

Research Administration Workflow (online approvals) Training Session

Research Services Office, June 2019



UNIVERSITY OF ALBERTA
RESEARCH SERVICES OFFICE

Outline

- Purpose
- Background and Project Timeline
- Basic Principles
- Approval Path
- Approval Groups and Maintenance
- Demo – New Proposal Request
- Approval Options and Ways to Approve
- Q and A



Purpose

- The purpose of the project is to implement automated workflow (online approvals) to replace physical signatures for the following research administration processes or signature forms:
 - New Research Application/Proposal/Project Request
 - Project Amendment Request
 - Request for Authorization of Temporary OE
 - Agreement Acknowledgement Report
 - Subgrant Request



Purpose

- The overall objective of the project is to simplify and streamline the gathering of signatures for these processes.
 - Save time
 - Ensure consistency – compliance is system managed
 - Make approvals required under University of Alberta policies and procedures (UAPPOL) easier to track



Background

- We currently gather > 31,000 approvals/year
 - A manual process that involves a lot of paper, time, and energy (i.e. running around time)
- When PeopleSoft Grants 3.0 (i.e. introduction of the Researcher Home Page) was implemented, a future roll-out of electronic approvals was considered in the design of the research administration pages (forms) used to generate the current signature forms we use.
- Electronic approvals was also one of four main recommendations that came out of the RSO Consultation review conducted by the VP Research and completed in June 2016



Project Timeline

- Discovery Phase – January to March 2018
 - Involved input from faculties
 - Over 80 requirements were identified
 - Approval to move forward with project obtained in late spring 2018
- Implementation Phase – June 2018
 - Design finalized, with additional input from faculties, October 2018
 - Technical (system) development began September 2018
 - Initial system testing done by IST and RSO – began September 2018
 - User Acceptance Testing with RSO, IST, and faculty staff - May 2019
 - Procedure and training material – under development
 - Communication plan underway
 - Training sessions will be offered to faculties beginning in June 2019
- Go-Live scheduled for mid-June 2019



Basic Principles

- **Don't Print. Press Submit.**
 - Printing U of A signatures pages and obtaining physical signatures no longer required. U of A required approvals are obtained online, including CoPI acknowledgements.
 - Pushing the submit button on the request page triggers workflow (i.e. the online approval path).
 - Supporting documents (e.g. applications) are attached online. Paper copies should no longer be required, unless the sponsor requires a signature on their application.





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**Effective mid-June 2019, printing forms
and obtaining physical signatures is no longer required.**

This is now done online, through Researcher Homepage.

Flip this card for more details or visit uab.ca/RSO

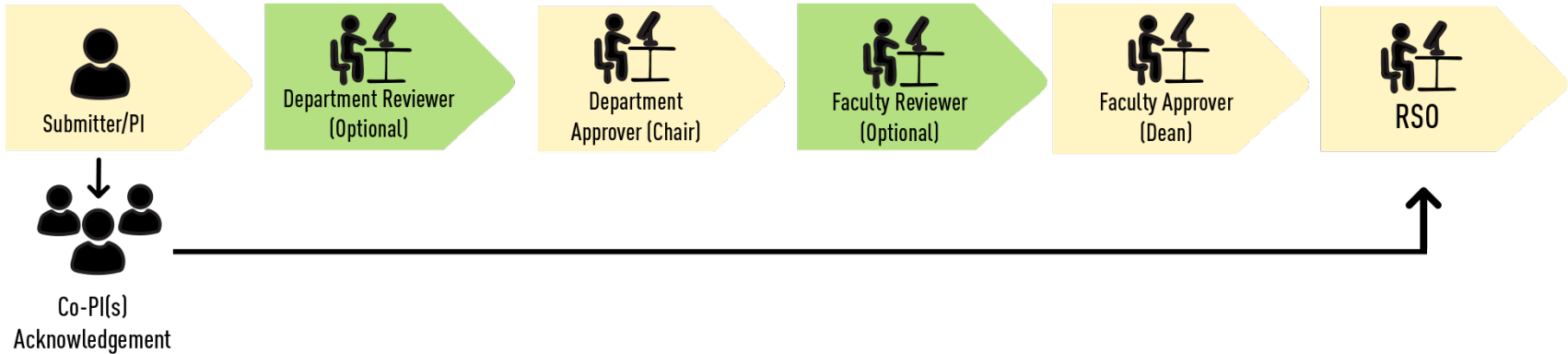


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Approval Path



Approval Path



The first person submits the transaction and then it goes to:

1. Principal Investigator (PI) - it will come to the PI first if they weren't the first person to submit the transaction, otherwise it will automatically go to the next person in the chain if submitted by the PI
2. Department Reviewers (optional)
3. Department Approvers (Chair)
4. Faculty Reviewers (optional)
5. Faculty Approver (Dean)
6. RSO



Workflow Approver	Definition
Submitter (aka Requester)	The individual who pushes the submit button on the request page.
Principal Investigator	Individual identified as the Principal Investigator (PI) on the Researcher Home Page in PeopleSoft.
Co PI(s), if applicable	Applies to New Proposal/Project Request and UofAB co-applicants only. In addition to acknowledging their participation in the project, Co Pis will need to answer 3 yes/no questions as part of their approval step.
Project Holder	Individual identified as the Project Manager/Project Holder on the Researcher Home Page in PeopleSoft. This approval step only applies to the subgrant and OE authorization requests.
Department Reviewer	An optional approver step. A group of 1 or more Reviewers can be defined for each department (DeptID). Only one reviewer in the group needs to approve. If a reviewer is assigned in the approval group, the approval step is a required step in the approval chain.
Department Approver	Individual approving on behalf of the Department. A group of one or more Approvers need to be defined for each department DeptID. Only one approver in the group needs to approve.
Faculty Reviewer	An optional approver step. A group of 1 or more Reviewers can be defined for each Faculty DeptID. Only one approver in the group needs to approve. If a reviewer is assigned in the approval group, the approval step is a required step in the approval chain.
Faculty Approver	Individual approving on behalf of the Faculty. A group of one or more Approvers need to be defined for each Faculty DeptID. Only one approver in the group needs to approve.
RSO	Users who have the RSO approval role on their user profiles. These individuals will receive notifications and have access to the worklist showing <u>all</u> pending approval transactions. These individuals will be responsible for further assigning the work within RSO.



