My Research Applications - User Guide

Help Desk

The help desk will be staffed from 9:00 a.m. to 5:00 p.m. Monday to Friday with extended hours prior to major deadlines.

Phone: 416 946-5000
Email: raise@utoronto.ca

Browsers Supported

Internet Explorer IE8 – IE10 (recommended)
Compatibility Mode must be enabled in IE10 by users who are Approvers, (Chairs, Deans, Alternates, etc.). To activated Compatibility Mode in IE10 log in to MRA and click the "broken page" icon in the URL address bar. This is a one-time requirement, once activated IE10 will employ Compatibility Mode on the computer.

Firefox (Macs)
Extended support version 17.0.7 recommended. This version is available for download from
http://www.mozilla.org/en-US/firefox/organizations/all.html

Pop-ups must be enabled for the site.

Safari and Chrome are not compatible.

System Access

MRA is available from 7:30 a.m. to midnight. During the evening of payroll runs, month end and year end, designation transactions (see Designate a PI Assistant, Designating Other Positions) are not allowed.

The RIS Application Attachment System may be accessed from the Vice President Research and Innovation RAISE project page, Campus Business Connect or directly from the My Research – Applications login screen.

When your account is initially established it will be the same Username and Password as your AMS or ESS (Employee Self-Serve) Username and Password.   However, these are separate systems and your passwords are not automatically synchronized. Overtime these different Passwords will move out of synchronization. (If you have not used any of these accounts for a period of two years, your user licence will have expired. Contact the RAISE Helpdesk for assistance.)

Principal Investigators

All tenured, tenure stream and non-tenure stream faculty with the rank of Professor, Associate Professor and Assistant Professor and librarians 3 & 4 have automatic access to the system. Status-only, retired and emeritus faculty will be given system access upon request. (Please see *Appendix 1* for complete University of Toronto PI eligibility guidelines and procedures.)

Unit Heads

All unit heads (Principals/Deans/Chairs/Directors) will have approval privileges for their respective units assigned to them automatically.

University of Toronto Research Support Personnel

Business Officers and Divisional Research Office support personnel access will be delegated by the respective unit head. Vice President Research and Innovation personnel roles will be assigned by the system administrator.

Common Functionality

Access to the application record and any attached documents is controlled by the user's relationship to the applicant as determined by the user's HR records.

Notes & Documents

All users will have the ability to attach notes and documents to an application record. Users may attach notes and documents prior to and after submission.   A complete audit trail is retained of who attached, what, when.

Email Notifications

The system automatically generates email notifications as an application progresses through the work flow. In other words, as the application is approved the next approver in the workflow will receive an email notification.

Not all notifications are sent immediately. Summary notifications to the Chair/Director/Dean/Principal/Vice-Dean/Vice-Principal are sent twice daily listing all applications awaiting action. Summary emails were used for this step so as to avoid an avalanche of emails at major deadlines. The table in *Appendix 2* sets out the specific details.

NB: The application itself moves through the workflow immediately, i.e. if a PI submits an application it will appear in the approver's in-box immediately – this action is not contingent on the notification email.

Principal Investigator

Submitting a Research Application for Approval

The Online RIS Application Attachment system is the method by which the University collects the appropriate internal approvals on research applications. Post-rollout the online system will be the <u>only</u> method by which a University approval for a research application may be obtained.

All mandatory fields in the form are marked with a red asterisk. At a minimum the following information is required to complete the form:

- Title of Research
- Application Deadline[1]
- Sponsor(s)
- Related Program(s)[2]
- Total Amount Requested per Program including any Indirect Costs
- Indirect Costs Requested per Program[3]
- Yes/No declaration
    - Are there Co-Investigators/Collaborators?
    - Is the University of Toronto the lead applicant?
- Yes/No declarations for Protocol and Permit requirements
    - Animals
    - Humans
    - Biohazards
    - Radiation
    - X-Ray

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[1] If there is no formal deadline please insert a date 5 working days from the date of submission.
[2] If there is no formal program please insert "Research Program" in the space provided.
[3] University Policy does not anticipate Indirect Costs from all Sponsors/Programs. Where there is the expectation or opportunity to request Indirect Costs, this field will be active.

- o High Hazard Chemicals
- o Controlled Goods
- At least one key word to describe the research (up to 10 may be entered)
- Identification of the related University Strategic Theme and Sub-Theme[4]
- Disciplinary Classification[5]
- The location of research including the primary location if more than one
- Yes/No declaration
  - o Does the proposal involve a contribution by the University to the direct costs?
  - o Does the proposal involve the acquisition of high performance computing infrastructure?
  - o Will the project require additional space not presently under your control?
  - o Is there any construction or renovation involved in this project?
  - o Are new/increased utility requirements likely as a result of equipment purchases or construction/renovation?
  - o Does this project require teaching release?
- An uploaded copy of the application
- Agreement with the Principal Investigator Undertaking

NB: Depending on the answer provided some questions will generate subordinate questions.

General Features
- Mandatory fields are marked with a red asterisk*.
- Some questions will generate subordinate questions.
  - o Subordinate questions may also have mandatory fields which will also be marked with a red asterisk*.
- The side menus are active. Clicking a menu item will take you to that item.
- If additional display space is desired on the main screen, the side menus may be collapsed by clicking on the arrow on the side of the menu.
- Some pages are divided into a main and subordinate page(s). A location bar, like the example below, is used on these pages. It will appear at the top of the page with your current location highlighted.
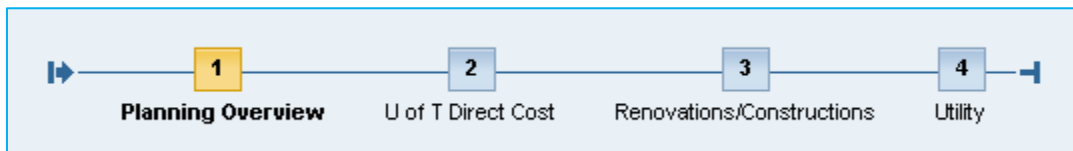
This bar is not active; clicking on the icon will not take you to the subordinate page. Navigation to subordinate pages is controlled by the navigation buttons at the bottom of the page. If a page is not active you will not be directed to that particular page, e.g. if you have answered "no"

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[4] If the research does not relate to the existing University Strategic Research Themes and Sub-Themes the user may enter a new Theme/Sub-Theme.
[5] Applicants will be asked to select either, humanities, social sciences, physical sciences or life sciences.

to the question "Does this proposal involve a contribution by the University to the direct costs?", the "U of T Direct Cost" page will remain inactive as no further information is required.

- It is not necessary to "Save" your data when navigating from page to page. Data will be saved automatically when you leave the page.
- Mandatory data will be validated prior to submission of the application.
    - Pages with missing mandatory information will be marked in the side menu as shown below. Error messages identifying the missing information will appear at the top of the page with the missing information. Where the missing information is on a subordinate page, the error message will instruct you to navigate to the subordinate page.

Step by Step

1. Login using your ESS username and password.
2. Click on the "Create New Application" tab in the navigation bar on the left of the screen.
3. Complete the submission as outlined below.

Identification Page

Identification

PI Appointment Information (Notify Business Officer of Change)

Name:	Prof X
Personnel No:	0000000
Phone:	416 946 -5000
Email:	blueformuoft@gmail.com
Appointment Status:	Non-Tenure Stream
Appointment End Date:	0000-00-00
Rank:	Senior Lecturer
Dept of Primary Appointment:	UTSC:Dept-Computer & Mathematical Sci - UofT Scarborough
Other Appointments:	N/A

Research Information

U of T Administering Unit: *   UTSC:Dept-Computer & Mathematical Sci – UofT Scarborough ▼

Title of Research (max length 240): *

Competition Deadline: *   yyyy.mm.dd

Student Information (if fellowship/studentship)

Student Name:

Review Options

Prior to submission, this application received (check all that apply):

☐ An arm's length peer review
☐ A departmental peer review
☐ An informal peer review
☐ There was no peer review

[Next ▶]   [💾 Save]

Subordinate fields appear when name entered

1. Review your appointment information. This information is based on your HR record. If there is incorrect information, click on the "*Notify Business Officer of Change*" link. A message box will open in which the corrections may be entered. Click "OK" and the Business Officer associated with your unit of primary appointment will be altered to the change request.
   NB: Your Business Officer cannot update your email address. See Appendix 8 – How to Change an Email Address in ESS for instructions on how to update your email address.
2. Select the administering unit for your application. The administering unit will default to your unit of primary appointment. If you prefer to have your research administered in a unit other

than your unit of primary appointment, click on the down arrow in the administering unit field and select the appropriate unit.

