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INTRODUCTION

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

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

RMS facilitates:

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

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

RMS LOGIN AND SETTINGS

LOGIN

A link to RMS provides you with convenient access.

To login into RMS:

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

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

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

*To view and change basic settings:*

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

![Figure 2: My Settings](image)

**Person Data > People**

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

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

**Figure 3: Dashboard Banner**

**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 get to shortly.

**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.

**Figure 4: Work Affiliations**
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.

The To-do list in the dashboard displays tasks associated with the role selected.
A PI can add individuals to assist with individual Pre-award records, or all Pre-award records associated with the PI. An overview of those roles is below.

Approvers (e.g., Department Head, ADR) do not have permission to add Co-Investigators, Team Members or Designates.

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 switch the work affiliation for a record:

1. Within the Pre-award record, navigate to the Applicants section.
2. Click the Trash icon to delete current work affiliation for record.
3. Enter the name of the PI into the **Keyword search** field. A list displays with the individual’s work affiliations.

![Figure 7: Select Different Work Affiliation](image)

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.

![Figure 8: Work Affiliation Auto-Populate](image)

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 a Researcher or Team Member in RMS.

Designates have access to pre-award/applications equivalent to a Researcher whether the Researcher is a PI or Co-PI. As such, they can edit or contribute to Pre-award records.

While they 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.

![Figure 9: Add Designate]
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** who can 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.

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-Z Search** 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-Pi’s **Name**, **Organization** and **Status** are auto-populated.

5. Click **Save** to apply the change.

![Figure 10: Add Co-Investigator](image)
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 either a Researcher or 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.

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 11: Add Team Member
PI CREATES PRE-AWARD RECORD

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

CREATE PRE-AWARD RMS RECORD

[Flow diagram showing the steps involved in creating a pre-award RMS record, including:
- Select Pre-Award Grant
- Add New Content
- Add Pre-Award Grant
- Add Funding Opportunity/Agency
- Add Cash Requested
- Enter Project Title
- Answer Ethics Section questions
- Answer Special Requirements questions
- Add Supporting Documents
- Upload Funding Application into RMS
- Click Save & Progress/Submit For Approvals]
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 12: 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 to display the opportunities starting with that letter.

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

5. Click Save. Funding Opportunity fields are populated.

Figure 13: Add a Funding Opportunity

Figure 14: Populated Funding Opportunity fields
ADD NEW FUNDING OPPORTUNITY

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

Funding opportunities created within RMS are reviewed and approved by Research Services. 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.
Figure 15: 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.

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

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 shorter than 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.
9. Click Save & Set Status.

Figure 19: New Agency Save & Set Status

ADDING ADDITIONAL PRE-AWARD DETAILS

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

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

3. Leave the Overhead Rate field blank.

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. Click Save.

5. Enter title from the application into the Full Project Title field.
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 21: 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.

   ![Ethics](figure22:ethics.png)

   *Figure 22: Ethics*

**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.

3. 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.

   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**.

*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 24: File Upload.

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

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

---

**Figure 25: Save & Set Status**

**Figure 26: Approval Workflow**
TEAM MEMBER CREATES A PRE-AWARD RECORD

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

To create a Pre-award/application record:

1. Click the +Add New Content button in the top right-hand corner of the dashboard.
2. Select Award Management>Pre-Award/Application>Research Application>Grant> Grant – Full Application>Grant Full Application.
3. Complete the details for the record. See PI CREATES PRE-AWARD RECORD
CHANGE PI

To select a PI for the record:

1. Navigate to the Applicants section.

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

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

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.
PRE-AWARD LEARNING GUIDE

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.

Click the icon beside your name in the list. Details auto-populate in the Team Member fields.

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.
- 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)), but it is faculty dependent.

- 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 approve 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.

The following scenario takes place in 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

Set Status to Not Approved (all approvals discarded)

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

Application status updated to Pending PI Information

Application status updated to In Preparation

Ready for approval?

Yes

Click Save & Progress

Set Status to Approved

No

Application status updated to For Intake by Research Services

Grants Officer submits for Institutional Approval

Final Approval by Grants Director

Grants Director or PI submits to Agency

Figure 31: Approval Workflow
AUTOMATED APPROVAL NOTIFICATION

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

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

To turn off University of Calgary email notifications:

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

To view a notification alert:

1. Click the Notification icon. The notification preview displays.

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

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

Figure 36: Approval Main page

View Pre-award details and supporting documents

Figure 37: Details Page
1. Click the Approvals tab to view approvers.

