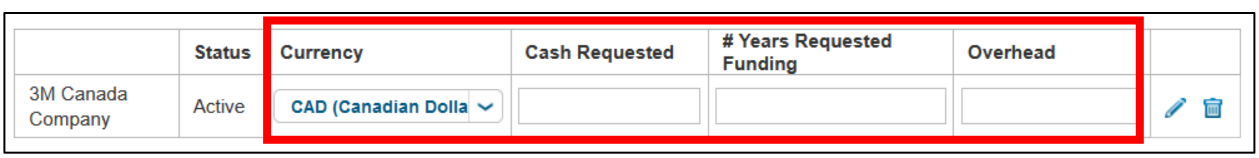
5. To search for a specific agency or sponsor, type the name in the search field, or to browse all sources, click the A-Z icon.



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



7. If the currency is other than the pre-populated Canadian Dollar default, select a **Currency** from the dropdown list.



8. Enter an amount in the **Cash Requested** field. The 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**.*

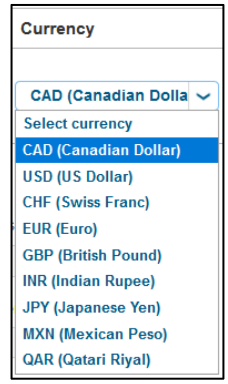
9. Enter the **# of Years Requested for Funding**.

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

    Overhead Rate refers to costs associated with running a project. The Overhead Rate field is a freeform text field which supports either a number or per cent to be entered. Please note that Overhead recovery, *as applicable, is required by the University of Calgary for institutional approval of grants. Enter the project title from the application into the Full Project Title field. Values in this field are validated by Research Services once the record proceeds to [For Intake by Research Services](#).*

FOREIGN EXCHANGE

Of the listed currencies, the following are automatically converted overnight to Canadian using data from PeopleSoft on the deadline for the application.



- USD → CAD
- EUR → CAD
- GBP → CAD
- QAR → CAD

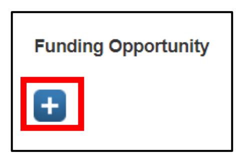
Note: The University of Calgary Treasury Department ensures that foreign exchange rates are updated regularly, using a feed from the Royal Bank of Canada (RBC) to update the four selected currencies on week days. The other currencies are converted to Canadian manually using the daily exchange rate.

(OPTIONAL) CREATE AND ADD A NEW FUNDING OPPORTUNITY

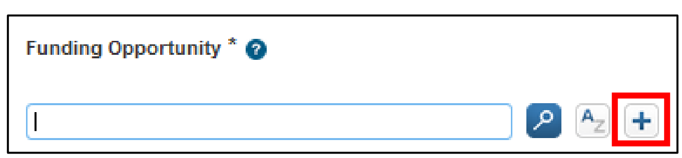
The Research Services Office enters most funding opportunities into the Funding Calendar which become accessible in RMS. If a Researcher identifies a new funding opportunity and can't find it in the funding calendar or RMS database, a new one is created. This typically occurs for small, one-off funding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

To add a new funding opportunity in RMS:

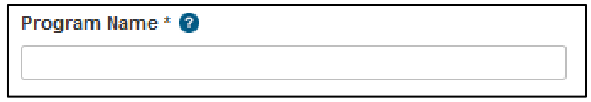
1. Click the + icon below the **Funding Opportunity** section. The text entry field will display.



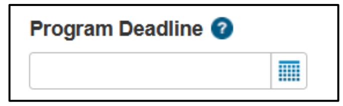
2. Click the + icon beside the **Funding Opportunity entry** field. The *New Funding Opportunity* window opens.



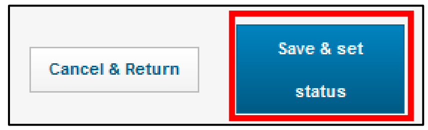
3. Enter the funding opportunity name into the **Program Name** field.



4. If the opportunity is connected to an existing agency, click the icon to add the agency.
5. Under the Program Deadline field, add the deadline.



6. If known, add any other information about the funding opportunity to the Key Information and/or Details tabs.
7. Click **Save & set status** when complete.



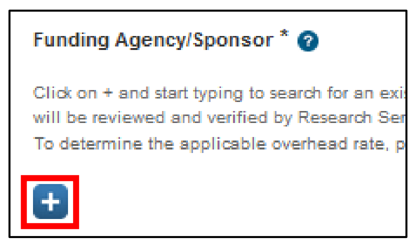
(OPTIONAL) CREATE AND ADD NEW AGENCY

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

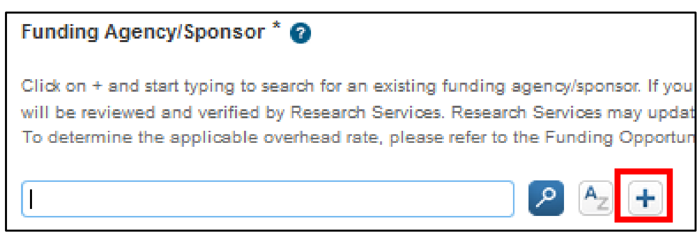
Each new funding opportunity and agency is reviewed and approved separately from the Pre-award record. These reviews occur in parallel with Pre-award academic approvals to facilitate the continued progression of the Pre-award record.

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

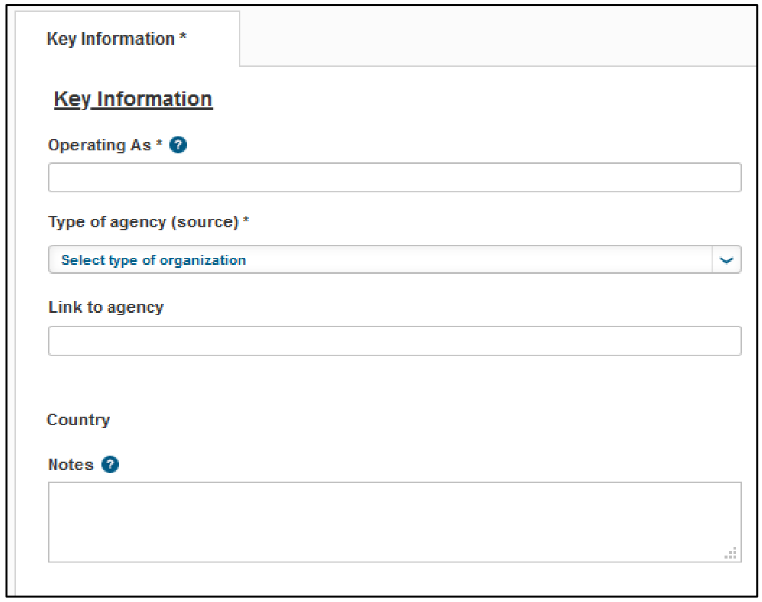
1. Click the icon below **Funding Agency/Sponsor.** The search options display.



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



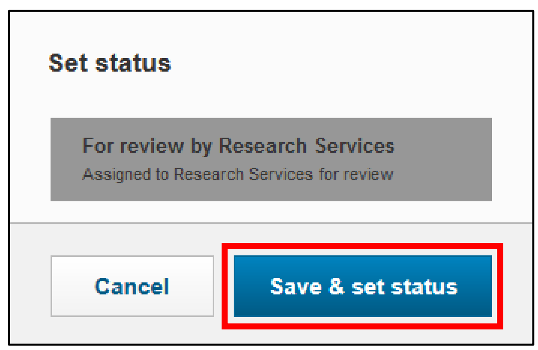
3. Enter the agency's name into the **Operating as** field. This is name that is used to conduct business and maybe an abbreviated form of the legal name.
4. Click the dropdown arrow in the **Type of agency (source)** field to select a type.
5. Enter the website URL for the agency in the **Link to Agency** field.
6. Enter any relevant details into the **Notes** field.



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

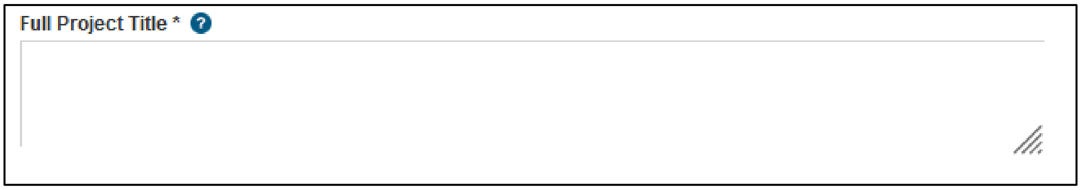
8. Click **Save & Set Status**.

9. Select For review by Research Services.
10. Click **Save & Set Status**.



PROJECT TITLE

Add the title of the project to the full project title field.



APPLICANTS SECTION

The Principal Investigator (PI) is a University of Calgary faculty member eligible to apply for or hold research funding.