NB: Only those units in which you have an appointment as recorded in your HR record will be available for selection.

3. *Enter the title of the research project.
4. *Enter the sponsor's competition deadline. If there is no formal deadline please enter a date 1 week from the current submission date. You may enter the date directly, an input mask is provided, or you may click on the calendar icon attached to the field to select the date.
5. Student/fellow information – required only in the event that the funds being requested are for a named student or fellow. When this field is completed the following subordinate questions will be asked:
    a. Student Number
    b. *Anticipated start date of fellowship/studentship
    c. *Anticipated end date of fellowship/studentship
    d. *Email address for student/fellow
6. Peer Review questions regarding the nature of any peer review performed on the application prior to its submission. Applicants should check all that apply.
    a. An arm's length peer review (the identity of the review is not known to the applicant)
    b. An informal peer review (peer review arranged by the applicant)
    c. A departmental peer review (peer review arranged through a departmental process)
    d. Did not receive a peer review
7. Click "Next" – (your information will be saved automatically whenever Next is clicked).

Sponsors and Programs Pages

Sponsors & Programs

☑ The application has been successfully created!

➡ ─── **1** ─────── **2** ─── ⊣
   Select Sponsors   Select Programs

Government of Canada Agencies and Departments
☐ Canadian Institutes of Health Research
☐ Natural Sciences & Engineering Research Council
☐ Social Sciences & Humanities Research Council
☐ Canada Foundation for Innovation
☐ Canada Research Chairs - CIHR
☐ Canada Research Chairs - NSERC
☐ Canada Research Chairs - SSHRC
☐ Networks of Centres of Excellence
☐ International Develoopment Research Centre
☐ Canadian International Development Agency
☐ Other Gov of Canada Agencies & Departments

Government of Ontario Agencies and Departments
☐ Ontario Centres of Excellence
☐ Ministry of Economic Development and Innovation
☐ Ontario Genomics Institute
☐ Ontario Institute for Cancer Research
☐ Other Gov of Ont Agencies & Departments

Government of United States Agencies and Departments
☐ National Institutes of Health
☐ Other Gov of US Agencies & Departments

University of Toronto Research Programs
☐ Connaught Fund
☐ Self Funded Research Program

Other Sponsors
☐ Foundation
☐ Industry
☐ Other

If a generic or "other" Sponsor is selected an input box will appear with a prompt to enter the Sponsor name.

◄ Previous   Next ►   💾 Save   Send to Asst.   🗑 Delete

The minimum number of Sponsors and Programs needed to ensure that applications are directed to the appropriate approvers have been listed. Where a Sponsor or Program is not listed you will be prompted to enter the name of the relevant Sponsor and/or Program.

1. *Select the relevant Sponsor(s) or Sponsor Category for the application. You must select at least one sponsor. If there are collaborating sponsors please select all the relevant sponsors.
   a. If you select a Sponsor Category or "Other" Sponsor, e.g. "Foundation" you will be prompted to enter the name of the foundation.

2. Click "Next". This will take you to the Programs sub-screen.

a. *Select the relevant program related to the sponsor(s)
    i. If the program name is not present, enter the name of the program in the field provided. If the Sponsor does not have a defined program, please enter "Research Program" in the space provided.
    ii. Enter the total amount requested from the Sponsor/Program including any indirect costs requested.
    iii. Enter the total amount of indirect costs requested, if any. (This question may not be present where it is known that the Sponsor does not provide indirect costs, e.g. CIHR, NSERC, SSHRC)
        1. If an amount has been entered for indirect costs, the system will calculate the indirect cost rate for the application and compare it against the University's expected indirect cost rate for that Sponsor or Sponsor Category.
    iv. Indicate the currency in which the request is being made. (Canadian dollars is the default currency.)
    v. You may also be asked to enter your Sponsor PIN and indicate whether the sponsor is foreign or domestic. These questions are context specific and will not always appear.
    vi. Repeat this process for any collaborating sponsors.
3. Click "Next".

Co-Investigators & Collaborators Page

Co-Investigators & Collaborators

Are there Co-Investigators and/or Collaborators?
- ⦿ Yes
- ○ No

Select/Enter Co-Investigators and Collaborators for this application using the buttons below:
(Co-investigators (or Co-Applicants) are individuals who contribute to the overall intellectual direction of the project and who normally meet the Sponsor's eligibility criteria to receive funds for the portion(s) of the project they will manage, at the discretion of the Principal Investigator. Collaborators are individuals who contribute their expertise to a particular area(s) of a project and who are normally ineligible to receive funds under the Sponsor's eligibility criteria.)

| My Collaborators | Search U of T Personnel | External Collaborators |

	Project Designation	Name	Email
ⓘ No co-investigators and/or collaborators selected.			

Is U of T the lead institution for this application?
- ○ Yes
- ⦿ No

| My Collaborators' Institutions | External Institutions |

Lead Institution: Please select a lead institution

| ◄ Previous | Next ► | | 💾 Save | 📧 Send to Asst. | 🗑 Delete |

Co-Investigator & Collaborators page as it appears after initial these options have been selected but before the Collaborators and Lead Institution have been named.

1. *Are there Co-Investigators and/or Collaborators[6]? - Yes/No

   If "yes" these people may be linked to the application in one of four ways:

   a. Select from My Collaborators – this is a self-compiling list of co-investigators and collaborators with whom you have worked in the past.

   b. Select from U of T Personnel – you may search the U of T personnel data base for other U of T eligible applicants.

   c. Select from the Research Information System External Collaborators database. This is a listing of co-investigators and collaborators on U of T research projects.

   d. If the relevant individual(s) cannot be selected from any of these lists you may enter a new person.

      i. First search the External Collaborators database

      ii. If the co-investigator/collaborator is not found, click "Create New Collaborator"

         1. Enter first name*, last name*, institutional affiliation*, country* and email address* for the co-investigator/collaborator

All individuals linked to the project must be marked as either a co-investigator or collaborator. Co-investigators are defined as those individuals who will participate in the intellectual direction of the project and may receive their own budget. Collaborators will provide a service to the project and will not be provided with their own budget.
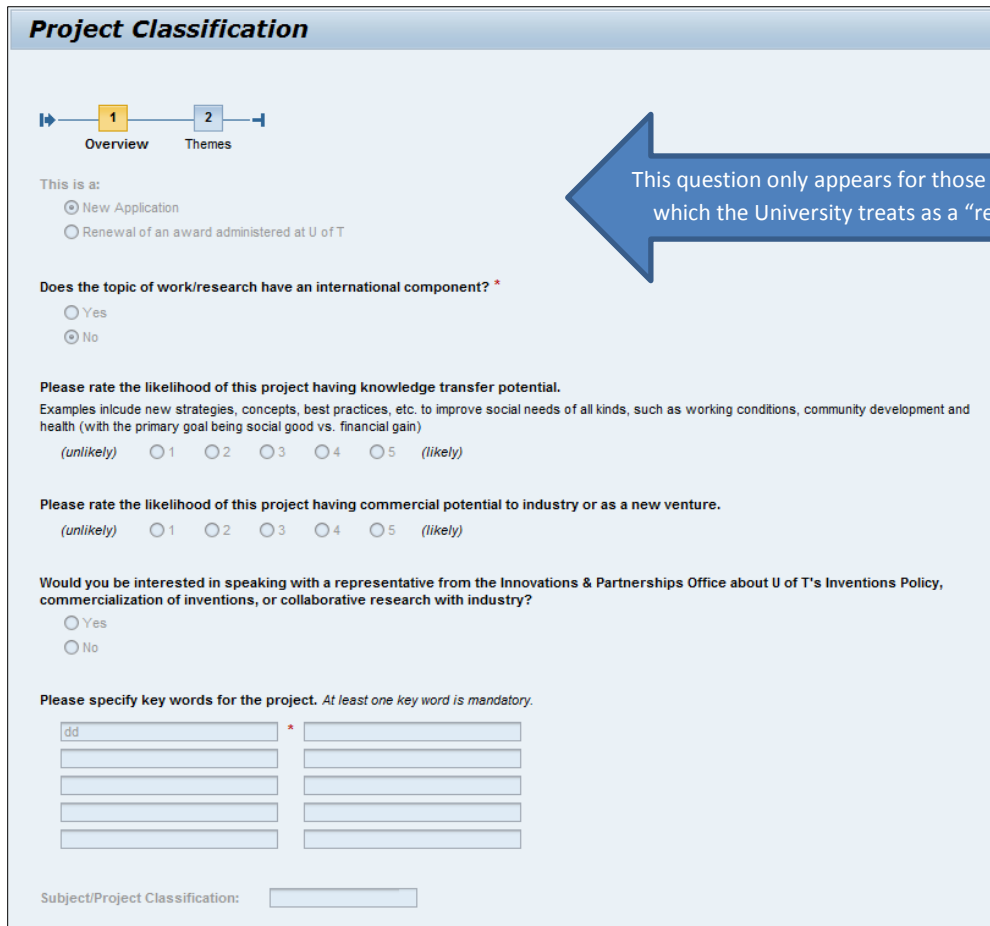
If an email address is missing select the line and click on the "pencil" icon to edit the email address.