Approval Path – General

- Approvals, in main path, are sequential whereby one approval happens prior to the next approver being able to approve.
- U of A CoPi acknowledgements are collected in a parallel path.
- Approvers are able to approve, send back, or deny at each approval step
- If no reviewers are defined in the approval group this approval step is skipped
- The required approval steps vary by transaction type
- Approval steps will auto approve if individual in an approver group has approved at a previous step unless they are the PI*.
 - *An individual will be skipped as an approver if they are the PI except when PI is the only approver in approval group.
- With the exception of the RSO approval step, steps will auto/self approve where approver is equal to submitter



Approval Chain by Request Type

Request Type	Submitter*	PI	U of A CoPI	Project Holder	Department Reviewer (an optional step)	Department Approver	Faculty Reviewer (an optional step)	Faculty Approver	RSO
New Proposal Request	Yes; may or may not be PI	Yes	Yes, if applicable	n/a	Yes, if set up in approval group	Yes	Yes, if set up in approval group	Yes	Yes
Agreement Acknowledgement	RSO Staff	Yes	n/a	n/a	Yes, if set up in approval group	Yes	Yes, if set up in approval group	Yes	n/a – RSO is submitter
Amendment Request	Yes; may or may not be PI/Holder	Yes	n/a	n/a, except for change of holder amendments	Yes, if set up in approval group	Yes	Yes, if set up in approval group	Yes	Yes
Subgrant	Yes; may or may not be PI/Holder	Yes	n/a	Yes	n/a	n/a	n/a	n/a	Yes
Over Expenditure (OE) Authorization	Yes; may or may not be PI/Holder	No	n/a	Yes	Yes, if set up in approval group	Yes	n/a	n/a	Yes - for processing purposes
OE authorization where PI/Holder = Chair (department budget owner)	Yes; may or may not be PI/Holder	No	n/a	Yes	Yes, if set up in approval group	No** - transaction will route to the Dean	Yes, if set up in approval group	No** transaction will route to the Dean	Yes - for processing purposes
OE authorization where PI/Holder = Dean (Faculty budget owner)	Yes; may or may not be PI/Holder	No	n/a	Yes	Yes, if set up in approval group	No** - transaction will route to the Provost	Yes, if set up in approval group	No** transaction will route to the Provost	Yes - for processing purposes
OE authorization where PI/Holder = VP (department or "Faculty" budget owner)	Yes; may or may not be PI/Holder	No	n/a	Yes	Yes, if set up in approval group	No** - transaction will route to President	Yes, if set up in approval group	No** transaction will route to President	Yes - for processing purposes



Approval Groups



Approver Groups

- Department and Faculty approval steps are managed through a group of reviewers (optional) and/or approvers whereby only one individual in the group needs to approve at each step.
- The ability to manage approval groups (i.e. add and remove individuals) is tied to a deptid-level security role that is assigned to an individual. The role is requested by the faculties through IST.
- Adding individuals to an approval group is essentially a delegation of signing authority
 - Departments and faculties need to be comfortable with approvers they've set up for the different situations they might encounter.
- Approval group applies to all request types.



Approval Group Set Up

- An approval group needs to be set up for each DeptID used in PeopleSoft Grants.

Research Approvers

SetID: UOFAB University of Alberta

Department: 100300 ALES AFNS General

Faculty: 100000 ALES Fac of Ag Life&EnvironSci

In this example 100300 rolls up to 100000

*Empl ID	Name
1 1112753	Fifiqi,Ueloso
2 1117407	Vunqxywi,Meewj

In Research Administration Workflow "Department" is equal to the DeptID that the Proposal and/or Project is set up under and the "Faculty" is the DeptID that the department DeptID rolls up to.

Save Return to Search Notify



Approver Groups – Some Added Considerations

- Strongly recommend more than one approver be included in each approval group.
- In cases where PI is the only approver in the group (at either the Department or Faculty level) the system will self/auto approve at that step. Approval will route to other approvers in cases where multiple approvers are in existence.
- Having a back up for cases where primary approver is not available.
- There is nothing in the system that prevents U of A CoPIs from approving at the department or faculty level.
- Approver groups will be set up (i.e. populated) for go-live based on the list of names provided to RSO.
- Post go-live departments and faculties will manage and maintain their approver groups, including the set up of any new deptids.



What does my approval mean?

- As per UAPPOL “Research Administration Roles and Responsibilities Procedure”.
 - Outlines responsibilities of PIs, Department, Faculty and RSO and states what “signatures” mean.
 - Faculties should keep this in mind when setting up approval groups.
- Reviewer step
 - Is an “approval” step, but not defined by U of A policy. To be defined by departments and faculties as they deem appropriate.
- Need to think about what’s attached in the system when you click “approve”.



Approver Group Maintenance

- Managed through a security role
- The approver group maintenance role will also be assigned prior to go-live based on names provided to RSO.
- Any changes post go-live will be done through a security request form submitted to IST.
 - Request for Administrative Applications Access “PeopleSoft Financials/SupplyNet Access”
- Changes (i.e. additions and deletions) are instantaneous, but newly added approvers/reviewers will only be part of “future” approval chains.
 - Requests submitted prior to changes being made will not be redirected and will still need to be approved by someone who was in the approval group at the time the request was submitted.



Approver Group Maintenance

Self-Service Center

Self-Service Center > Manage Approvals > Research Approval Maintenance

General Inquiry
Inquire on general self-service act
SpeedCode Inquiry*
PER Balance Inquiry*
Researcher Home Page*
eTRAC*

Manage Approvals
Approve transactions for processing.
Approve T&E Transactions
Research Approval Workbench*
Research Approval Inquiry*
Research Approver Maintenance*

Training Resources
Access learning resources.
Financials Online Training
Quick References*

Procurement
Research Approver Maintenance
Enter any information you have and click Search. Leave fields blank for a list of all values. (REMO)*

External Links
sources.
(REMO)*

Find an Existing Value | Add a New Value

Search Criteria

SetID: begins with UOFAB
Department: begins with 240010
Description: begins with
☐ Case Sensitive

Research Approvers

SetID: UOFAB University of Alberta
Department: 240010 LAW Admin
Faculty: 240000 LAW

Search Clear Basic Search Save Search Criteria

Find an Existing Value | Add a New Value

*Empl ID	Name	*Approval Role
1 0881967	Timdi, Hausejrus	Approver
2 0798573	HhXqoqqisj, Dequo	Reviewer Approver Reviewer

Save Return to Search Notify Refresh Add Update/Display



Demo

New Proposal Request Approval



New Proposal Request

Researcher Home Page

User ID: GRIEVE

Name: Uqufigoym Bwuzo

[Create Application/Proposal/Project](#)

[Advanced Project Search](#)

Projects											Personalize Find View All 1 of 1 First Last
Project	Details	Over Expenditure									
	Project ID	Award End Date	Total Award	Funds Available Before Commitments	Over Expenditure Status	Funds Available After Commitments	Speed Code	Title	Description	Request	

Note: It is the responsibility of the Project Holder to approve all expenditures charged to these Projects or to delegate signing authority in accordance with University policy.