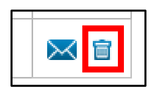
A Co-investigator is typically someone who makes a significant contribution to the intellectual direction and/or conducts research or research related activities. They may also have responsibility for financial aspects of research.

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

1. If you are the PI, verify your name and affiliation is correct under **Principal Investigator/Lead UofC Applicant.**

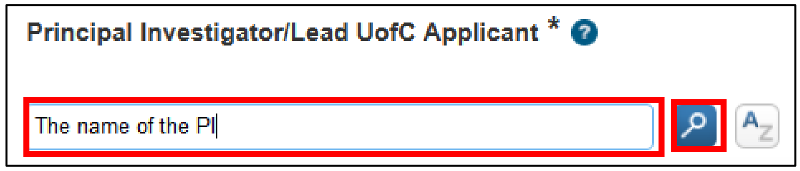
Note: If you are not the Principal Investigator, remove yourself from the PI position by clicking the trash can icon to the right of your name.

If you are creating this award on behalf of the PI, or if you need to change your affiliation, remove yourself from the Principal Investigator role by clicking the **trash can icon** to the right of your name. (The system automatically puts the creator of the record in the PI spot.)

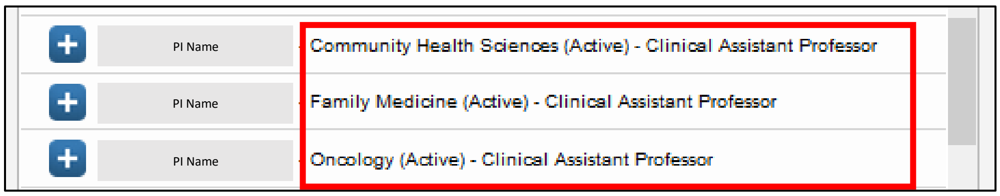


2. To add the correct PI, click the **plus icon** under Principal Investigator/Lead UofC Applicant.

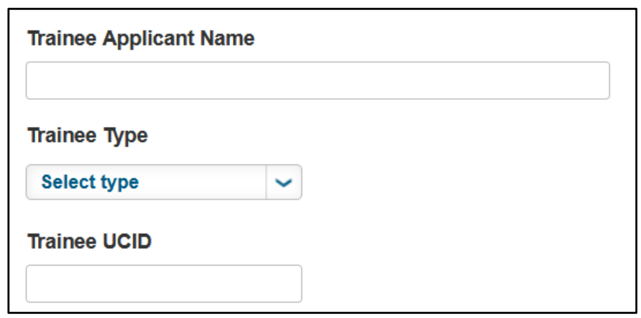
3. Type the name of the PI and click the **search icon**.



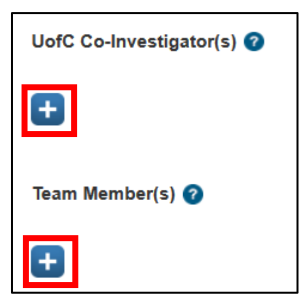
In the list of names, choose the name with the correct work affiliation for this project. Click the **plus icon** beside that name.



4. If the award is in a trainee's name, e.g., a studentship or fellowship, provide information about the trainee. Otherwise, leave these fields blank.

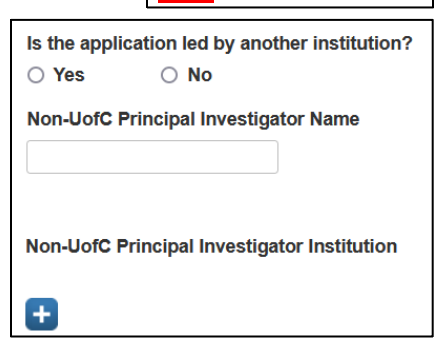


5. Add any UofC Co-Investigator or UofC Team Members. Use the same method as above to add people. Only people in the University of Calgary system can be found in RMS.



Note: If you are not the PI, you need to add yourself to the record as a Co-I or Team Member in order to maintain access to the record after saving or submitting it.

6. If the application is led by another institution, provide information about the non-UofC principal investigator and institution. Otherwise, leave these fields blank.



PROJECT INFORMATION

1. Answer the two Project Information questions.

Project Information

Does this project involve research with First Nations, Métis, or other Indigenous peoples?
○ Yes ○ No

Does this project involve research activities or collaborators outside of Canada?
○ Yes ○ No

ETHICS

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

Ethics

Does this research involve human subjects? *
○ Yes ○ No

Does this research involve clinical trials? *
○ Yes ○ No

Will human subjects outside Canada be involved in clinical trials? *
○ Yes ○ No ○ Not Applicable

If enrolling subjects outside Canada in Clinical Trials, have you budgeted for insurance costs? *

If you have NOT budgeted for insurance and you will be enrolling subjects from outside Canada in any clinical trials, please visit here for insurance estimates.

○ Yes ○ No ○ Not Applicable

Does this research involve animal care? *
○ Yes ○ No

Does this research involve biohazards? *
○ Yes ○ No

Are you conducting research on Alberta Health Services property? *
○ Yes ○ No

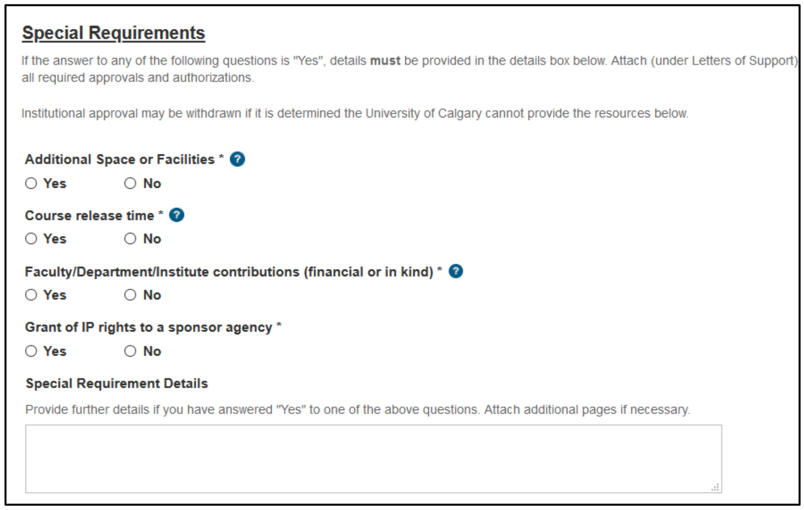
Does this research involve cannabis? *
○ Yes ○ No

SPECIAL REQUIREMENTS

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

To add Special Requirements:

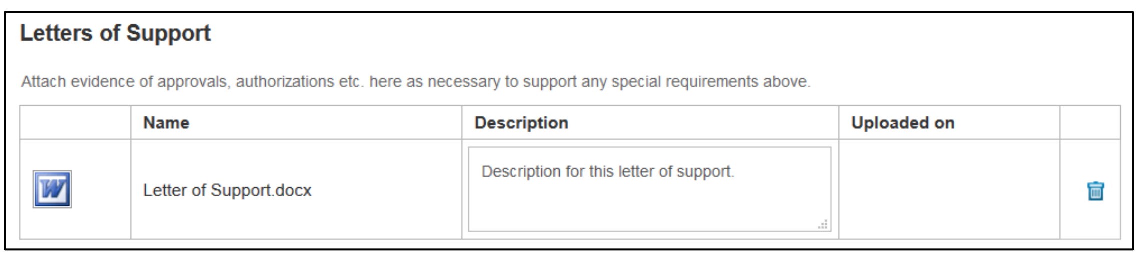
1. Select the radio button for the answer applicable to each question.
2. If you answer 'Yes' to any of the questions, additional supporting details and documents can be added into the **Special Requirement Details** field and **Letters of Support** section.



UPLOAD SPECIAL REQUIREMENT DOCUMENTS

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

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

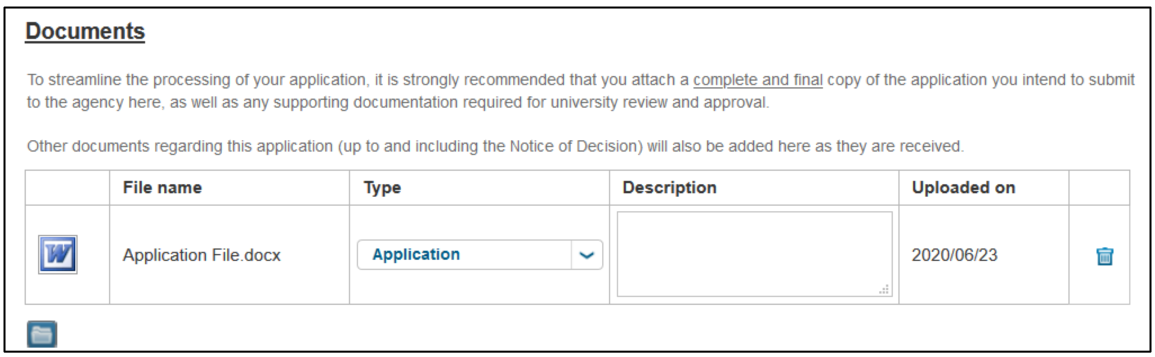


3. Enter a file description (e.g., signed approvals) into the **Letters of Support Description** field.
4. Click **Save.** The *Uploaded on* date will appear.