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[6] **Definition** - Co-investigators (or Co-Applicants) are individuals who contribute to the overall intellectual direction of the project and who normally meet the Sponsor's eligibility criteria to receive funds for the portion(s) of the project they will manage, at the discretion of the Principal Investigator. Collaborators are individuals who contribute their expertise to a particular area(s) of a project and who are normally ineligible to receive funds under the Sponsor's eligibility criteria.

NB: All co-investigators and collaborators linked to the application will receive an email notification informing them of their inclusion in the project.

2. *Is U of T the Lead Institution for this application? Yes/No
   If "no" you will be prompted to indicate the lead institution which may be done in one of three ways.
   a. Select from My Collaborators' Institutions
   b. Select from the Research Information System External Institutions Database
   c. If the relevant institution cannot be selected from either of these lists you may enter a new institution. .
      i. First search the External Institutions database
      ii. If the institution is not found, click "Create New Institution"
         1. Enter Institutional name *and country *

3. Click "Next".

Project Classification Pages

Project Classification

Overview — Themes

This is a:
○ New Application
○ Renewal of an award administered at U of T

This question only appears for those programs which the University treats as a "renewal"

Does the topic of work/research have an international component? *
○ Yes
◉ No

Please rate the likelihood of this project having knowledge transfer potential.
Examples inlcude new strategies, concepts, best practices, etc. to improve social needs of all kinds, such as working conditions, community development and health (with the primary goal being social good vs. financial gain)
(unlikely) ○ 1 ○ 2 ○ 3 ○ 4 ○ 5 (likely)

Please rate the likelihood of this project having commercial potential to industry or as a new venture.
(unlikely) ○ 1 ○ 2 ○ 3 ○ 4 ○ 5 (likely)

Would you be interested in speaking with a representative from the Innovations & Partnerships Office about U of T's Inventions Policy, commercialization of inventions, or collaborative research with industry?
○ Yes
○ No

Please specify key words for the project. *At least one key word is mandatory.*

Subject/Project Classification:

1. New Application or Renewal
   This question will only appear if you have selected a program that the University will treat as a "Renewal" of an existing award.
   a. Select "New Application" if this is not a renewal of an existing award from this sponsor or if it is a renewal of an existing award which was held at another institution (e.g. you are a new faculty member who is renewing an NSERC Discover Award that was held at McGill).
   b. If you select "Renewal" the system will generate a list of awards that correspond to the program you have selected and which may be renewed.
      i. Select the relevant award from the list.
2. Does the topic of work/research have an International Component*
   a. If you select "yes" choose the countries from the list provided.
      NB: You may quickly locate the country by using the filter function. Press enter to activate the filter.
3. Knowledge Transfer Potential
   a. Rank the likelihood of the potential for knowledge transfer for this project on the scale provided by selecting the appropriate button.
4. Commercial Potential
   a. Rank the likelihood of the commercial potential for this project on the scale provided by selecting the appropriate button.
5. Interest in meeting regarding the University's Inventions Policy, commercialization supports and/or collaboration with Industry
   a. If you select "yes" you will be contacted by a representative from the Innovations and Partnerships Office.
6. Keywords*
   a. Input at least one keyword to a maximum of 10 keywords.
7. Disciplinary Classification*
   a. From the list provided, select the broad disciplinary category which best describes this project.
8. Click "Next"

Project Classification Subpage - Themes

Project Classification

9. Select the Theme/Subtheme*
    a. Select the Subtheme(s) from the University's Strategic Research Plan which correspond to the research project. (If the research project is not encompassed in the Plan, you may select "Other").
    NB: Click on the question mark icon to view an explanation of the theme and sub/theme.
10. Click "Next"

Location of Research Page

Location of Research

☑ Application has been successfully updated.

Indicate the location of your research. Select all that apply:
(If more than one location of research is specified you must indicate the primary location at the bottom of the page.)

Campus Locations ⊟

Select the U of T campus(es) where the research will occur and indicate the primary location of research below:

☐ St. George
☐ UT Mississauga
☐ UT Scarborough
☐ Downsview

Fully Affiliated Teaching Hospitals ⊟

Select hospital:

🗑 [▼]

Other Institutions ⊟

Add any other institutions:

[📌 Select Institution]

Name	City	Country
ℹ There are no institutions selected.		

Field Locations ⊟

Add applicable field locations:

	Location Description	Country
🗑		

Select the primary location of research: * [▼]

If only one location selected, primary location defaults to selection.

[◄ Previous] [Next ►] [💾 Save] [Send to Asst.] [🗑 Delete]

At least one location must be specified for the research activities.* Select all that apply.

1. U of T Campus Location
   a. If research activities are being carried out at a U of T site, select the relevant campus(es).

2. Fully Affiliated Teach Hospital Location
   a. If research activities are being carried out a Fully Affiliated Teaching Hospital, select the site(s) from the drop down list provided.
   NB: Selecting a hospital will route the application upon submission to the appropriate hospital approver.

3. External Institution
   a. If research activities are being carried out at an external institution click the "Select Institution" button to search the University of Toronto database of external institutions. If the institution is not found you may then enter a new Institution.

4. Field Work

a. If research activities are being conducted at a field site enter the location and select the associated country for the location.

5. Primary Location of Research*
    a. If only one location has been selected the Primary Location will default to this location.
    b. If more than one location has been specified you must select the primary location from the list provided.

Certification Pages

The Certification Pages have been broken into two pages. The first covers Animal and Human Participant Protocols and the second covers permits and controlled goods.

Protocol Page showing PI's Human Participants Protocols

1. Protocols
    a. Animal Protocols*
        i. Indicate if animals are used in the research.
            1. If "yes" the system will generate a list of your current animal protocols.

a. Select all relevant protocols by clicking in the box at the far left of the line on which the protocol is listed.

b. If an additional protocol is required or has not yet been issued or applied for, tick the box below the protocol search results.

b. Human Participant Protocols*

    i. Indicate if humans are participants/subjects.

        1. If "yes" you will be prompted to declare if the research falls under an exempt category. The scope of ethics review is outlined in Chapter 2 of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans.* This document may be accessed through the link in the ethics question.

            a. If "no" is selected (not exempt) the system will generate a list of your current human participant protocols.

                i. Select all relevant protocols by clicking in the box at the far left of the line on which the protocol is listed.

                ii. If an additional protocol is required or has not yet been issued or applied for, tick the box below the protocol search results.

2. Click "Next".

Certifications Subpage - Permits

Permits Page as it appears when Biological Agents has been selected.