Proposal Search

Proposals						Personalize Find View All 1 of 1 First Last
Proposal	Details					
Proposal ID	Stage	Title	Description	Sponsor	Sponsor Program	



New Field – Sponsor Deadline

PI Section

Proposal ID: NEXT

Version ID: V0

Request Status:

Description(Project Title):

new proposal request for training demo

Contact for Pickup:

*Request Type:

Application/ Proposal -New

*Principal Investigator (PI):

1060486

Elgale,Igipi

Is PI the Project Holder

☒ Yes ☐ No

Project Holder ID:

1060486

Elgale,Igipi

*Department:

240010

LAW Admin

Faculty: 240000

LAW

Sponsor Deadline:

06/21/2019



Unless otherwise specified, RSO has an internal deadline of 5 business days in advance of the sponsor deadline

Start Date:

07/01/2019



End Date:

11/30/2020



Indirect Cost Requested ☐ Yes ☐ No

External



Submit Button Triggers Workflow

Are matching/partner funds in place or intended to be obtained for this project:

☐ Yes ☒ No

Comments:

Project Includes honorarium or salary for the Principal Investigator: ☐ Yes ☒ No

Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? ☐ Yes ☒ No

UofA Co-Investigator(s) Personalize | Find | View All | First 1-2 of 2 Last

Intellectual Credit		Acknowledgement Details									
Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Acknowledge	Deny	Acknowledge Status	
1 PI	1060486	Elgale, Igipi	240010	LAW Admin	240000	LAW	100.00				+ -
2 Co-PI	0016382	Mouk, Gusji	240010		0	LAW	0.00	Acknowledge	Deny	Pending	+ -

Submitter has ability to add comments tied to submission.

Attachment			Personalize Find First 1 of 1 Last
Attached File	Attachment Date	Add	
1			+ -

Submission Comments: Dr. Elgale - please attach the final draft of your application prior to approving

Approvals

Approval Status: Not Submitted for Approval

Save

Submit



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Pop Up Messages/Declarations

Message

Do you want to Submit your application? (23000,103)

After Submission, the application will be routed to Department and Faculty reviewers and approvers. RSO will not start processing until the Department and Faculty approvals are completed.

Click OK to confirm or Click Cancel to return without submitting.

OK

Cancel

Message

Do you want to Submit your Proposal for Approval? (23000,341)

Declaration of the Principal Investigator (University of Alberta Faculty)

Regarding the project described in the attached documents (the "Research Project"), I acknowledge to the University that:

- (1) I have read the attached documents with reference to the Research Project;
- (2) I am aware of the terms and conditions pursuant to which the University is agreeing to undertake the Research Project (the "University Obligations"); and
- (3) I am aware that, in accordance with the terms and conditions applicable to my appointment as an academic staff member to the University, my participation in the Research Project must be:
 - (a) in accordance with the University Obligations; and
 - (b) in accordance with all applicable University policies and procedures, including the responsibilities of a principal investigator under the

OK

Cancel



Approval Path

2	Co-PI	0016382	Mouk,Gusji	240010	LAW Admin	240000	LAW	0.00	Acknowledge	Deny	Pending
---	-------	---------	------------	--------	-----------	--------	-----	------	--	-------------------------------------	---------

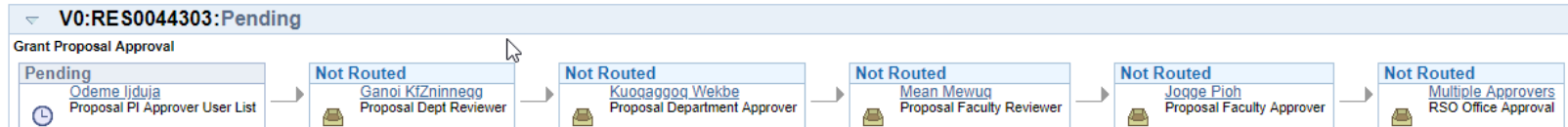
Attachment			Personalize	Find	First	1 of 1	Last
Attached File	Attachment Date	Add					
1							

Submission Comments: Dr. Elgale - please attach the final draft of your application prior to approving

Approvals

Approval Status: Pending Approval

Grant Proposal Approval



[Return to Researcher Home Page*](#)



Print Reports

UNIVERSITY OF ALBERTA RESEARCH SERVICES OFFICE		Request Type: New RES0044303	
Principal Investigator: Elgale, Igipi		Project Holder: Elgale, Igipi	
Department: 240010 LAW Admin		Faculty: 240000 LAW	
Description (Project Title): new proposal request for training demo			
Project Information			
Source of Funds: ☐ Internal ☒ External ☐ Both		Total Award Requested: \$ 10,000,000.00	
Sponsor		Contact	
ABC Demo			
		Amount	
		\$10,000,000.00	
Additional Details			
Have indirect costs been included? ☒ Yes ☐ No		Proposed Start Date: JUL-01-2019	
Refer to UAPPOL's Financial Management and Practices Policy (see links for "Application for Indirect Costs Recovery Rates Procedure" and "Indirect Costs of Research Procedure").		Project End Date: NOV-30-2020	
Project includes honorarium or salary for the Principal Investigator: ☐ Yes ☒ No		Please attach the following:	
Does this research involve Aboriginal/Indigenous peoples, their Communities or knowledge systems? ☐ Yes ☒ No		☐ Application/Proposal, including scope budget. ☐ Notice of Award: Letter, award notice or from Sponsor or Faculty ☐ Scope of Work: Description of research research proposal Provide detailed project expenditures ☐ Budget:	
Space (Additional or Modifications): ☐ Yes ☒ No Technical Support: ☐ Yes ☒ No Student Funding: ☐ Yes ☒ No Teaching Relief/Release: ☐ Yes ☒ No Faculty/Department letter or e-mail confirming support is attached: ☐ Yes ☒ No Matching/partner funds applicable: ☐ Yes ☒ No Other (describe): ☐ Yes ☒ No Comments:		Co-Investigator #1 (University of Alberta Faculty only) I acknowledge to the University: (1) The same statements as set out in the Principal Investigator's Declaration, above; and (2) That the Principal Investigator will administer the award on behalf of the research group. In addition, I certify that: New or additional resources are required from my Faculty/Department ☐ Yes ☐ No (Note: New or additional resources include teaching release time) Faculty/Department letter or e-mail confirming additional resources is attached: ☐ Yes ☐ No Project includes honorarium or salary for the Co-Investigator: ☐ Yes ☐ No	
UofA Co-Investigator(s)			
Name	Role	Department	Faculty
Mouk, Gusji	Co-PI	240010 LAW Admin	240000 LAW
Certifications Required			
Note: RSO requires all applicable and current protocol numbers on file before funding can be released.			
Human ☐ Yes ☒ No Animal ☐ Yes ☒ No Biohazard ☒ Yes ☐ No Stem Cell ☐ Yes ☒ No			
Declaration of Principal Investigator			
Regarding the project described in the attached documents (the "Research Project"), I acknowledge to the University that:			
(1) I have read the enclosed documents with reference to the Research Project.			
(2) I am aware of the terms and conditions pursuant to which the University is agreeing to undertake the Research Project (the "University Obligations").			
(3) I am aware that, in accordance with the terms and conditions applicable to my appointment as an academic staff member of the University, my position as the Research Project must be:			
(a) in accordance with the University Obligations; and			
(b) in accordance with all applicable University policies and procedures, including the responsibilities of a principal investigator under the Research Administration Roles and Responsibilities Procedure			
Principal Investigator Signature		Date Signed	
X Pending On-Line Approval - Elgale, Igipi			
Co-Investigator #1 (University of Alberta Faculty only)			
I acknowledge to the University:			
Co-Investigator Signature		Co-Investigator Name	
X Pending On-Line Acknowledgement		Mouk, Gusji	
Date Signed			
Declarations of Principal Investigator's Faculty			
I/We acknowledge to the University that the Faculty and Department will comply with their responsibilities under all University policies and procedures applicable to the Research Project, including responsibilities under the Research Administration Roles and Responsibilities Procedure			
Chair Signature		Chair Name	
X Pending On-Line Approval			
Date Signed			
Dean Signature		Dean Name	
X Pending On-Line Approval			
Date Signed			
RSO Approval			
RSO Signature		Name	
X Pending On-Line Approval			
Date Signed			