DOCUMENTS SECTION

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

1. Click the folder icon in the **Documents** section. The Windows *File Explorer* window opens.
2. Select the document and click **Open** in the *File Explorer* window.
3. Select the type of file from the **Type** dropdown list.
4. Click **Save**. The date is populated into the **Uploaded on** field.

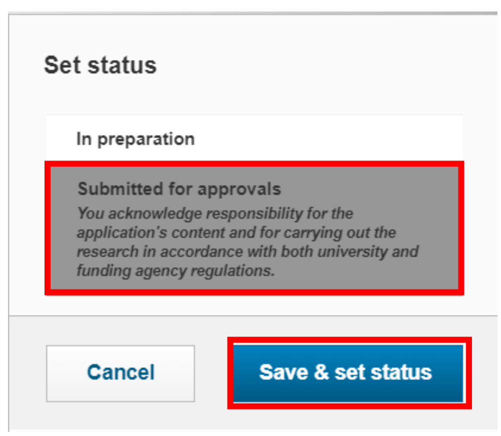


5. To delete a document, click the trash can icon to the right side of the document.

SUBMIT FOR APPROVALS

1. Click **Save & Progress**.

2. Select Submitted for approvals.
3. Click **Save & Set Status**.



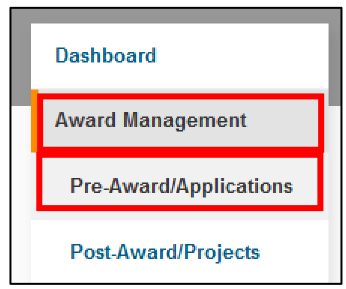
SAVE, CLOSE, OR REOPEN A RECORD

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

IDENDTIFY THE STATUS OF AN APPLICATION/RECORD

RMS will not send email notifications when a application's status changes unless the status requires input or attention. In most cases, you must login to RMS to check the status. It is recommended to verify the status of an application once it has been submitted for academic approvals to ensure the status was properly changed from In Preparation.

1. From the Dashboard, click **Award Management** > **Pre-Award/Applications.**



2. From the list displayed (or using a search filter), locate the record you want to view the status of.

The status of that record is displayed in the top right corner.

Note: If, after completing the application, the record's status is In Preparation, it means the record has not yet been sent for approvals.

SAVE RECORD WITHIN IN PREPARATION STATUS

To save a record with In Preparation status:

1. Click **Save & Progress.** The *Set Status* dialogue box opens**.**
2. Select **In Preparation.**
3. Click **Save & Set Status**. The record closes and appears in the **Dashboard>Things to Do>Draft Pre-award Applications for Completion**.

LOCKED RECORD

Pre-award records with a status of either In Preparation or Submitted for Approval cannot be **edited** by two users at the same time. The records can be viewed, but not edited.

If you open a record and attempt to edit and save changes to a record that is open by another user, you will receive the message “currently being edited by *Surname, Name”*.

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

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

	Description	Status	Approval By	Approval Date	
1	Approval by Associate Dean (Research)	Pending approval	Roy, Sylvie		
2	Approval by Dean	Queued for approval	Sumara, Dennis		

OPEN AND EDIT RECORD FROM DASHBOARD LIST

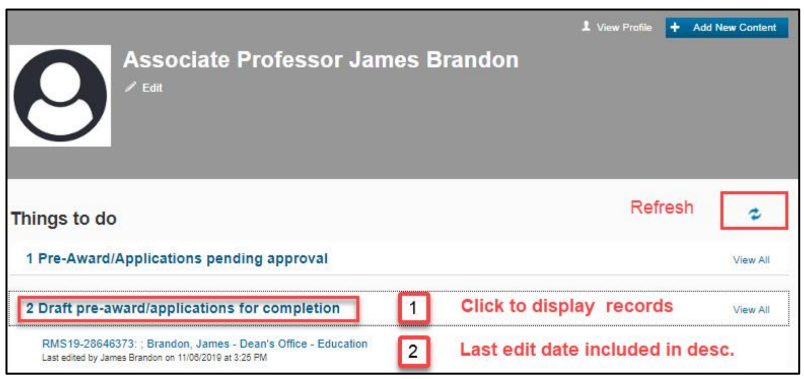
If you are working in a record, and need to close and finish later, the details below provide instructions for opening and editing a record.

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

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

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

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



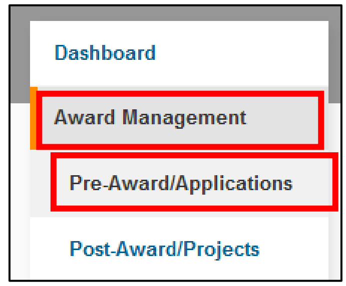
After reopening the Draft Pre-award record, you will complete the remaining sections in the record.

WITHDRAWING OR DELETING A PRE-AWARD APPLICATION

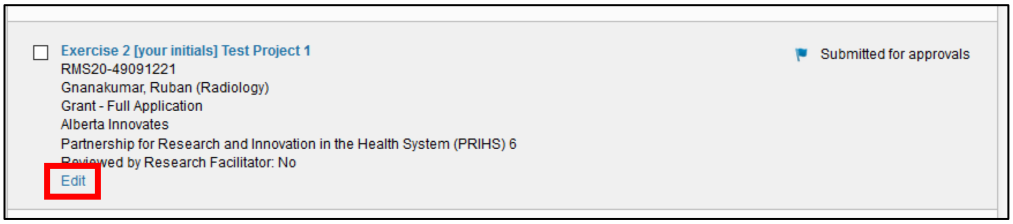
While an application is In preparation, it can be deleted by the Principal Investigator. Once submitted for approvals, the record cannot be deleted. In some circumstances, a PI may want to withdraw their RMS application. This can be done anytime before the application has the status Submitted to Agency. Once submitted to the agency, the application cannot be withdrawn. A withdrawn application will remain in the system to view only.

To withdraw an application:

1. From the Dashboard, click **Award Management** > **Pre-Award/Applications.**



2. Locate the record you want to withdraw and click **Edit** to open.



3. Click **Save & Progress**.

4. Select **Withdrawn** and then click **Save & set status.**

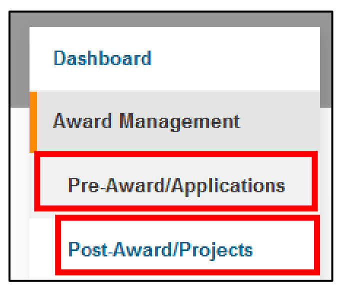
Note: An application cannot be "reactivated" once it is withdrawn. The contents of it will be visible in a read-only format.

Note: A Designate nor Team Member <u>cannot</u> withdraw an application, this can only be done by the person listed as the Principal Investigator on the record.

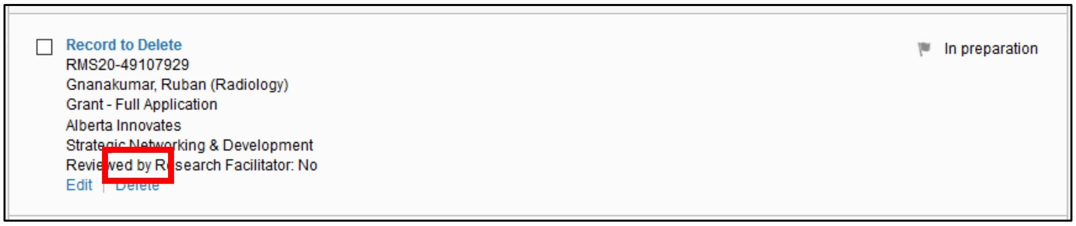
To delete an application:

Note: Only a record <u>In preparation</u> can be deleted.

1. From the Dashboard, click **Award Management** > **Pre-Award/Applications**

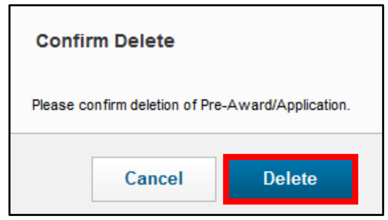


2. Locate the record you want to delete.



3. Click **Delete**.

4. Confirm by clicking **Delete**.



Note: Once deleted, the record will no longer be accessible in the system.