3. Permits*

a. If "No" is selected to the summary question, the system will automatically populate all the permit categories with "No". If "Yes" is selected the buttons for each of the permit types will be become active and each question must be answered individually.

    i. Biohazards, Radiation, Lasers, X-Rays, High Hazard Chemicals

1. If "Yes" is selected to any of these questions, and it is indicated that the permit is required for on-campus activities the system will generate a list of the related U of T permits.
   a. If the permit has not yet been issued/applied for tick the relevant box.
2. Indicate if permits will be required at an external location.

ii. Controlled Goods
   1. If Controlled Goods are used, indicate if they will be imported and/or exported.

4. Click "Next"

Planning & Resources Pages

1. Contribution to the Direct Costs of Research*
   a. If "Yes" is indicated, a subordinate page with the following questions will open when "Next" is clicked:
      i. Amount – entered the dollar value of the University contribution to the direct costs
      ii. Source – indicate who is providing the contribution
      iii. Type of Contribution – is it "cash" or "in-kind"
         1. Nature of Contribution – if it is "in-kind" provide further details as to what exactly is to be provided, e.g. A graduate scholarship.
      Use one line for each contribution.

2. High Performance Computing *
   a. Indicate "Yes" or "No" – there are no subordinate questions.
3. Incremental Space*

a. Indicate "Yes" if you will require additional space which is not currently allocated to you to carry out this research project.

4. Construction and/or Renovation*
   a. If "Yes" is indicated, a subordinate page with the following questions will open when "Next" is clicked:
      i. Indicate if renovation and/or construction will take place
      ii. If an existing on-campus building is to be altered select the building from the list provided
      iii. If new on-campus construction is to be undertaken describe the location in the space provided
      iv. If new off-campus construction is to be undertaken describe the location in the space provided
      v. Enter the estimated amount of space to be constructed/renovated related to the various categories provided.

5. Increased Utility Usage Anticipated*
   a. Indicate "Yes" if the research will result in incremental utility usage, e.g. if you will need a fume hood installed in your lab. If "Yes" is indicated, a subordinate page with a series of questions will open when "Next" is clicked. This subordinate page lists a number of different items. To the best of your ability, indicate any new items/needs resulting from the application and whether this will be located on-campus or off-campus. This information is being gathered in order to ensure that any additional costs associated with the project are fully understood at the time of application and to ensure that the building can support the needed infrastructure.

6. Teaching Release*
   a. Indicate "Yes" if teaching release is required/expected.

Related Agreements Page

A Related Agreement is defined as an existing or anticipated agreement which has/will have a direct bearing on the current research proposal, e.g. a pre-existing non-disclosure agreement with the sponsor to whom the research application is to be submitted.

1. Choose the type of agreement from the drop down box, e.g. NDA, MTA, etc.
2. Provide a brief description of the document to allow OVPRI staff to identify the appropriate agreement.

Upload Documents Page

The application to the sponsor must be uploaded to the system.[7]
1. Filename*
   a. Browse to the location of your research application that you are submitting to the Sponsor[8].
2. Description*
   a. Provide a brief description of the document being attached, e.g. Form 180
3. Document Classification*
   a. Select the document type from the drop down list
4. Document Date*
   a. Input the date of the document

NB: Complete all the descriptors for the document before clicking the Upload button.

5. Click "Upload"

Multiple documents may be uploaded, however only one document may be uploaded at a time. Uploaded documents will appear in the space below and may be downloaded by clicking on the title. Prior to submission uploaded documents may be deleted.

6. Click "Next"

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[7] It is recognized that applicants may want to continue to polish their proposals after submission of a draft for University approval. If material changes are made to the proposal after submission, the revised application must be submitted for University approval.
[8] The following file types are may be uploaded – Word, Excel, PowerPoint, PDF, JPEG, JPG, GIF, PNG, TIFF, BMP

Principal Investigator Undertaking

Prior to submission the Principal Investigator must agree to the terms and conditions outlined in the Principal Investigator's Undertaking. You cannot submit the application without agreeing to the Undertaking. See *Appendix 7 - Undertaking Texts* for the Undertaking contents.

1. Tick the box "I have read and agree to the above terms and conditions".
2. Click "Submit"

When the "Submit" button is clicked the system will perform a check for mandatory information and will determine the appropriate internal approvers based on the information provided.

Confirmation

If the Sponsor requires a hard signature on a piece of paper, please print this page and attach it to the signature page when requesting a signature.

NB: If you need an approval in a hurry, contact the approvers listed on the Confirmation page. Notification emails to approvers are sent only twice a day, once in the morning to catch the previous evening's submissions and once in the evening to catch the day's submissions. However, the application will appear in the first approver's inbox as soon as it has been submitted, and will move through the approval hierarchy as soon as the previous approver has approved the application.

Searching for Applications

If the only role assigned to you within the system is Principal Investigator you will land on the My Applications page. This page lists all your applications which are under development, have been previously submitted or have been returned to you by an approver.

NB: Applications captured in the system are on a go-forward basis from the launch date. Historical information is not being loading into the system at this time. A history of your previous applications before system go live, may be viewed through the Application tab of My Research On Line.

Each of your application records will contain the following data points; RIS#, Title, Principal Investigator, Collaborator(s), Sponsors/Programs, Status, current Approver(s).   The table may be sorted on any of the columns by clicking on the right hand corner of the column heading. The Application Record may be accessed by clicking on the Title.

Tracking the Approval of your Application

If you click on the box at the left of the Application Record the row will be highlighted and additional information on the selected Record will be displayed at the bottom of the page, including who is currently handling the review of your Application. When the final approval is provided an email notification will be sent to you. If the application is returned to you, an email notification will be sent to you immediately.

Progress may also be tracked through the Status History. This report is available from the Application Record and can be accessed through the sidebar of the Record.

Copy a Previous Application Record

If you want to copy a previous Application Record, e.g. a resubmission of a CIHR Operating Grant Application, select the Application Record that you want to renew by clicking the box at the left of the Record and then click the "Copy Application" button. A new Application Record will be created by copying the information from the existing Application Record. Review the new Application Record and make any necessary changes. Attach a revised research proposal to the new Application Record, agree to the Undertaking and submit the new Application for approval.

Designate a PI Assistant

With the exception of completing the PI Undertaking and submitting an application, a PI Assistant has access to the same functionality as the PI.

Add a PI Assistant

1. Click on the Designate button in the side menu.
2. Add your Assistant by clicking on the Add Designate button.
3. Search for U of T personnel.
   NB: You will only be able to designate U of T personnel who have ongoing staff appointments at the University.
4. Enter the end date for the designation.

An email notification will be sent to the individual designated.
You may designate more than one Assistant.

Remove a PI Assistant

1. Select the Assistant from the list of Assigned Personnel by clicking in the box to the left of the record.
2. Click the End Assignment button.

NB: Role assignment is not immediate. It will take approximately 1 day for a new Assistant to have access to the role. Roles assignment uses the Human Resources System; as such this transaction is not available during payroll runs, month end, and year end.

Maintain My Collaborators
This transaction is not currently available.

Co-Investigators and Collaborators
Co-Investigators and Collaborators listed in the Application Record will receive an automatic notification when the application is submitted for approval. University of Toronto Co-Investigators and Collaborators may login and endorse the application.