PI Approval Step

Are matching/partner funds in place or intended to be obtained for this project: ☐ Yes ☒ No

Comments:

Project Includes honorarium or salary for the Principal Investigator: ☐ Yes ☒ No

Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? ☐ Yes ☒ No

UofA Co-Investigator(s)

Intellectual Credit										Personalize Find View All 1-2	
Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Acknowledge	Deny	Acknowledge Status	
1 PI	1060486	Elgale,Igipi	240010	LAW Admin	240000	LAW	100.00				+ -
2 Co-PI	0016382	Mouk,Gusji	240010	LAW Admin	240000	LAW	0.00	Acknowle	Deny	Pending	+ -

Attachment

Attached File	Attachment Date	Delete	View	
1 UOGBOGU_ABC_Application.pdf	06/04/2019			+ -

Submission Comments: Dr. Elgale - please attach the final draft of your application prior to approving

Approvals

Approval Status: Pending Approval

Comment:

Approve

Send Back

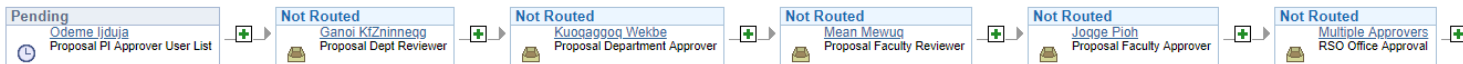
Deny

Grant Proposal Approval

V0:RES0044303:Pending

Request Information
Start New Path

Grant Proposal Approval



Save

Print

PI has ability to edit certain fields including additional university resources and certifications section.

PI can add or remove CoPIs

Submission comments are visible to PI

PI can add attachments



PI Approval Step

UofA Co-Investigator(s) Personalize | Find | View All | First 1-2 of 2 Last

Intellectual Credit Acknowledgement Details

Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Acknowledge	Deny	Acknowledge Status
1 PI	1060486	Elgale,Igipi	240010	LAW Admin	240000	LAW	100.00			
2 Co-PI	0016382	Mouk,Gusji	240010	LAW Admin	240000	LAW	0.00	Acknowledge	Deny	Pending

Attachment Personalize | Find | First 1 of 1 Last

Attached File	Attachment Date	Delete	View
1 UOGBOGU_ABC_Application.pdf	06/04/2019		

Submission Comments: Dr. Elgale - please attach the

PI has ability to add their own comments that will be visible to rest of approval group.

Approvals

Approval Status: Pending Approval

Comment: This is the application I talked to you about last week.

Approve Send Back Deny

Grant Proposal Approval

V0:RES0044303:Pending Request Information Start New Path

Grant Proposal Approval

Pending

Odeme Ijduja
Proposal PI Approver User List

Not Routed
Ganoi Kizninneq
Proposal Dept Reviewer

Not Routed
Kuoqaggoq Wekbe
Proposal Department Approver

Not Routed
Mean Mewug
Proposal Faculty Reviewer

Not Routed
Jogge Pigh
Proposal Faculty Approver

Not Routed
Multiple Approvers
RSO Office Approval

Save Print



PI Approval Step

Comments:

Project Includes honorarium or salary for the Principal Investigator: ☐ Yes ☒ No
Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? ☐ Yes ☒ No

Editable fields are greyed out and no longer editable.

UofA Co-Investigator(s)

Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Acknowledge	Deny	Acknowledge Status
1 PI	1060486	Elgale, Igipi	240010	LAW Admin	240000	LAW	100.00			
2 Co-PI	0016382	Mouk, Gusji	240010	LAW Admin	240000	LAW	0.00	Acknowledge	Deny	Pending

Attachment

Attached File	Attachment Date	Delete	View
1 UOGBOGU_ABC_Application.pdf	06/04/2019		

Submission Comments: Dr. Elgale - please attach the final draft of your application prior to approving

Approvals

Approval Status: Pending Approval

Grant Proposal Approval

V0:RES0044303:Pending [View/Hide Comments](#)

Grant Proposal Approval

Approved ☒ Odetia Idjula
Proposal PI Approver User List
06/04/19 - 8:03 AM

Pending ☐ Samu KfZninnego
Proposal Dept Reviewer

Not Routed ☐ Kuogaggon Wekbe
Proposal Department Approver

Not Routed ☐ Mean Mewug
Proposal Faculty Reviewer

Not Routed ☐ Jogge Ploh
Proposal Faculty Approver

Not Routed ☐ Multiple Approvers
RSO Office Approval

Comments

[Return to Researcher Home Page*](#)



CoPI Acknowledgement

UofA Co-Investigator(s)

Personalize | Find | View All | First 1-2 of 2 Last

Intellectual Credit Acknowledgement Details

Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Accept	Deny	Acknowledge Status
1 PI	1060486	Elgale, Igipi	240010	LAW Admin	240000	LAW	100.00			
2 Co-PI	0016382	Mouk, Gusji	240010	LAW Admin	240000	LAW	0.00	Accept	Deny	Pending

Attachment

Att Declaration of the Co-Investigator (University of Alberta Faculty Only)

1

Regarding the project described in the attached documents (the "Research Project"), I acknowledge to the University that:

- 1) I have read the attached documents with reference to the Research Project;
- 2) I am aware of the terms and conditions pursuant to which the University is agreeing to undertake the Research Project (the "University Obligations");
- 3) I am aware that, in accordance with the terms and conditions applicable to my appointment as an academic staff member of the University, my participation in the Research Project must be:
 - a) In accordance with the University obligations; and
 - b) In accordance with the applicable University policies and procedures, including the responsibilities of a principal investigator under the Roles and Responsibilities procedure; and
- 4) That the Principal Investigator will administer the award on behalf of the research group.