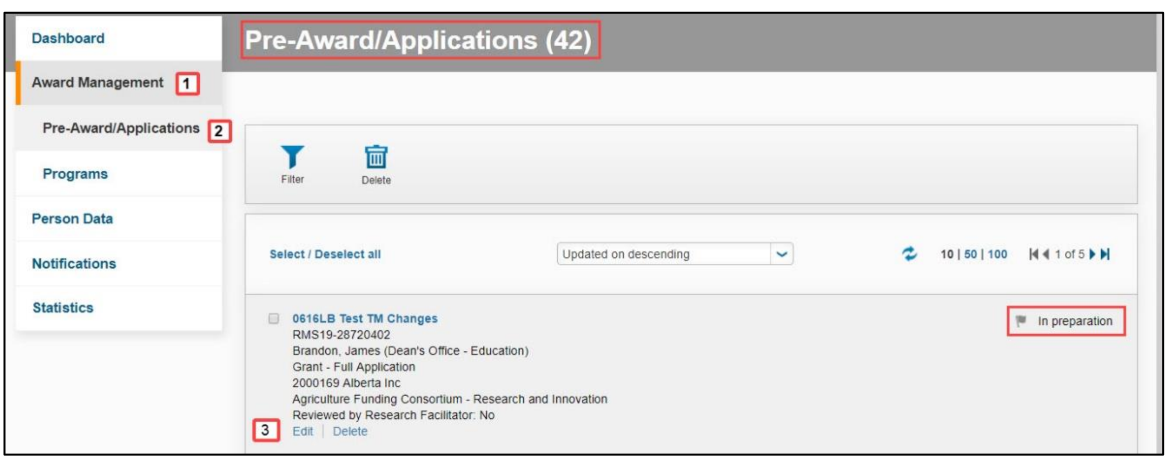
Note: A designate can delete an <u>In preparation</u> application where their designee is the PI.

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.

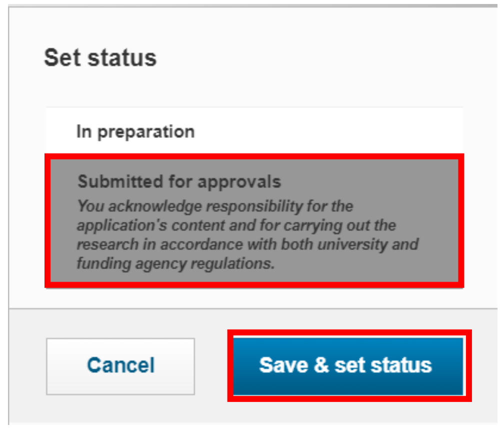


To progress a Pre-award record for approvals:

4. Click **Save & Progress**.

5. Select Submitted for approvals.

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



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

PRE-AWARD ACADEMIC APPROVALS

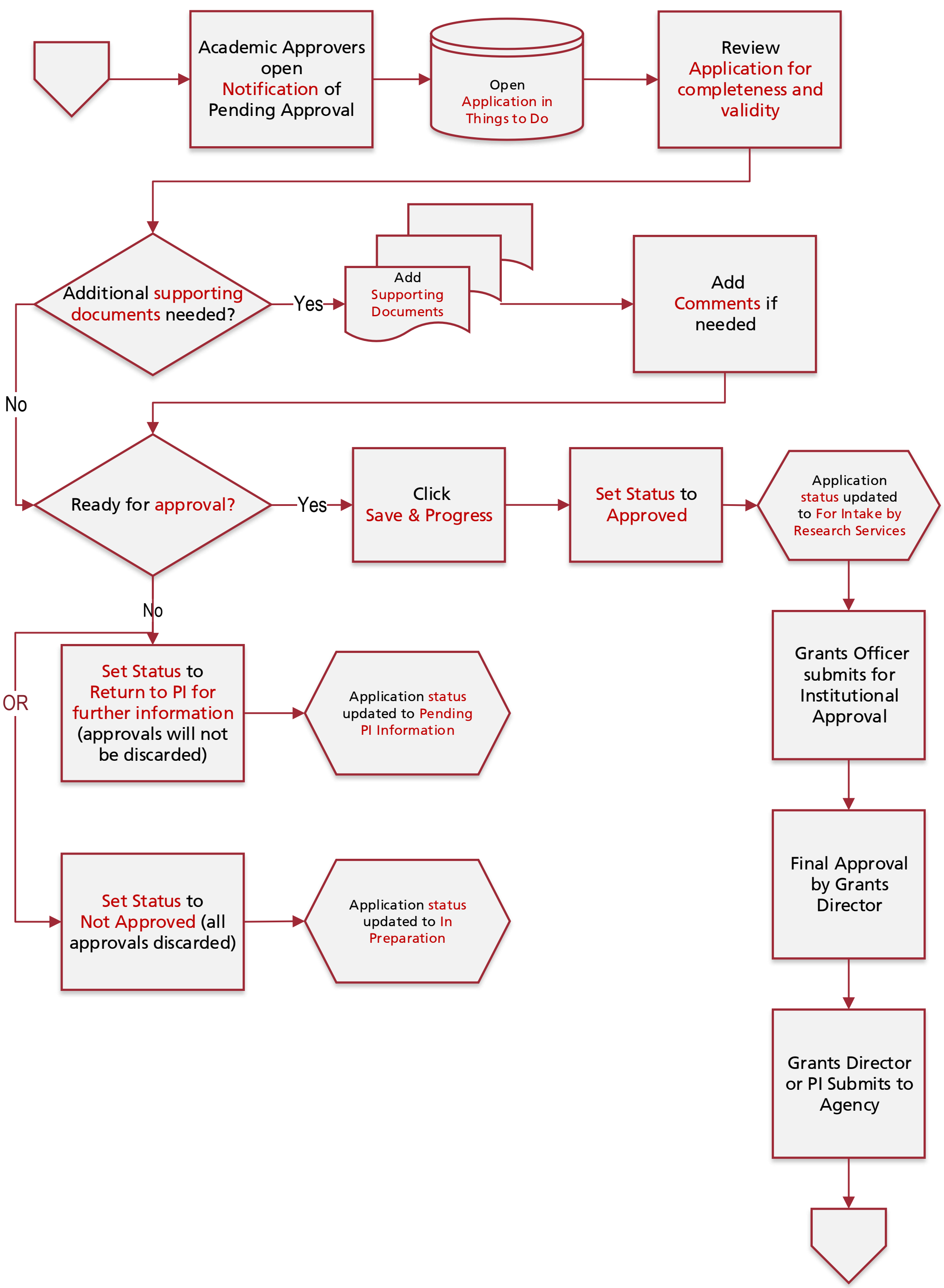
University policies based on regulatory or audit requirements and risk mitigation practices, govern approval workflows. RMS embeds the approval workflow based on those policies.

- Typical approval workflows include two-level approval (i.e., departmentalized faculty approvers would include Department Head and Associate Dean Research (ADR)), as determined by the faculty.)
- For non-departmentalized faculties, typically approvals are only completed by the ADR
- There is also the potential for tri-level approvals. For example:
    - applications with special requirements require additional review from the Research Administrator for Medicine, Veterinary Medicine, and Kinesiology faculties
    - new Funding Opportunities created within a Pre-award record require approval from RSO
- Approvers (e.g., ADR) with a dual role of Researcher cannot create and approve their own Pre-award records where they are named as the Principal Investigator (PI).
- Team Members can only submit a Pre-award record to a Principal Investigator (PI) for approval.

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

Typical approvals in the Education faculty include only the ADR.

APPROVAL WORKFLOW



AUTOMATED APPROVAL NOTIFICATION

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

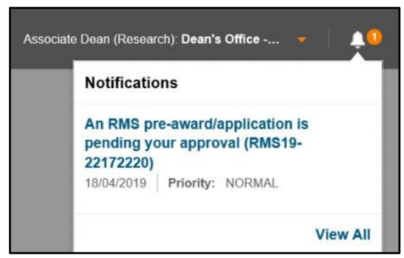
IMPORTANT NOTE: By default, users receive approval notifications within RMS and by email to their University of Calgary email address.