Click on the Collaborations tab and then open the application by clicking on the title of the application you wish to endorse.
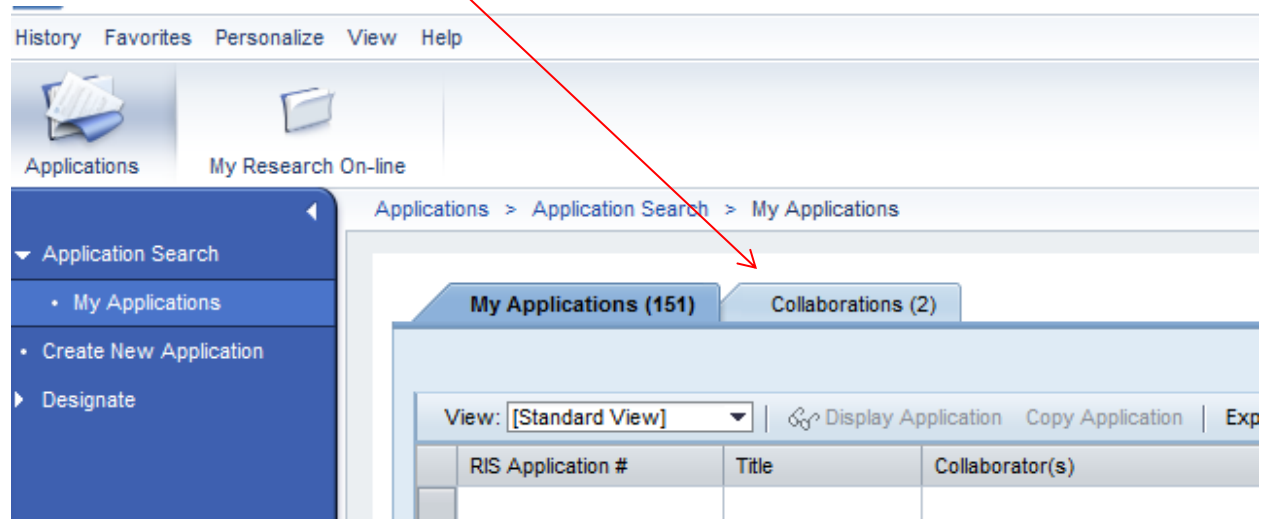
NB: It is not a system requirement that University of Toronto Co-Investigators and Collaborators endorse the application.

Approvers - Chairs/Directors, Deans/Principals (UTM, UTSC), Provost

In addition to your PI role, you will be able to approve applications for your unit, search for applications where PIs and Co-PIs are attached to an application, and designate other roles.

As an Approver, when you login you will land in the in-box. The inbox lists all applications awaiting action (approval/rejection).
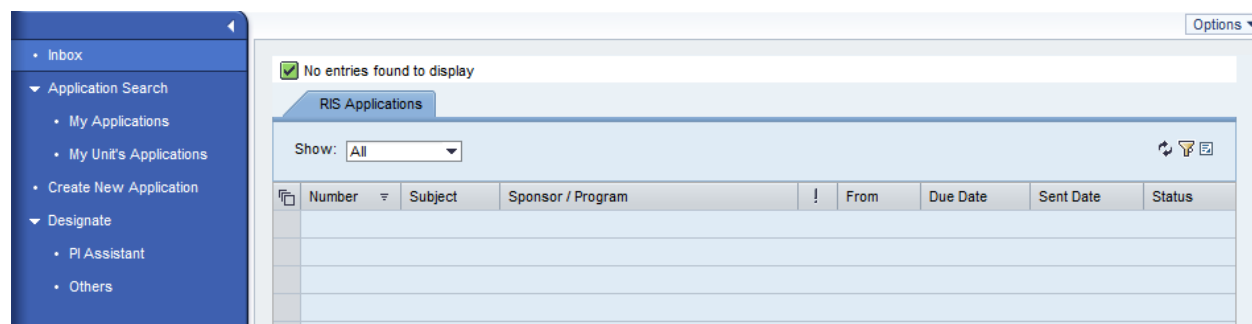
In-box table header

- Number – RIS Application Number
- Subject – Title of the application
- Sponsor/Program – The sponsors and programs as entered by the PI

- ! – The exclamation mark in a record indicates that the application contains one or more escalation factors (see *Appendix 5* for list of factors)
- From – PI on the application
- Due Date – Competition deadline entered by the PI
- Sent Date – date on which the previous person in the workflow acted on the application
- Status – Either New or In Progress (In Progress applications have been opened but have not been approved/rejected.)

If an approver has an alternate, applications will appear in the in-box of the primary approver and all alternates. When an application is opened by an approver it is removed from the in-box of all other approvers in the group. This prevents more than one approver from working on an application at the same time.

Approving Applications

1. In the in-box, click on the Subject of the Application Record. A separate window will open with summary information from the Application Record.

2. Review the information on the summary page.
   a. Be sure to review the Administering Unit selected by the PI.
   b. The Sponsor/Program table shows the Indirect Cost Rate for the application and the Indirect Cost rate suggested by University policy.
3. Click on the relevant button to Approve/Reject the Application.
   a. If an application is rejected, the approver will be prompted to add an explanatory note and the application will be returned to the PI.

      b.   If the application is approved it will be forwarded to the next step in the workflow.

4. The system will generate a task completion notice. Close the window/tab and you will be returned to your in-box.

5. Additional Functionality Accessible from the summary page
   a. If co-investigators/collaborators have been entered click on the link in the applicant information section of the page. A table showing the number and names of internal and external co-investigators/collaborators will be generated. The table also shows if U of T co-investigators/collaborators have "signed" the application.
   b. If an approver would like to view the entire Application Record, click on the "View Entire Application" link in the upper right hand area of the page.
   c. An approver may create additional notes which will be attached to the Application Record. These remain on the permanent record.
   d. An approver may attach additional documents to the Application Record.
   e. The "Status History" link will show the various stages of the approval, the individuals associated with the stage and the time at which the stage was initiated.

Put Back an Application

If an approver has an alternate, applications will appear in the in-box of the primary approver and all alternates. When an application is opened by an approver it is removed from the in-box of all other approvers in the group. In order to put the application back in the other in-boxes the user must access the "put back" function.

1. Click on the Action button in the upper right hand of the screen.
2. Click the Put Back button.

   This will put the application back to the in-box of the original recipients.

   NB: If an alternate was not active at the time of original submission it will not be placed back into that user's in-box.

Click to access "Put Back"

Searching for Applications – My Unit's

As an Approver you will see two search types. When you click on "Search Applications" you see two sub-tabs; My Applications and My Unit's Applications. The later allows you to search for applications

associated with your unit (applications are administered in your unit or the applicant is associated with your unit).

My Unit's Search Functionality

At the top of the Search Box the tab displays the number of Applications returned by the search.

Search Parameters:
- RIS Application Number (multiple range of values)
- Title (multiple values)
- Investigator (multiple range of values)
- Administering Unit (multiple values)
- Competition Deadline (multiple range of values)
- Sponsor ID (multiple range of values)
- Program ID (multiple range of values)
- Status (current status of the application)

  o The operator between search parameters is "and".
  o Value ranges may be entered on those parameters where there is a "to" box associated with the parameter.
  o To access multiple values or multiple ranges click on the yellow arrow to the right of the parameter.

Output Table Values
- RIS Application Number
- Title
- Principal Investigator
- Co-Investigator
- Administering Unit
- Competition Deadline Date
- Sponsor(s)/Program(s)
- Status
- Status Date & Status Time

The full application may be accessed by clicking on the Title in the record. Clicking on the box at the right side of the record will display at the bottom of the screen, detailed header information regarding the application. Results may be sorted on any of the output values by clicking in the table header in right side of the desired sort value. Results may be exported to Excel.

Designating Other Positions
The positions which you may designate are contingent on your role within the system.

Chairs/Directors
Select "Others" under the Designate tab.
1. Select Designate Alternate(s) for Research Applications
    This selection functions in the same manner as the Designate PI utility. Search results are restricted to faculty members.

    NB: Alternates receive the same email notification as the primary approver. Applications will be deposited in both the Primary Approver's in-box and any Alternate Approver's in-box provided the Alternate was set up prior to submission of the application.

2. Designate Business Officer(s) for Research Applications
    This selection functions in the same manner as the Designate PI utility. Business Officers are required in order to enable the workflow for the Self-Funded Research Program and in order to handle the receipt of notifications regarding requested changes to PI HR information.

Deans – Non-departmentalized Faculties
Select "Others" under the Designate tab.
1. Select Designate Alternate(s) for Research Applications
    This selection functions in the same manner as the Designate PI utility. Search results are restricted to faculty members. (Alternates may not designate Alternates.)

    NB: Alternates receive the same email notification as the primary approver. Applications will be deposited in both the Primary Approver's in-box and any Alternate Approver's in-box provided the Alternate was set up prior to submission of the application.

2. Select Divisional RSO Officer(s) for Research Applications
    This selection functions in the same manner as the Designate PI utility. Divisional Research Service Office Officers are copied on notifications to the Dean/Alternate. (Alternates may designate Divisional RSO Offer(s) for Research Applications.)