In addition, I certify that:

New or additional resources are required from my Faculty / Department:
(Note: "New or additional resources" include teaching release time)

Faculty / Department letter or e-mail confirming resources has been provided to the PI:

Project includes honorarium or salary for the Co-Investigator.

OK Cancel

Yes No

Yes No

Yes No

CoPI needs to respond to these 3 questions



CoPI Acknowledgement con't.

Open Communities of Knowledge Systems:

UofA Co-Investigator(s)									
Intellectual Credit		Acknowledgement Details							
	Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)	Acknowledge
1	PI	1060486	Elgale, Igipi	240010	LAW Admin	240000	LAW	100.00	
2	Co-PI	0016382	Mouk, Gusji	240010	LAW Admin	240000	LAW	0.00	Acknowledge
									Deny
									Acknowledged Status

Attachment			
Attached File	Attachment Date	Delete	View

UofA Co-Investigator(s)							
Intellectual Credit (%)	Acknowledge	Deny	Acknowledged Status	Acknowledge Date	Resources Required?	Letter Provided?	Honorarium?
100.00							
0.00	Acknowledge	Deny	Agreed	06/04/2019	No	No	No



Department/Faculty Approval Step

Project Includes honorarium or salary for the Principal Investigator: ☐ Yes ☒ No
Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? ☐ Yes ☒ No

UofA Co-Investigator(s)

Resource	Employee ID	Name	Department	Description	Deptid	Amount	Rate	Amount	Rate	Amount	Rate	Amount	Rate	Amount	Rate	Amount	Rate	Amount	Rate
1 PI	1060486	Elgale, Igipi	240010	LAW Admin	240000	LAW	100.00												
2 Co-PI	0016382	Mouk, Gusji	240010	LAW Admin	240000	LAW	0.00												

Acknowledge Deny Agreed

Pending approvers (including reviewers) have ability to edit certain fields on request pages. Fields vary by approval step. Deptid is not editable at any stage after the submit button is pushed. Requests need to be sent back to submitter to make changes to the Deptid and the request needs to be resubmitted into workflow.

Attachment

Attached File	Attachment Date	Delete	View
1 UOGBOGU_ABC_Application.pdf	06/04/2019		

additional CoPIs can be added at any pending approval step

Submission Comments: Dr. Elgale - please attach the final draft of your application prior to approving

Pending approvers can add attachments

Approval Status: Pending Approval

Comment: Looks Good

Pending approvers have ability to add comments that will be visible to anyone that has access to request page.

Approve

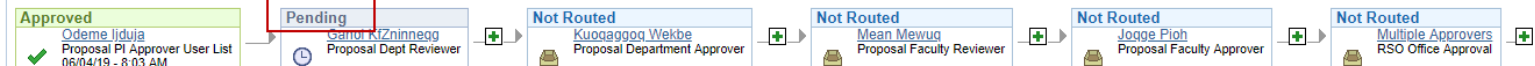
Send Back

Deny

Grant Proposal Approval

V0:RES0044303:Pending

Grant Proposal Approval



Comments

Save

Print



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View Comments

Approvals

Approval Status: Pending Approval

Comment:

Grant Proposal Approval

V0:RES0044303:Pending

[View/Hide Comments](#)
[Request Information](#)
[Start New Path](#)

Grant Proposal Approval

Approved
Odeme Ijduja
Proposal PI Approver User List
06/04/19 - 8:03 AM

Pending
Ganol Kizinnegg
Proposal Dept Reviewer

Not Routed
Kuogaggoq Wekbe
Proposal Department Approver

Not Routed
Mean Mewug
Proposal Faculty Reviewer

Not Routed
Jogge Ploh
Proposal Faculty Approver

Not Routed
Multiple Approvers
RSO Office Approval

Comments

Click here to display comments



View Comments

Approvals

Approval Status: Pending Approval

Comment:

Grant Proposal Approval

V0:RES0044303:Pending [View/Hide Comments](#) [Request Information](#) [Start New Path](#)

Grant Proposal Approval

Approved **Pending** **Not Routed** **Not Routed** **Not Routed** **Not Routed**

Odeme Ijduja **Ganoi Kizninnegg** **Kuogaggoq Wekbe** **Mean Mewug** **Jogge Ploh** **Multiple Approvers**

Proposal PI Approver User List **Proposal Dept Reviewer** **Proposal Department Approver** **Proposal Faculty Reviewer** **Proposal Faculty Approver** **RSO Office Approval**

Comments

Odeme Ijduja at 06/04/19 - 8:03 AM
This is the application I talked to you about last week.



Approval Step Actions



Pending Approval Step Actions

Pending approvers, including the PI when they are not the submitter, have the option to approve, send back, or deny a request at each pending approval step in the approval chain/path.

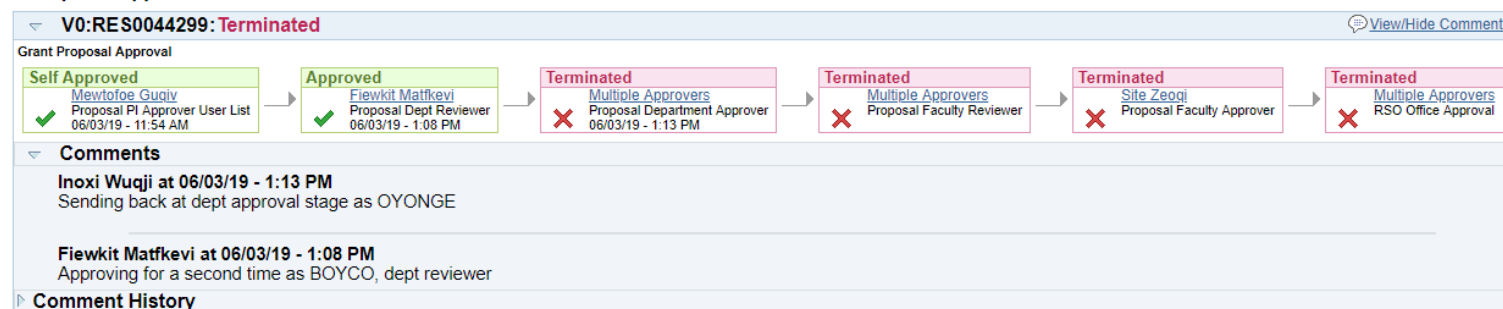
Action	Definition	Notification
Approve	Routes request to next approver in approval chain/path.	Next approver in chain is notified via email that there is a pending approval waiting for their action.
Send Back	Sends request back to submitter for revisions. Once revisions are made request is resubmitted for approval.	Submitter is notified via email that request has been sent back for revisions.
Deny	Terminates request. No ability to resubmit.	Submitter is notified via email that request has been denied.