To turnoff University of Calgary email notifications:

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

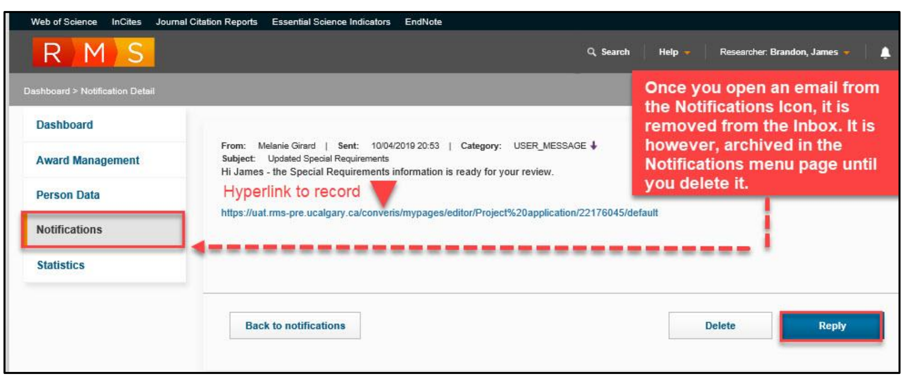
To view a notification alert:

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



*To open a notification from the **Notifications** menu:*

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



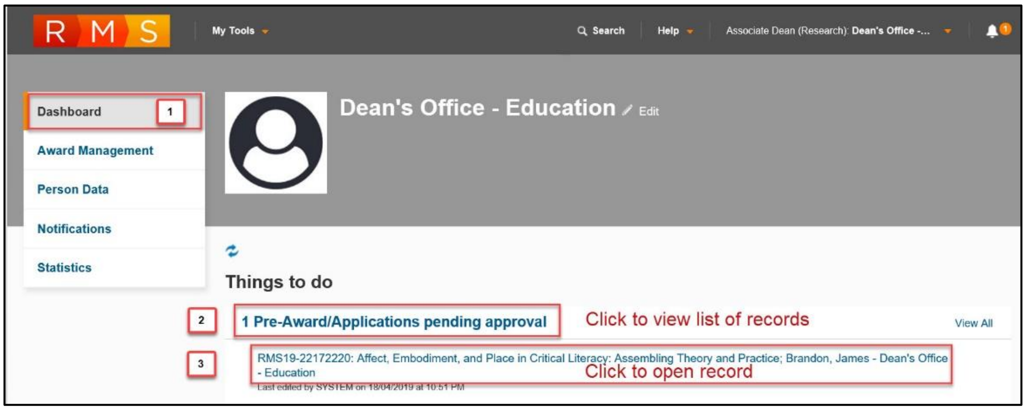
Click **Reply** button to respond to notification. Replies are not stored in the Notifications inbox.

2. Click the hyperlink to open the record.

APPROVE OR NOT APPROVE A PRE-AWARD APPLICATION

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

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

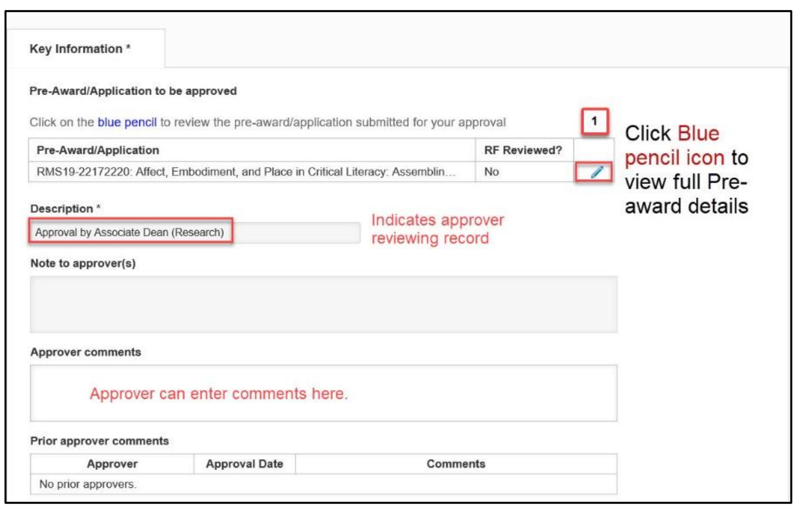


To review the details of a record prior to approving it:

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

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

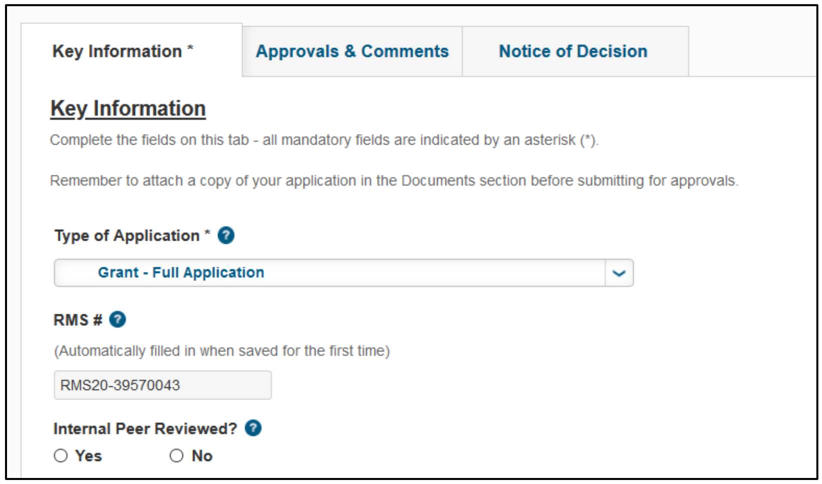
You can enter comments and **approve** from this page, or navigate to the blue pencil to view the full Pre-award details.
To approve it now, skip to step 4.
To view full details, proceed to step 2.



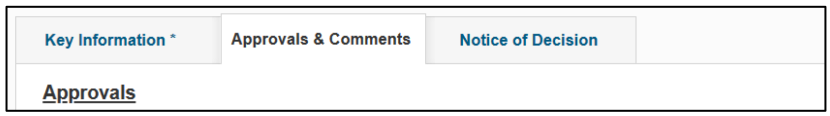
Navigate to this page to view Pre-award details and supporting documents.
This screen will have 3 tabs:

- Key Information
- Approvals
- Notice of Award

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



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



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

Academic Approvals

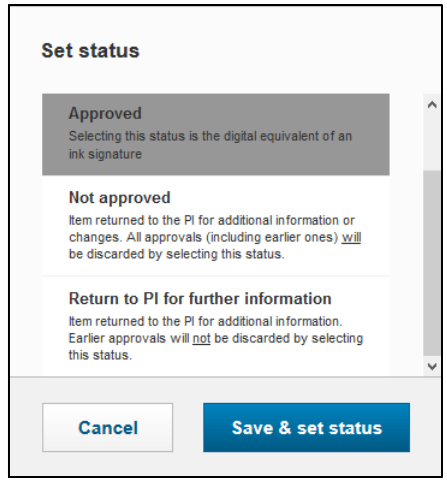
	Description	Status	Approval By
1	Approval by Department Head / Equivalent	Pending approval	Pike, G. Bruce; Walker, Richard Edward Allan
2	Review by Research Administrator	Queued for approval	Beug-Jang, Patty; Gabel, Ryan; Pringle, Jessica; Rai, Cristina; Schroder, Kelly; Slobozian, Jenna; Westgard, Clint
3	Approval by Associate Dean (Research)	Queued for approval	MacQueen, Glenda; Meddings, Jonathan Basil; Turner, Raymond William; Zamponi, Gerald

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

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

4. Click **Save & Progress**.

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

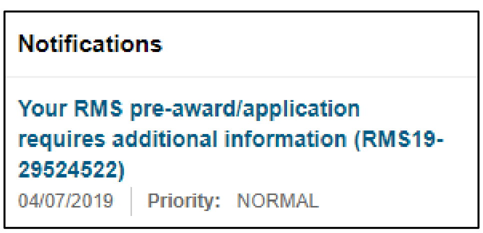


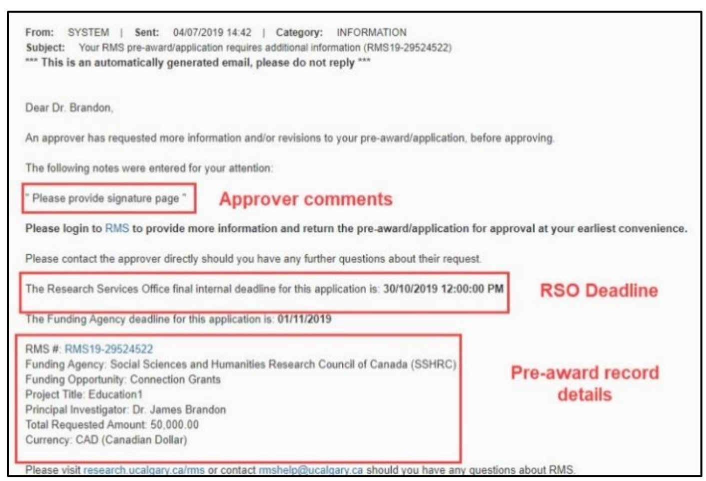
6. Click **Save & Set Status**. The status of the record remains as Submitted for Approval until all academic approvals are completed.