3. Designate Business Officer(s) for Research Applications
    This selection functions in the same manner as the Designate PI utility. Business Officers are

required in order to enable the workflow for the Self-Funded Research Program and in order to handle the receipt of notifications regarding requested changes to PI HR information.

Deans – Departmentalized Faculties/Principals – UTM/UTSC

Select "Others" under the Designate tab.

1. Select Designate Alternate(s) for Research Applications
   This selection functions in the same manner as the Designate PI utility. Search results are restricted to faculty members. (Alternates may not designate Alternates.)

   NB: Alternates receive the same email notification as the primary approver. Applications will be deposited in both the Primary Approver's in-box and any Alternate Approver's in-box provided the Alternate was set up prior to submission of the application.

2. Select Divisional RSO Officer(s) for Research Applications
   This selection functions in the same manner as the Designate PI utility. Divisional Research Service Office Officers are copied on notifications to the Dean/Alternate. (Alternates may designate Divisional RSO Offer(s) for Research Applications.)

3. Designate Business Officer(s) for Research Applications
   This selection functions in the same manner as the Designate PI utility. Business Officers are required in order to enable the workflow for the Self-Funded Research Program and in order to handle the receipt of notifications regarding requested changes to PI HR information. Although this would normally be a function of the Departmental Business Officer, this Faculty level Business Officer functions as a fall back in the event that the Chair has failed to designate a Business Officer.

Provost

Select "Others" under the Designate tab.

1. Select Designate Alternate(s) for Research Applications
   This selection functions in the same manner as the Designate PI utility. Search results are restricted to faculty members. (Alternates may not designate Alternates.)

   NB: Alternates receive the same email notification as the primary approver. Applications will be deposited in both the Primary Approver's in-box and any Alternate Approver's in-box provided the Alternate was set up prior to submission of the application.

2. Designate Provost Assistant for Research Applications
   This selection functions in the same manner as the Designate PI utility. The Provost Assistant role vets all newly created/moved Approver positions from the Human Resources system in order to ensure the integrity of the approval hierarchy.

Business Officers

Business Officers responsible for handling research applications are designated by the Chair/Director (Dean of non-departmentalized Faculties) of the unit using the functionality described above.

Receive Notifications of HR Information Corrections

The designated Business Officer(s) will receive notifications from PIs where the PI has used the functionality built into the system to notify the Business Officer of incorrect/incomplete appointment data. See *Submitting a Research Application for Approval, Step by Step, Identification Page*.

Endorsing Applications

Business Officers are not routinely a step in the workflow. At present the only program in which the Business Officer is included in the workflow is the University of Toronto Self Funded Research program. Self Funded applications from PIs attached to the Business Officer's unit will be deposited in the Business Officer's in-box. The functionality for endorsing the application is the same as that described above. See *Approvers, Approving Applications*

Searching for Applications

The unit's Business Officer has the same search functionality as the Chair/Director (Dean, non-departmentalized Faculties) of the unit. See *Searching for Applications – My Unit's*.

PI Assistants

PI Assistants are designated by the PI. Due to licensing restrictions only appointed University of Toronto staff may be designated as a PI Assistant. The functionality for PI Assistants mirrors that of the PI with the exception that the Assistant may not submit an application for approval.

Preparing Applications

1. Click on "Create My PI's New Application"
2. Select the PI for whom you are preparing the Application Record from the drop down box. (The list of PIs is restricted to those PIs who have designated the user as an Assistant.)
3. See *Principal Investigator, Submitting a Research Application for Approval, Step by Step* for further steps.
4. At any point in the process the Assistant may forward the Application Record to the PI by clicking the "Forward to PI" button. The Assistant will not be able to modify this Application Record unless the PI returns the Application Record to the Assistant.

Searching for Applications

The search functionality for PI Assistants is the same as that of their respective PIs.
This page lists all your applications which are under development, have been previously submitted or have been returned to the PI an approver or sent to you the PI.

NB: Applications captured in the system are on a go-forward basis from the launch date. Historical information is not being loading into the system at this time.

Each of the Application Records will contain the following data points; RIS#, Title, Principal Investigator, Collaborator(s), Sponsors/Programs, Status, current Approver(s). The table may be sorted on any of the columns by clicking on the right hand corner of the column heading. The Application Record may be accessed by clicking on the Title.

Affiliated Hospital Approvers

In accordance with the University's affiliation agreement with the fully affiliated hospitals[9] of the Toronto Academic Health Services Network (TAHSN), when a PI indicates that research will be carried out at a hospital location, the application will be automatically forward to the appropriate hospital approver(s) at the listed site(s). See *Submitting a Research Application for Approval, Step by Step, Location of Research Page* for details on how the PI designates the location.

NB: Only applications that will be administered at the University will be processed using My Research – Applications. MRA is not intended to handle applications from hospital PIs where the hospital is the administering unit. However in circumstances where the hospital is the lead institution and funds are being sub-granted/contracted to the University, the University will require an MRA submission from the University recipient. In such cases it is possible that the University recipient will indicate that research activities are taking place at the hospital which will route the Application Record to the hospital for approval.

Approving Applications

The screen design and functionality for approving the application is the same as that described above. See *Approvers, Approving Applications*

Only applications where the PI has indicated that research activities will take place at the hospital will be routed to the hospital for approval. Where the PI has indicated activities will take place at more than one hospital, the application will be route sequentially to the different hospitals.

Searching for Applications

The screen design and functionality for searching for applications is the same as that described above. See *Searching for Applications – My Unit's*

NB: Search results will be restricted to those applications where the location corresponds to the institution associated with the hospital approver.

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[9] The fully affiliated hospitals are; Baycrest, Holland Bloorview, CAMH, Mount Sinai, St. Michael's, Sunnybrook, Sick Children, UHN & Women's College

Designating Other Positions

Hospital Approvers may designate Alternate Approvers and Affiliated Institution Research Services Office Personnel. However, due to the requirements for the set-up of non-University of Toronto fully appointed staff, this process will be managed off-line. Requests for designating other positions should be directed to the System Administrator at raise@utoronto.ca.

Affiliated Institution Research Services Office Personnel

Personnel assigned this role will be copied on system generated notices sent to their respective hospital approver(s). Affiliated Institution Research Services Office Personnel do not have an in-box as they are not in the approval hierarchy. However, if the local practice includes a review by RSO staff prior to approval by the institutional approver, MRA accommodates this process.

Review of Applications (Optional Process)

1. Use the search functionality in My Unit's Applications to locate the application identified in the email notification. See *Searching for Application's – My Unit's*
2. Open the application by clicking on the Title.
3. Review the application.
4. Use the "Notes" function to record comments.
   a. Notes are sorted with the most recent at the top. When the approver accesses the Approval screen, the note from the RSO staff member will be at the top of the Notes window located immediately above the Approve and Reject buttons

Searching for Applications

The screen design and functionality for searching for applications is the same as that described above. See *Searching for Applications – My Unit's*

NB: Search results will be restricted to those applications where the location corresponds to the institution for which the user has been designated as Affiliated Institution Research Services Office Personnel.

Divisional Research Services Office Personnel

Personnel assigned this role will be copied on system generated notices sent to their respective Divisional Approver(s). Divisional Research Services Office Personnel do not have an in-box as they are not in the approval hierarchy. However, if the local practice includes a review by RSO staff prior to approval by the Divisional Approver, MRA accommodates this process.

Review of Applications (Optional Process)

1. Use the search functionality in My Unit's Applications to locate the application identified in the email notification. See *Searching for Application's – My Unit's*
2. Open the application by clicking on the Title.
3. Review the application.

4. Use the "Notes" function to record comments.
    a. Notes are sorted with the most recent at the top. When the approver accesses the Approval screen, the note from the DRSO staff member will be at the top of the Notes window located immediately above the Approve and Reject button.

Searching for Applications

The screen design and functionality for searching for applications is the same as that described above. See *Searching for Applications – My Unit's*

NB: Search results are restricted to those applications associated with your unit (applications are administered in your unit or the applicant is associated with your unit).