Send Back

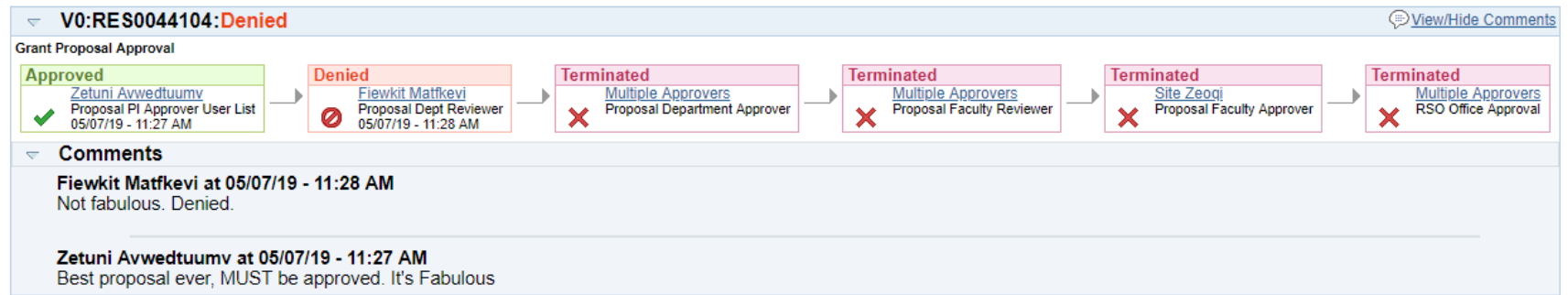
- Returned to submitter for revisions.
- Can be resubmitted into workflow
- Potential reasons
 - Deptid is incorrect
 - Pi has not attached the required supporting documents (e.g. copy of application)
 - PI declarations (i.e. additional university resources and certifications) need to be redone

Grant Proposal Approval



Deny

- Can't be resubmitted into workflow
- Potential reasons
 - Application not supported by Department or Faculty
 - Revisions won't fix issues or concerns



Ways to Approve and Track



Approval Options

- Individual request pages
 - As demonstrated for the New Proposal Request
- Email
- Workbench
- Inquiry page
 - Used for tracking approvals



Email

- Sent to all pending reviewers and approvers, including PIs if they are not the submitters.
- Sent to CoPIs as they are added to New Proposal Requests.
- Sent to Submitter when a request is sent back, denied or received by RSO.
- Sent from aissuppt@ualberta.ca
 - **This email address is used to send a number of notifications from PeopleSoft
- Approvers have ability to approve, deny, or send back a request via email.



Email

*** WARNING - TEST EMAIL ONLY PLEASE IGNORE *** RSO Approval Request - New Project Request - RES0044304 UAT Test er

aissuppt@ualberta.ca
to me ▾

Proposal Request

Proposal ID:
Version ID:
Title:
PI Name:
Project Holder Name:
Department:
Department Description:
Source of Funds:
Sponsor Name:
Program Name:
Sponsor Due Date:
Indirect Cost:
Total Award Amount:

**You must be logged into
PeopleSoft to approve via
and/or use link in email.**

RES0044304
V0
CW Test Jun 4 2019
Qowasuhi Nruym
Qowasuhi Nruym
186000
EDU Educational Psychology
External
Merck

2019-07-01
Y
\$12,000.00

I / We acknowledge to the University that the Faculty and Department will comply with their responsibilities under all University policies and procedures applicable to the Research Project, including responsibilities under the Research Administration Roles and Responsibilities Procedure.

To approve, send back, or deny this request, add an optional comment and click the appropriate button. To navigate to the approval page, click the link below.

Clicking link takes you to
the request page.

https://www.devps.ualberta.ca/psp/uafsuat/EMPLOYEE/PSFT_EP/c/ZGM_CUSTOM.ZGM_PROPOSAL.GBL?Action=U&BUSINESS_UNIT=UOFAB&PROPOSAL_ID=RES0044304&VERSION_ID=V0

Comment:

Approve

SendBack

Deny



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Gmail Filters

- Individuals can manage their incoming mail using Gmail filters to send emails to a label, or archive, delete, star, or automatically forward their mail.
- Subject lines for research administration workflow emails have been set up with filters in mind.
- Steps for setting up Gmail filters, along with recommended settings will be covered in procedures.



from:(aissuppt@ualberta.ca)

From aissuppt@ualberta.ca

To

Subject

Has the words

Doesn't have

Size greater than

☐ Has attachment ☐ Don't include chats

from:(aissuppt@ualberta.ca)

← When a message arrives that matches this search:

☒ Skip the Inbox (Archive it)

☐ Mark as read

☐ Star it

☒ Apply the label: Grants 3.0/workflow test emails

☒ Forward it to: ABC@ualberta.ca [add forwarding address](#)

☐ Delete it

☐ Never send it to Spam

☐ Send template: Choose template...

☐ Always mark it as important

☐ Never mark it as important

☐ Categorize as: Choose category...

☐ Also apply filter to matching messages.

Note: old mail will not be forwarded

[? Learn more](#)

Cancel [Update filter](#)



Email Subject Lines

RAW Email notifications ☆

File Edit View Insert Format Data Tools Add-ons Help [Last edit was on May 12](#)