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

PI RESUBMITS RECORD FOR APPROVAL WITH INFORMATION REQUESTED

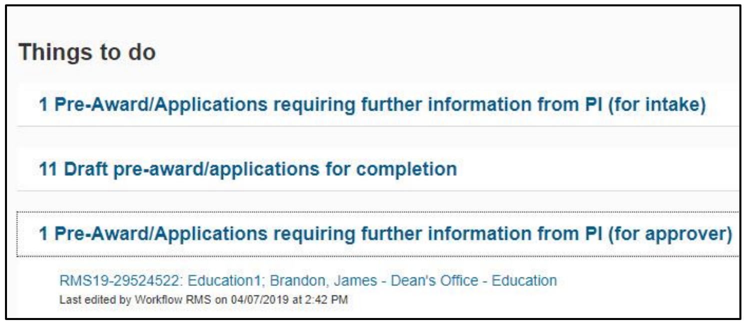
When the approver returns the record to the PI, the PI receives a notification. The approver's comments are included in the notification.





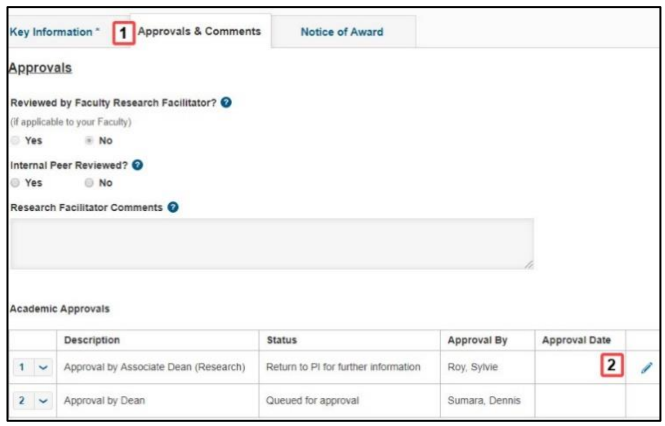
To open the record requiring further information:

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

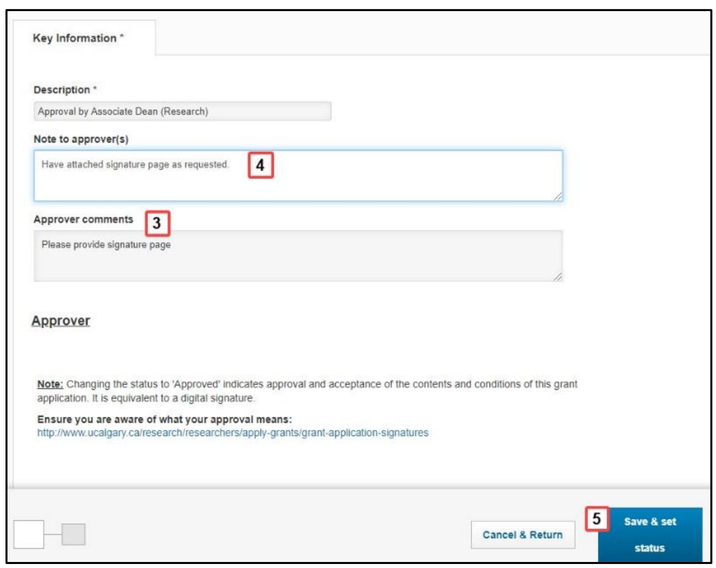


To respond to approver comments:

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.

SEARCH FOR RECORDS

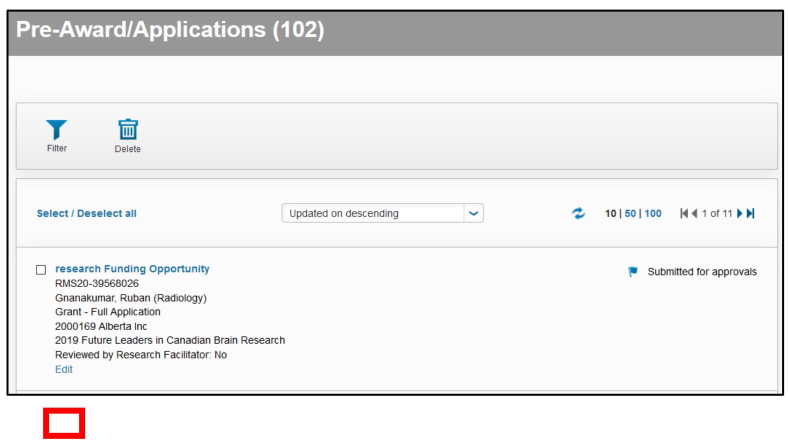
MENU SEARCH

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

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

To open a file in this view:

1. Click **Edit** below the record.



CONDUCT FILTERED SEARCH

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

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

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

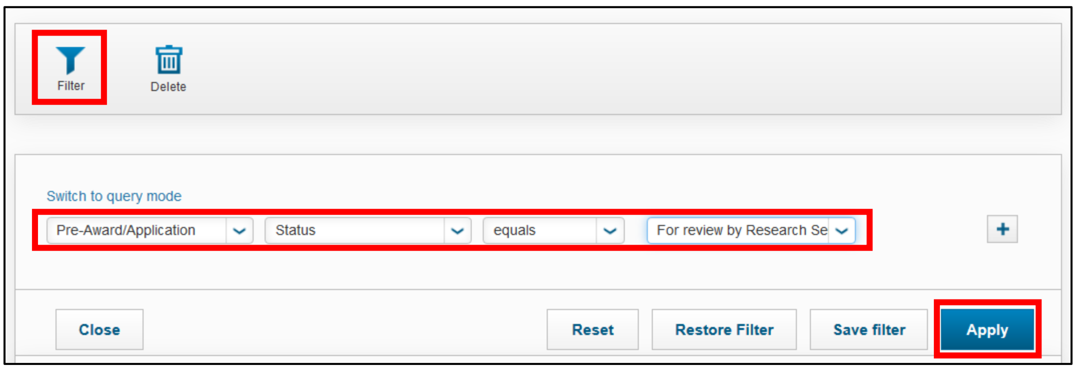
Researcher/Team Member/Designate

- Pre-award>RMS#>contains>xyz (e.g., last three numbers)

- Pre-award>Type of Application>Equals>xyz type (e.g., Grant Full Application)
- Pre-award>Created on>equals>date
- Pre-award>Status>equals>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services

CONDUCT SINGLE FILTER SEARCH

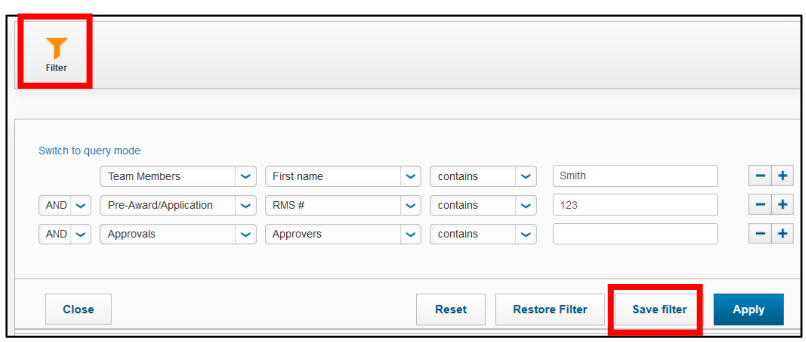
1. Select from the left pane menu options **Award Management>Pre-Award/Applications.**
2. Click the **Filter** icon in the right pane.
3. Select the search parameters (e.g., list view, attribute, operator, and value/date).



4. Click **Apply**. The list displays based on the search parameters.

CONDUCT AND SAVE A MULTI-FILTERED SEARCH

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



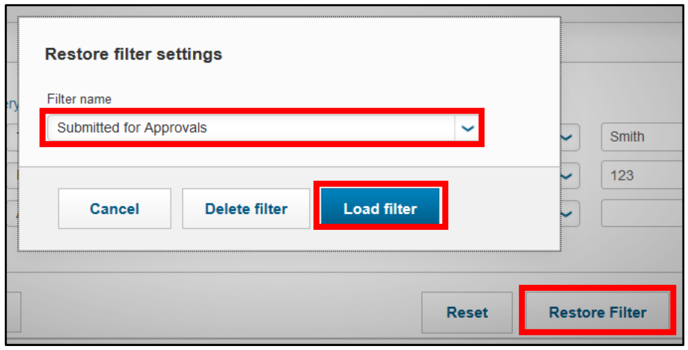
7. Click **Save Filter.** The list displays based on the filters. The filter icon changes from blue to amber to indicate the list is filtered**.**

   NOTE: The list remains filtered (and the filter button remians orange) until you click the Reset button.