University Approvers

University Approvers are the final step in the application approval workflow. University Approvers are those individuals who provide the final administrative review of the proposal, assess the eligibility of the candidate against the sponsor's guidelines and provide the record of University approval in the system. (On a single application, these different tasks may be conducted by a number of different individuals, but there is no differentiation from a system standpoint. However, MRA records the identity of the UAG member to whom an application is forwarded.

University Approver Groups

Currently, University Approvers have been divided into five groups, each handling a specific set of Sponsors/Programs. The University Approval Groups (UAGs) are:

> Agencies and Foundations
> Institutional Initiatives
> Innovations and Partnerships Office
> Internal Programs
> Faculty of Medicine Research Office

Applications are routed to these different UAGs based on the Sponsor, Program and Administering Unit indicated in the Application Record. *Appendix 6 – Mapping of Applications to UAG*, lays out the current mapping of applications to UAG.

Managers

Managers are members of University Approver Groups and have all the functionality associated with a UAG user. However, Managers do not receive the standard email notification of new applications awaiting action.

Inbox

Initially an application will appear in the in-box of all members of the UAG. When an application is opened by a UAG member it is removed from the in-boxes of all the other UAG members. This prevents more than one approver from working on an application at the same time.

Column Headings

- RIS Application #
- Subject (Title entered by PI)
- Sponsor/Program (as selected by PI)
- ! – indicates an escalation reason
- From (PI)
- Due Date (Competition deadline entered by PI)
- Sent Date
- Status – either New of In Progress

Locating an individual Application Record in the inbox

Scrolling

You may scroll through the contents to locate and individual record.

Sorting

The contents may be sorted on any of the columns. Click on column heading to sort the contents by that element. Where there are collaborating sponsors on an Application Record the sort is based on the first listed Sponsor.

Filtering

The filter function can be accessed by clicking on the funnel icon in the top right corner above the table. You may filter on any of the table elements.

Approve/Reject an Application

In the in-box, open the application by clicking on the title. The approval screen for the application will appear in a separate window/tab.

Application 141581 - Demo for User Guide   Actions   ①

Task Application

Application Approval   🔄 Refresh

Application Number: 141581
②   🛈 Edit Entire Application
③ Application Title: Demo for User Guide

Information

Principal Investigator Name:	Dr xx
Principal Investigator Email:	blueformuoft@gmail.com
Principal Investigator Phone:	416-978-1973
Principal Investigator Rank:	Professor
Principal Investigator Tenure Status:	Tenured
Primary Appointment:	Faculty of Social Work - Faculty of Social Work
Administering Unit:	**Faculty of Social Work - Faculty of Social Work**

Escalation Reasons

- ☐ Increased Utility Usage
- ☐ Incremental Space
- ☐ Renovation / Construction
- ☑ Teaching Release Time Required
- ☑ University Direct Cost
- ☐ Foreign Sponsor
- ☐ Decanal Approval Required
- ☑ Standard Overhead Rate Not Met
- ☐ Program Requested Amount Threshold Exceeded
- ☐ Grand Total Requested Amount Threshold Exceeded

④

Co-Investigators/Collaborators

Designation	Name	Institution	Email	External ID	Signed
Co-Investigator	Prof Jason Hackworth		blueformuoft@gmail.com		☐
Co-Investigator	PROF CARLOS TEIXEIRA		blueformuoft@gmail.com	0013001501	☐

Programs and Sponsors

All amounts are in Canadian Dollars
(❗) indicates that the Sponsor is Unknown   ⑤

Confirmed	Sponsor	Program		Amount Requested	Amount Threshold	IDC Amount Requested	IDC Rate (%)	Standard IDC Rate (%)	
☐	Natural Sciences & Engineering Research Council	Collaborative Research and Development	Update	100.000	500.000	0	0	0	
☐	Bombardier	Research Program	Update	100.000	500.000	20.000	25	40	❗
	Total Request Amount:	⑥		**200.000**					

Document Attachments

Document Type	Description	Document Date	Uploaded By	Uploaded Date
Research Application	Proposal to NSERC with support letter from company	Feb 20, 2013	David Hulchanski	Feb 21, 2013

Upload Documents

History:
```
NAME:     QFM Service User
DATE:     21.02.2013        ⑦
TIME:     15:49

SUBJECT:  *** E-MAIL: Application(s) for Review
----------------------------------------------------------------
//*** Email Recipients:
```

Create New Note   Refresh Note

[▼]   Set Status and Submit   Status History   Send Student/Fellow Email   Forward Task

⑧   ⑨   ⑩   ⑪

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Put Back Function

1 When a University Approver opens an application from the in-box that user becomes the owner of the application. In order to ensure that only one person may access the application, it will be removed from the in-box from every other member of the user's Approver Group. If it has been opened in error and belongs to another member of the user's Approver Group, you may click on the Action button and use the Put Back function. This places the application back into the in-boxes of all the members of the user's Approver Group. Alternatively, if the user knows who should be handling the application the Forward function described below may be used.

See Additional Information/Edit Information

2 Click on the Edit Entire Application button. This will open a new tab/window that will allow you to move through the entire Application Record. Non-editable fields will be grayed out. Although you may update Sponsor/Program information on these pages you will need to use the Update Sponsors & Programs function described below.

Principal Investigator Information

3 The PI information is displayed under the Information heading. Currently the appointment end date is not displayed in this section. Until this has been added, click the Edit Entire Application button to access the complete Application Record to see this information if it is needed to assess the applicant's eligibility as defined by the Sponsor.

Co-Investigators/Collaborators

4 The Designation field will show if the PI has listed the investigator as a Co-Investigator or Collaborator. The Institution field will display the institutional affiliation of the Co. It is possible that this will be blank as there are Cos in the RIS database where an institutional affiliation has not been recorded. External ID will be modified in future releases to show the ID number of the person named. For internal persons the ID number will link to their appointment information. NB: External persons who have not been added to the RIS ECC database will not have an External Person ID number. The Signed indicator will show when a U of T co has logged on to the system and endorsed the application.

Update Sponsor & Programs

5 The Update Sponsor/Program section allows you to confirm/update the sponsors and programs selected/input by the PI. The red exclamation mark (!) at the end of the line indicates that this is an unknown Sponsor and/or Program in RIS. After reviewing the attached Sponsor Application, if it is a known RIS program you may confirm the Sponsor/Program combination by ticking the confirmation box on the right hand side of the Sponsor/Program record. If the Sponsor/Program is incorrect or is tied to an Unknown Sponsor/Program in RIS you must update the

Sponsor/Program combination to a Known Sponsor/Program in RIS. Click on the Update button. A pop-up search box will appear with the following search criteria:

Sponsor ID

Sponsor Search Term

Sponsor Name

Program ID

Program Name

If the Sponsor or Program is not found in RIS, follow the Standard Operating Procedure for the creation of new Sponsors/Programs. If the correct Sponsor/Program is returned select the appropriate combo by ticking the box at the left side of the Sponsor/Program record. You will notice that when a Sponsor/Program combo is selected from RIS, MRA will automatically insert the check mark in the Confirmation box.

NB: Although MRA will allow you to approve an Application without updating the Sponsor/Program best practice is to update the information at the time of initial review. This ensures that information is corrected in a timely manner.

Document Attachments

6   From the Document Attachments table you may download any attached document that has been uploaded by any user in the hierarchy. You may also attach any other relevant document, e.g. program guidelines, RFP, etc.

NB: Attached documents may be viewed by anyone in the approval hierarchy.

History (Notes)

7 The History section of the Approval screen stores all notes and email notifications related to the Application Record in reverse chronological order. You may add a new note by clicking on the Add Note button. All notes will have a title/subject and are date and time stamped with the user's ID.

NB: Notes are viewable by anyone with access to the AR.

Approve/Reject

8 To Approve or Reject an application, select the appropriate status from the drop down list. Click the Set Status and Submit button. If you return an application to the PI, be sure to enter an explanation in the Notes section prior to returning the application. Currently the system does not force you to enter an explanation. A confirmation box will appear before notifying the PI of the updated status change.

The texts of the various email notifications associated with the different statuses may be found in _Appendix 2_.

Best practice: make all required changes and updates to the Application Record before Approving/Rejecting an application.

Status History

9 The Status History lists the statuses and users through which the Application Record has passed. This report may also be accessed from the Application Record proper.