**Tip:** 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.

2. Click **Save & Progress**.

3. Select **Approved**.

4. 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.
8. Select **Not Approved** in the Set Status dialogue box.

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

![Image of the Set Status dialogue box with Not Approved selected and Save & Set Status button highlighted.](image)

*Figure 39: Change Status to Not Approved*
The following occurs after the status is changed to **Not Approved**:

1. All previous approvals are discarded.

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

![Table of Discarded Approvals](image)

   **Figure 40: Discarded Approvers**

2. Status of the record is changed to **In Preparation**

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

   **Figure 41: 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 42: 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

To open the record requiring further information:

1. Click Dashboard.

2. Click Draft pre-award/applications for completion or Pending Further PI information in the Things to do section. See Figure 42: Things to Do Draft List

3. Click the blue hyperlinked title to open a record. The record opens to the Key Information tab.

4. Add information requested by approver.

5. Click the Approvals tab.

6. Enter a response to the Approver’s Comments in the Notes to Approver field.

To resubmit the updated record for approval:

1. Click Save & Progress.

2. Select Submitted for Approval.

3. Click Save & Set Status. The Academic Approvers section will be repopulated with approvers.

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.

   ![Figure 43: Add Academic Approver](image)

2. Click the icon below Approver. The Search options display.

3. Enter the approver’s name into the Keyword search field, or click the A-Z Search 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.

   ![Figure 44: Add New Approver Page](image)
6. 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 Approver fields.

7. Click Save & Set Status.

8. Select Queued for Approval.

9. Click Save & Set Status.

10. Click Save & Progress.

11. Select Submitted for Approval.

12. Click Save & Set Status.
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 for Pre-award records 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 for Pre-award records 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.

![Figure 45: Change Approver Sequence](image-url)
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.

To send a notification:

1. Navigate to the contact field (e.g., PI, Team Member, Co-Investigator, Designate, Grants Officer).

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

3. Select the Priority (e.g., low, medium, high) for the notification.

4. Enter the Subject.

5. Enter a message into the Body. A hyperlink to the record is auto-populated into the message body.

6. Click Send.
SEARCH FOR RECORDS

MENU SEARCH

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

1. In the Dashboard left pane menu, click Award Management.
2. Click Pre-Award/Application. Pre-award records display in the right pane.
3. 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.
4. Click the dropdown arrow to change the sort options.

To open a file in this view:

1. Click Edit below the record.

To view a summary of the record:

1. Click the blue hyperlinked title for the record.
CONDUCT FILTERED SEARCH

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

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

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

**Researcher/Team Member/Designate**

- Pre-award>RMS#>contains>xyz (e.g., last three numbers)
- Pre-award>Type of Application>Equals>xyz type (e.g., Grant Full Application)
- Pre-award>Created on>equals>date
- Pre-award>Updated on>equals>date
- Pre-award>Status>equals>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services)
- Pre-award>Status>does not equal>zyz status (e.g., In Preparation, Submitted for Approval, For Intake by Research Services)
- Approvals>Status>equals>type (e.g., Submitted for Approval, For Intake by Research Services, etc.)

**Grants Assistant/Grants Officer**

- Funding Opportunities>program deadline>equals>date
- Funding Opportunity>status>equals>type
- Funding Agency>type of agency>equals>type
- Funding Agency> acronym>contains>(e.g. NSERC, SSHRC)
- Agency>status>equals>(type)
- Agency>record source> equals>(RMS/PeopleSoft)
- Agency>PeopleSoft Agency ID>is not empty or is empty
- Principal Investigator>last name or first name>contains>(enter name)
CONDUCT SINGLE FILTER SEARCH

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

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

Figure 48: 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 48: 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.

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**.

*Figure 50: 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.

Figure 51: 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.

**Figure 52: Overall Pre-award Record Details**

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

![Click the arrow beside the download file.](image)

*Figure 54: Create PDF of Pre-award record*

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 51: 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.

![Click the arrow beside the download file.](image)

*Figure 55: Print Record*
4. Click the **Print** icon. The Print options dialogue box opens.

![Print Select Window](image1.png)

*Figure 56: 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.png)

*Figure 57: 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.

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 58: 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 59: Open Status Log

Figure 60: Status Log
LOCKED RECORD

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

If you open a record and attempt to edit and save changes to a record that is open by another user, you will receive the message Currently being edited by.

If a user needs immediate