LOAD A SAVED FILTER

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

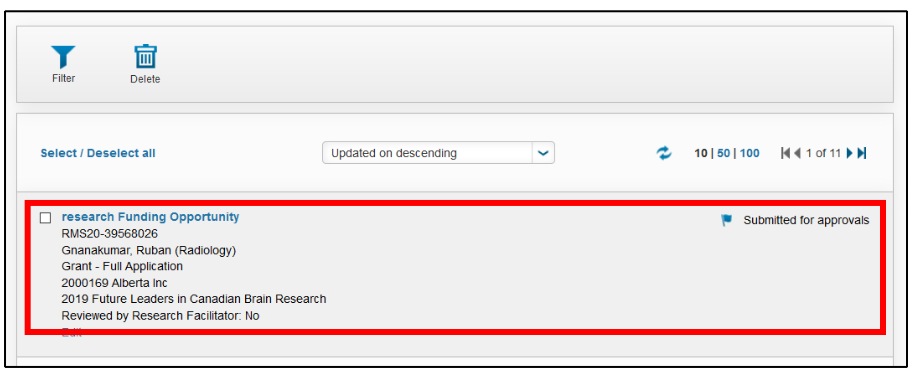
1. Click the **Restore Filter**.
2. Select the filter you want to use from the **Filter name** dropdown list.
3. Click **Load Filter**.



VIEW/PRINT PRE-AWARD RECORD DETAILS

To view the details for a Pre-award record:

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



3. Click the hyperlinked blue project title or anywhere within a record's row to view the record's details. The *Research Funding Application Approvals* window opens.

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

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

1. Click **Create PDF** in the top right-hand side of the page banner. The saved PDF can then be emailed or printed.

VIEW STATUS LOG FOR A RECORD

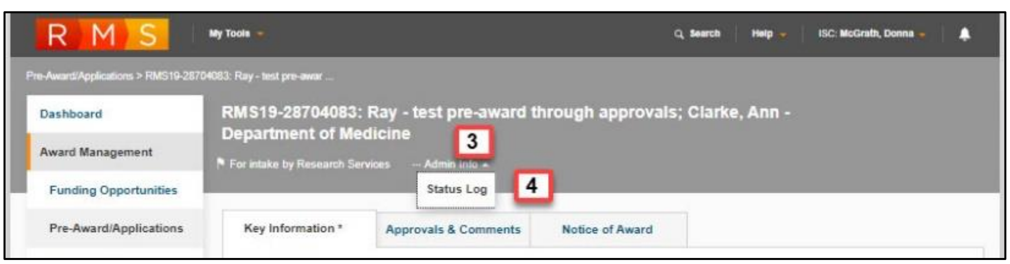
The Status Log option in RMS, provides you with a quick at-a-glance view the approval and change history for a Pre-award record, Funding Opportunity, or Agency.

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

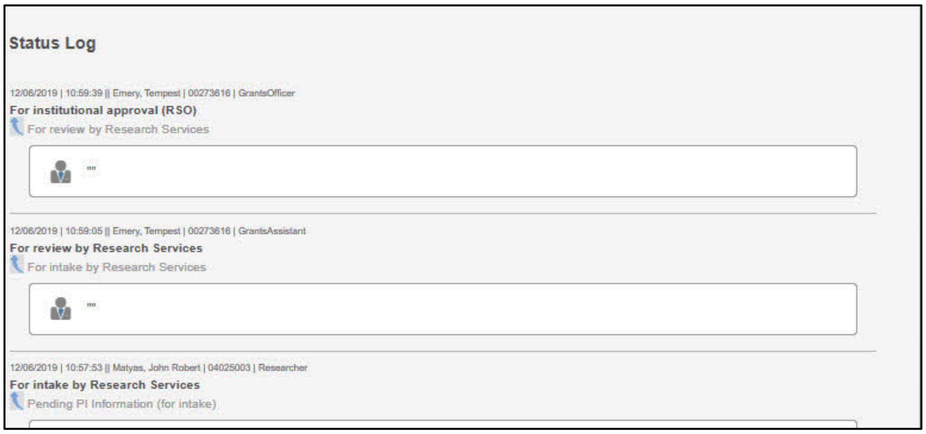
Changes to content in the record **are not tracked** in the status log.

To view the status log for a record:

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



4. Click **Status Log**. The record's log displays in descending order.



CREATE NEW LETTER OF INTENT (LOI)

Some grants require prospective applicants to submit a letter of intent prior to submitting a full grant application. In these cases, the LOI may be prepared and submitted using RMS.

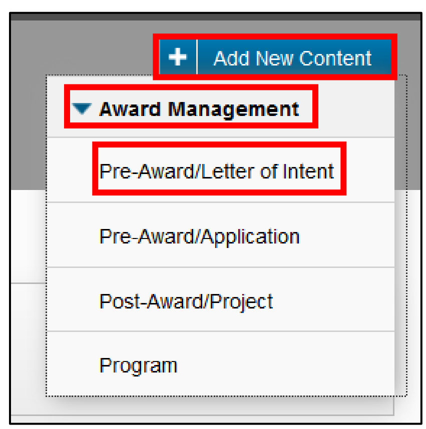
Note: This process can be done on behalf of the PI by team members or designates with a few minor differences which are identified throughout this document.

Note: not all every grant requires a LOI. Check the grant description for specific requirements and deadlines regarding LOI.

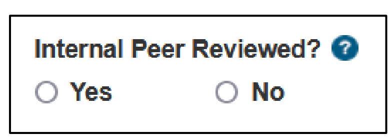
CREATE NEW LOI

To create a new LOI in RMS:

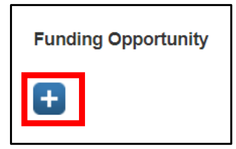
2. Click **Add New Content → Award Management → Pre-Award/Letter of Intent**



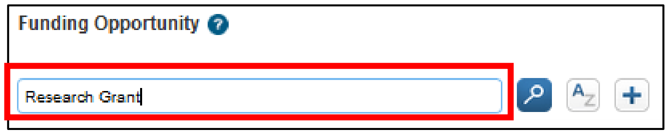
3. Answer the Internal Peer Reviewed question. This is not a mandatory field.



4. Click the **plus icon** under Funding Opportunity to add the Funding Opportunity.



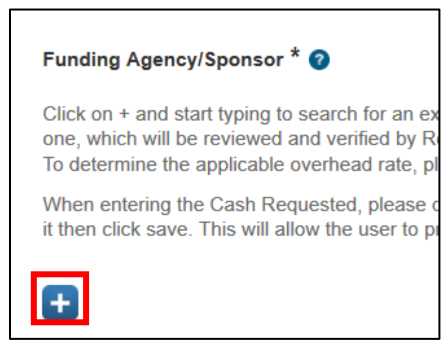
Search for the funding opportunity. You can type the name in the search field, or to browse all funding opportunities, click the **A-Z icon**. The list is sorted alphabetically by funding opportunity, not the agency or sponsor.



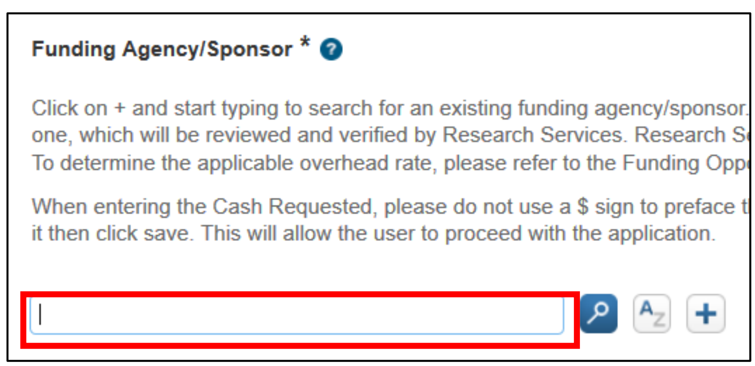
Click the **plus icon** beside the funding opportunity to add it to the record.

Note: If the Funding Opportunity has a Funding Agency/Sponsor connected to it already, the <u>Funding Agency/Sponsor</u> section will autopopulate and you do not need to add one. If it does not autopopulate, click the Save button to force that function.

5. To manually add a Funding Agency/Sponsor, click the **plus icon** under Funding Agency/Sponsor to add the source of funds.

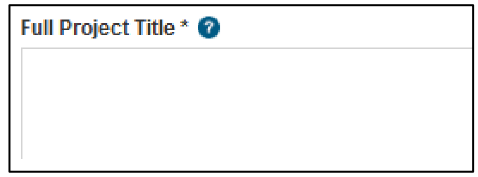


To search for a specific source, type the name in the search field, or to browse all sources, click the **A-Z icon**.



Click the plus icon beside the source to add it to the record.

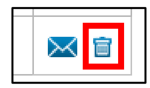
6. Enter the title of the project.