100% \$ % .0 .00 123 Arial 11 B I S A

	A	B	C	D
1	Transaction	Event	Sent To:	Subject line
2	New Project Request	Submit/Approve	Next set of Pending Approvers	RSO Approval Request - New Proposal - RES00XXXXX
3	New Project Request	Submit / Co-PI Add Remove	Co-PI	Co-PI Acknowledgement - RES0041477 is requesting your agreement to participate
4	New Project Request	Deny	Submitter	RSO Proposal - RES000XXXXX has been denied
5	New Project Request	Send Back	Submitter	RSO Proposal - RES000XXXXX has been sent back for revisions
6	New Project Request	Final Approval	Submitter	RSO Proposal - RES000XXXXX has been Received by RSO
7				
8	Sub Grant	Submit/Approve	Next set of Pending Approvers	RSO Approval Request - SubGrant - RES00XXXXX SXXX
9	Sub Grant	Deny	Submitter	RSO Sub Grant - RES000XXXXX SXXX has been denied
10	Sub Grant	Send Back	Submitter	RSO Sub Grant - RES000XXXXX SXXX has been sent back for revisions
11	Sub Grant	Final Approval	Submitter	RSO Sub Grant - RES000XXXXX SXXX has been Received by RSO
12	Over Expenditure	Submit/Approve	Next set of Pending Approvers	RSO Approval Request - OE Authorization - RES000XXXXX
13	Over Expenditure	Deny	Submitter	RSO OE Authorization - RES00XXXXX has been denied
14	Over Expenditure	Send Back	Submitter	RSO OE Authorization - RES00XXXXX has been sent back for revisions
15	Over Expenditure	Final Approval	Submitter	RSO OE Authorization - RES00XXXXX has been Received by RSO
16	Project Amendment	Submit/Approve	Next set of Pending Approvers	RSO Approval Request - Project Amendment - RES00XXXXX
17	Project Amendment	Deny	Submitter	RSO Project Amendment - RES000XXXXX has been denied
18	Project Amendment	Send Back	Submitter	RSO Project Amendment - RES000XXXXX has been sent back for revisions
19	Project Amendment	Final Approval	Submitter	RSO Project Amendment - RES000XXXXX has been Received by RSO
20	Agreement Acknowledgement	Submit/Approve	Next set of Pending Approvers	RSO Approval Request - Agreement Acknowledgment - RES00XXXXX
21	Agreement Acknowledgement	Deny	Submitter	RSO Agreement - RES000XXXXX has been denied
22	Agreement Acknowledgement	Send Back	Submitter	RSO Agreement - RES000XXXXX has been sent back for revisions
23	Agreement Acknowledgement	Final Approval	Submitter	RSO Agreement - RES000XXXXX has been approved
24				



Approval Workbench

- An organized “list” of pending requests tied to a specific individual/approval step.
- Provides approvers a central repository of pending approvals for all 5 request types.

The screenshot displays the University of Alberta Self-Service Center interface. At the top, the navigation path is highlighted: **Self-Service Center > Manage Approvals > Research Approval Workbench**. Below this, the 'Manage Approvals' section is visible, with a sub-header 'Approve transactions for processing.' The main content area is divided into two columns. The left column contains links for 'Approve Requisitions' (Manage Approvals), 'View Proxies/Sub-delegations*' (View Active Delegations of Signing Authority*), and 'Research Approver Maintenance*' (Allows specification of departmental roles for research approval purposes.). The right column contains links for 'Approve T&E Transactions' (Approve expenses transactions) and 'Research Approval Workbench*'. The 'Research Approval Workbench*' link is highlighted with a red box, and its description is shown below it: 'This workbench provides approvers a central repository of pending approvals for research proposals, sub-grants, amendments, over-expenditure requests, and agreement acknowledgements.'

UNIVERSITY OF ALBERTA

Self-Service Center > Manage Approvals > Research Approval Workbench

Self-Service Center

Manage Approvals

Approve transactions for processing.

[Approve Requisitions](#)
Manage Approvals

[Approve T&E Transactions](#)
Approve expenses transactions

[View Proxies/Sub-delegations*](#)
View Active Delegations of Signing Authority*

[Research Approval Workbench*](#)
This workbench provides approvers a central repository of pending approvals for research proposals, sub-grants, amendments, over-expenditure requests, and agreement acknowledgements.

[Research Approver Maintenance*](#)
Allows specification of departmental roles for research approval purposes.

Approval Workbench

UNIVERSITY OF ALBERTA McClelland

Favorites Main Menu > Employee Self-Service > Projects > Research Approval Workbench*

Appr. Workbench

Search Parameters

Transaction Type: [All Transaction Types]

Search Parameters

Search Parameter	Field Value
1 Transaction ID	
2 Department	
3 Faculty	
4 Principal Investigator	

Search

Select All Clear All Approve

Proposal Approvals

Transactions to Approve

Select	Transaction Type	Proposal ID	Proposal Details	Principal Investigator	Sponsor ID
1			Proposal Details		

Sub-Grant Approvals

Transactions to Approve

Select	Transaction Type	Proposal ID	Sub-Grant Details	Request ID	Department	Principal Investigator	Sponsor ID
1			Sub-Grant Details				

Project Amendment Approvals

Transactions to Approve

Select	Transaction Type	Project ID	Amendment Details	Request ID	Department	Principal Investigator	Sponsor ID
1			Amendment Details				

Over-Expenditure Authorization Approvals

Transactions to Approve

Select	Transaction Type	Project	Authorization Details	OE Request ID	Department	Principal Investigator	Sponsor ID
1			Authorization Details				

Agreement Acknowledgement Approvals

Transactions to Approve

Select	Transaction Type	Proposal ID	Agreement Details	Acknowledgement ID	Department	Principal Investigator	Sponsor ID
1			Agreement Details				

Page defaults in blank. Approvers must hit "Search" to pull up pending transactions.

Approvers can search by Transaction (i.e. request) Types or by a specific field value (e.g. Proposal: ID = RES0044122, Total Award = 4000000) using dropdowns.



Approval Workbench

Appr. Workbench

Search Parameters

Transaction Type: All Transaction Types

Search Parameters

1 Transaction ID

2 Department

3 Faculty

4 Principal Investigator

Search

Field Value

Personalize | Find | View All | First | 1-4 of 4 | Last

☒ Select All ☐ Clear All

Approve

"Select" and "Select All" allow approvers to approve multiple transactions at once

Unable to send back or deny from workbench page.

Clicking on the hyperlink takes you to the request page.

Proposal Approvals

Transactions to Approve

Personalize | Find | First | 1-12 of 12 | Last

Select	Transaction Type	Proposal ID	Proposal Details	Department	Principal Investigator	Sponsor ID
☐	Proposal	RES0044122	RES0044122	LAW Admin	Elgale,Igipi	
☐	Proposal	RES0044300	RES0044300	LAW Admin	Elgale,Igipi	
☐	Proposal	RES0044142	RES0044142	LAW Admin	Mouk,Gusji	
☐	Proposal	RES0044156	RES0044156	LAW Admin	Elgale,Igipi	

Sub-Grant Approvals

Transactions to Approve

Personalize | Find | First | 1 of 1 | Last

Select	Transaction Type	Proposal ID	Sub-Grant Details	Request ID	Department	Principal Investigator	Sponsor ID
☐			Sub-Grant Details				

Project Amendment Approvals

Transactions to Approve

Personalize | Find | First | 1 of 1 | Last

Select	Transaction Type	Project ID	Amendment Details	Request ID	Department	Principal Investigator	Sponsor ID
☐			Amendment Details				



Approval Workbench

Sponsor Deadline

Appr. Workbench

Search Parameters

Transaction Type: All Transaction Types

Search Parameters

Search Parameter	Field Value
1 Transaction ID	
2 Department	
3 Faculty	
4 Principal Investigator	