7. If you are the PI, verify your name and affiliation is correct under **Principal Investigator/Lead UofC Applicant.**

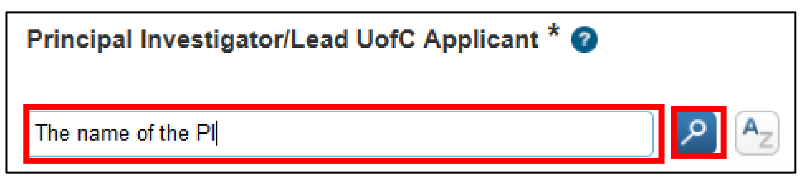
Note: If you are not the Principal Investigator, remove yourself from the PI position by clicking the trash can icon to the right of your name.

If you are creating this award on behalf of the PI, or if you need to change your affiliation, remove yourself from the Principal Investigator role by clicking the **trash can icon** to the right of your name. (The system automatically puts the creator of the record in the PI spot.)

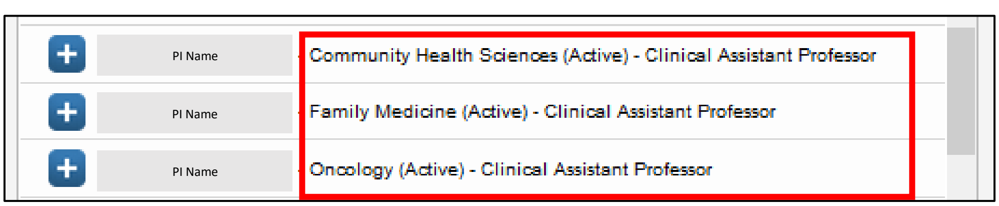


8. To add the correct PI, click the **plus icon** under Principal Investigator/Lead UofC Applicant.

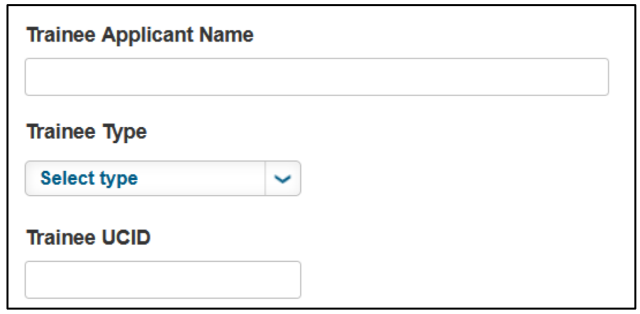
9. Type the name of the PI and click the **search icon**.



In the list of names, choose the name with the correct work affiliation for this project. Click the **plus icon** beside that name.

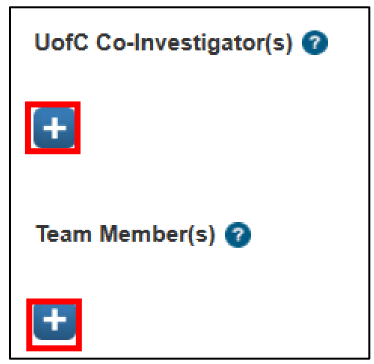


10. If the award is in a trainee's name, e.g., a studentship or fellowship, provide information about the trainee. Otherwise, leave these fields blank.

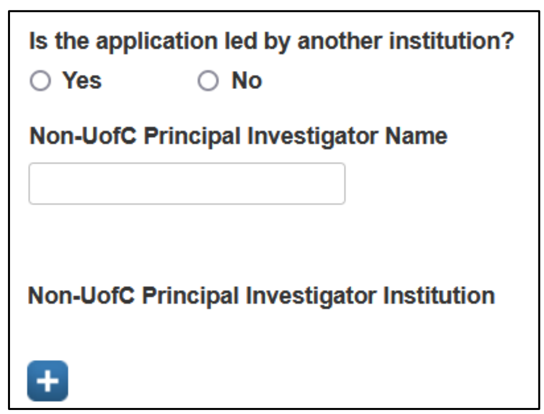


11. Add any UofC Co-Investigator or UofC Team Members. Use the same method as above to add people.

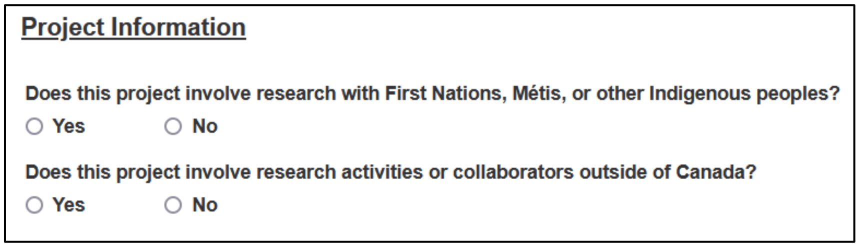
Note: If you are not the PI, you need to add yourself to the record as a Co-I or Team Member in order to maintain access to the record after saving or submitting it.



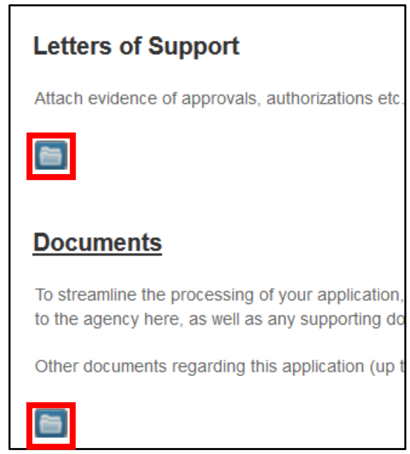
12. If the application is led by another institution, provide information about the non-UofC principal investigator. Otherwise, leave these fields blank.



13. Answer the two Project Information questions.

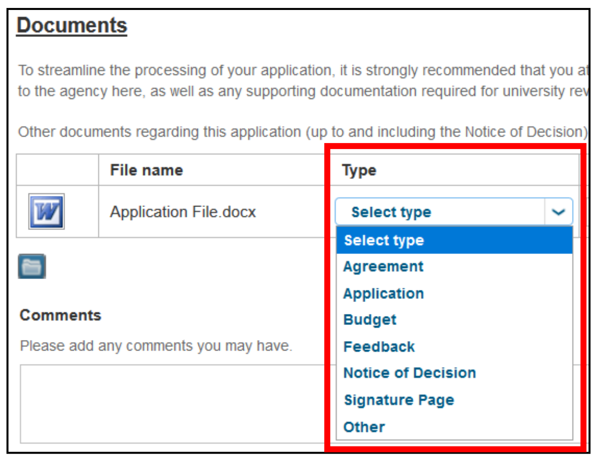


14. Upload any Letters of Support and/or Documents that need to be attached with your LOI. Upload files by clicking the **folder icon** under the appropriate heading.



From the file upload pop-up, select the file you want to upload.

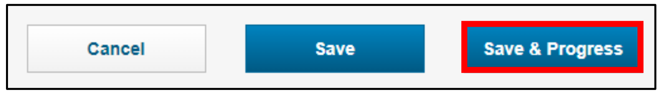
For files uploaded to the Document section, select the appropriate file type under the **Type** drop-down menu.



15. You can add cooments about your application/LOI to the Comments section. These can be seen by anyone who has access to the record including Co-Investigators, Team Members, Approvers, RSO, etc.

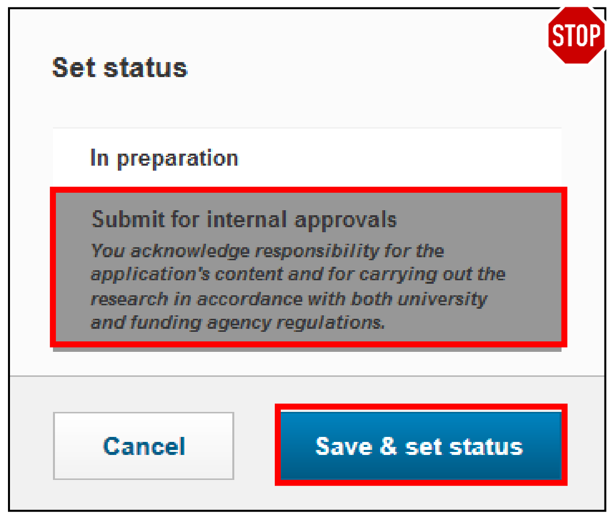
SUBMIT FOR APPROVALS

1. When all required information is added, click S**ave & Progress.**



2. Set the status to Submit for internal approvals. Then click **Save & set status.**

Note: Ensure you click "Submit for internal approvals" before Save & set status or the record will remian "In preparation"



CHECK STATUS OF LOI APPROVALS

The Pre-Award/LOI will be sent for academic review and approvals. You can check back on the status of the approvals by returning to the record and clicking on the **Approvals & review** tab.

Note: If this record was created by and/or submitted for approvals by anyone but the PI, the PI will also need to provide approval prior to it going for Academic Approvals (e.g. department head, ADR, etc.).

See also, PRE-AWARD ACADEMIC APPROVALS