☒ Select All ☐ Clear All

Proposal Approvals

Transactions to Approve

Select	Transaction Type	Proposal ID	Proposal Details	Department	Principal Investigator	Sponsor Deadline	Sponsor ID
☐	Proposal	RES0044300	RES0044300	LAW Admin	Elgale, Igipi		
☐	Proposal	RES0044142	RES0044142	LAW Admin	Mouk, Gusji	05/31/2019	
☐	Proposal	RES0044156	RES0044156	LAW Admin	Elgale, Igipi	05/31/2019	
☐	Proposal	RES0044143	RES0044143	LAW Admin	Mouk, Gusji	05/31/2019	

Sub-Grant Approvals

Transactions to Approve

Select	Transaction Type	Proposal ID	Sub-Grant Details	Request ID	Department	Principal Investigator	Sponsor ID
☐			Sub-Grant Details				

Project Amendment Approvals

Transactions to Approve

Select	Transaction Type	Project ID	Amendment Details	Request ID	Department	Principal Investigator	Sponsor ID
☐			Amendment Details				

Over-Expenditure Authorization Approvals

Transactions to Approve

Select	Transaction Type	Project	Authorization Details	OE Request ID	Department	Principal Investigator	Sponsor ID
☐			OE Auth Details				

Agreement Acknowledgement Approvals

Transactions to Approve



Research Approval Inquiry

- An “Inquiry” page.
- A “list” of pending transactions (requests) for all Proposals/Projects within a given deptid(s).
- Access to page is tied to eTRAC Administrator access.
 - Request for Administrative Applications Access “PeopleSoft Financials/SupplyNet Access”

The screenshot shows a web interface for the 'Self-Service Center' under 'Manage Approvals' and 'Research Approval Inquiry'. The breadcrumb path is highlighted with a red box. Below the breadcrumb, there are four tiles: 'Approve T&E Transactions', 'Assign Proxy*', 'Research Approval Workbench*', and 'Research Approval Inquiry*'. The 'Research Approval Inquiry*' tile is highlighted with a red box. The 'Research Approval Inquiry*' tile description states: 'This inquiry page allows the user to see pending approvals using a number of different search criteria including department, faculty, Principal Investigator, etc.'

Home | Add to Favorites | Sign out

Self-Service Center>Manage Approvals>Research Approval Inquiry

Approve T&E Transactions Approve expenses transactions	Assign Proxy* Assign Proxy*
Research Approval Workbench* This workbench provides approvers a central repository of pending approvals for research proposals, sub-grants, amendments, over-expenditure requests, and agreement acknowledgements.	Research Approval Inquiry* This inquiry page allows the user to see pending approvals using a number of different search criteria including department, faculty, Principal Investigator, etc.



Research Approval Inquiry

Appr. Inquiry

Search Parameters

Transaction Type:

All Transaction Types

Search Parameters

Search Parameter

Field Value

1 Transaction ID

2 Department

3 Faculty

4 Principal Investigator

Search

Page defaults in blank.
Approvers must hit "Search" to pull up pending transactions.

Through Date: 12/31/2099

Administrators can search by Transaction (i.e. request) Types or by a specific field value (e.g. Proposal: ID = RES0044122, Total Award = 4000000) using dropdowns.

Proposal Approvals

Transactions Pending Approval

Title/Step Dept/Faculty PI/Project Holder Award/Dates

Transaction Type	Proposal ID	Proposal Details	Project Title	Approval Step
1		Proposal Details		

Sub-Grant Approvals

Transactions Pending Approval

Title/Step Dept/Faculty PI/Project Holder Amount/Dates

Transaction Type	Proposal ID	Request ID	Sub-Grant Details	Project Title	Approval Step
1			Sub-Grant Details		

Project Amendment Approvals

Transactions Pending Approval

Title/Step Dept/Faculty PI/Project Holder Amended Items

Transaction Type	Project ID	Request ID	Amendment Details	Project Title	Approval Step
1			Amendment Details		



Research Approval Inquiry

Appr. Inquiry

Search Parameters

Transaction Type: All Transaction Types

Search Parameters

Search Parameter	Field Value
1 Transaction ID	
2 Department	
3 Faculty	
4 Principal Investigator	

Search Include Transactions From Date: 01/01/1901 Through Date: 12/31/2099

Unable to approve via the inquiry page

Proposal Approvals

Transactions Pending Approval

Title/Step	Dept/Faculty	PI/Project Holder	Award/Dates	Request ID	Project Title	Approval Step
1 Proposal				RES0044143	testing declarations	Dept. Review
2 Proposal				RES0044150	testing, testing	Dept. Review
3 Proposal				RES0044134	TEST - PI is only Dept Approver	Faculty Approval
4 Proposal				RES0044135	Test - PI is also only Dept level approver	Faculty Review

Can expand columns to view more.

Users are able to track approval steps for a specific transaction (i.e. request).

Sub-Grant Approvals

Transactions Pending Approval

Title/Step	Dept/Faculty	PI/Project Holder	Amount/D	Request ID	Project Title	Approval Step
1 Sub-Grant				RES0040614	Vriend Symposium 2018 - 20th Anniversary of the Vriend Decision	RSO Office
2 Sub-Grant				RES0040614	Vriend Symposium 2018 - 20th Anniversary of the Vriend Decision	RSO Office
3 Sub-Grant				RES0040614	Vriend Symposium 2018 - 20th Anniversary of the Vriend Decision	RSO Office
4 Sub-Grant				RES0040614	Vriend Symposium 2018 - 20th Anniversary of the Vriend Decision	RSO Office

Clicking on the hyperlink takes you to the request page.

Project Amendment Approvals

Transactions Pending Approval

Title/Step	Dept/Faculty	PI/Project Holder	Amended Items	Request ID	Project Title	Approval Step
1 Prj. Amend				RES0037350	UWO R5417A08 Ogbogu	RSO Office
2 Prj. Amend				RES0036243	Holocaust Essay Award SPECIP	Dept. Approval
3 Prj. Amend				RES0036766	UOFAB CNProf Reif	Principal Investigator
4 Prj. Amend				RES0040614	ALF ABLAWPG 6054 CCS Paton	Principal Investigator

Over-Expenditure Authorization Approvals

Transactions Pending Approval



Final Notes

- Go-live currently scheduled for June 16th, 2019
- Procedures to be posted on the RSO website:
 - Website: www.ualberta.ca/research/services
- Questions/Comments/Help
 - Please contact your Research Facilitator or myself at julie.stephens@ualberta.ca or by phone 2-9189
- Contact IST Support (helpdesk) via email at ist@ualberta.ca
 - Contact RSO first for guidance on whether or not a ticket should be logged



Q and A



Thank you For Coming