Send Student/Fellow Email

10 If a student/fellow has been named by the PI, this button will appear on the approval screen. Clicking the Send Student/Fellow Email will send a notification email to the named student at the email address recorded in the Application Record. Students/Fellows should always be notified where they are the named recipients. The process has not been automated to allow for review of the attached application prior to generation of the notification email. The text of the email may be found in _Appendix 2._

Forward Task

11 If the application needs to be to another University Approver for action click the Forward button. The click invokes a search box which allows you to search for any other University Approver. The list is not restricted to users in your Approver Group. If you want to return all UAG users insert the * wildcard into the search box. Select the appropriate user by clicking on the box to the left of the name. You will have the option of including a note when the application is forwarded. The user to whom the application has been forwarded will receive a notification email immediately

upon execution. The text of the email may be found in *Appendix 2*.   NB: The forward task sends the application to an individual in-box. It does not place it in the in-box of all members of the user's associated Approval Group.

When the application has been approved close the window/tab to return to the in-box.

Search All Units Applications

This functionality allows UAG members to search for applications at any point in the submission process, from the initial PI save to post University approval.

Number of Results Returned

Search Parameters

- So that system performance is not compromised at least one search parameter must be used.
- Clicking on the yellow arrow allows the entry of multiple single values and/or ranges.
- The operator between the various selection criteria is "and".
- The system stores the last search you conducted.
    - When repeating the same search at a later date, be sure to click the Refresh button in order to capture any new Applications fitting the search criteria.
    - After changing the search criteria, click the Apply button to execute the revised search.

Application Record Number – This number is automatically generated by the system. It is not the same as the RIS number. This number may be used by technical support staff when problems are identified. (Other users may access the Application Record number from their respective search screens by

selecting an Application Record and clicking on the "Show Technical Details" box in the panel that opens when the Application Record is selected.)

RIS Application Number – This is the number is shared between MRA and RIS. The RIS number is generated when the PI submits the application for approval. Applications which have not been submitted will not have an RIS Application Number.

Title – This is the title entered by the PI. Currently this is an exact string search, i.e. you cannot enter a partial title and use a wildcard to generate results.

Investigator – This is the U of T Principal Investigator's user ID. Click on the search help icon in the input field to search by Investigator name.

Administering Unit – This is the Administering Unit for the proposal designated by the PI. Remember, it may or may not be the PI's unit of primary appointment.

Competition Date – This is the deadline established by the Sponsor. However, as the date is originally entered by the PI, (UAG members may update this field), the data may be of variable quality, e.g. the PI may enter a departmental internal review deadline. Hint – when looking for results from a particular competition use a date range.

Sponsor ID & Program ID – Both these search criteria use the RIS ID numbers. When searching keep in mind that if a Sponsor and/or Program ID is entered only those Application Records which have been updated to link to the exact RIS ID will be included in the search results, e.g. If a PI has entered Bombardier as an industrial sponsor it is, until updated, simply a text string. In this example Bombardier is not the same as Bombardier Inc. Sponsor ID 302443.

Status – This is the current status of the Application Record.

University Approver Group – This is the group with which the record is currently associated, i.e. if the Application had been forwarded from the Agencies and Foundations Group to the Innovations and Partnerships Office Group the Application would not be returned if the A&F Group had been specified.

Search results may be further restricted through use of the filter icon.

Results may be exported to Excel.

Maintenance

There are currently two maintenance features for University Approvers

- Maintain Sponsors/Programs
- Maintain Institutions

Maintain Sponsors/Programs

Maintain Sponsors / Programs

Application Number:	
Application Title:	
Sponsor ID:	
Sponsor Name:	
Program ID:	20000850
Program Name:	

[Search] [Clear]

Current Sponsor / Program

Application Number	Application Title	Deadline	Sponsor ID	Sponsor Name	Program ID	Program Name	Status
141365	Mathematical Systems	31.01.2013	4-1-0	ABC Company	20000850	Research Development	Approved by Uni - Please submit to Spnsr
141398	Demonstration Project for Provost	17.01.2013	0-10-0	Human Resources Development Canada	20000850	Office of Learning Technologies	Approved by Uni - Please submit to Spnsr
141450	test update program by UAG - take 2	27.01.2013	4-0-0	foundation abd	20000850	Other Other - FACOFENG	Approved by Uni - Submitted to Sponsor

[Update Selected Sponsor / Program]

This function allows a University Approver to update the Sponsor and Program for any Application Record with an approval status or later (e.g. Awarded). This allows the University Approver to clean up data where either a mistake was identified or the Sponsor and/or Program were not updated at the time of the original UAG Approval.

The search criteria are case sensitive. The "*" wildcard may be used.

Select the Application Record for update by clicking on the box at the left of the record. Then click on the Update Selected Sponsor/Program button at the bottom of the screen.

Note, in the figure above, the Sponsor ID shown is generated from the Application Routing Table in MRA. The program ID corresponds to the Unknown Sponsor, Unknown Program ID in RIS.

Maintain Institutions

Where the PI has created a new external institution as a research location, the Maintain Institutions function allows UAG members to update the location with an institution drawn from the RIS External Institution database. If the institution which the PI has created does not exist in the RIS database, it will have to be created first in RIS before it can be updated with this transaction.

Ethics Personnel

Ethics Personnel will have access to all applications employing the same search functionality as University Approvers. See *Search All Units Applications*. Users may add notes and attach documents to the Application Record. In order to add a note or a document to an Application Record the user must open the Record by clicking on the research application title in the search results.

The user may navigate through the Application Record by using the navigation buttons at the bottom of the page or by clicking on page names in the side bar menu.

To attach a document click on the Document Attachments page name, click "Edit" on the Document Attachments page and upload the document.
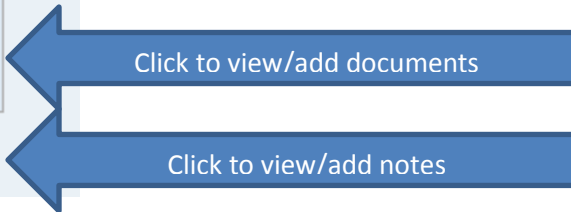
Research Accounting Personnel

Research Accounting Personnel have the same functionality within MRA as Research Ethics Personnel.

Controlled Goods Personnel

Controlled Goods Personnel will have access to all applications where the use of controlled goods has been indicated employing the same search functionality as University Approvers. See *Search All Units Applications*. Users may add notes and attach documents to the Application Record in the manner described above for Ethics Personnel.

EHS Personnel

EHS Personnel will have access to a report listing all Applications which have indicated that a permit is required to carry out the research.

The report is under development.

Commercialization Personnel

Members of the Commercialization Group will receive an email notification when a PI has indicated in the Application Record a desire to meet with an IPO representative regarding the commercialization of an invention or collaborative research with industry.

Additionally, search parameters have been enhanced with three extra search parameters:
- Meet with IP Office
- Knowledge Transfer Potential
- Commercialization Potential

Meet with IP Office is a Yes/No selection
Knowledge Transfer and Commercialization Potential use a 1 to 5 scale with 1 being the least likely and 5 being the most likely. NB: The potential is a self-assessment on the part of the PI.

The operator between search criteria is "and". For further details on the search functionality see *Search All Units Applications*.

Commercialization Personnel have the same functionality to add notes and documents within MRA as Research Ethics Personnel.

Provost Assistant

The Provost Assistant role allows the user to maintain the authorized list of approval positions in MRA.

Background to Provost Assistant Role

The schematic at the right demonstrates how MRA determines the appropriate first level approver for a PI's application.

PIs are attached to an Organizational Unit. Attached to the Organizational Unit is a Job which is tied to a Position which tied to a Person. In order to direct the application to an individual with approval authority, MRA looks for one of the following Jobs:

- Director   Job Object ID 22
- Acting Director   Job Object ID 23
- Chair   Job Object ID 25
- Acting Chair   Job Object ID 26
- Principal & Dean   Job Object ID 15
- Dean   Job Object ID 16
- Acting Dean   Job Object ID 17
- Principal   Job Object ID 12
- Acting Principal   Job Object ID 13
- VP & Provost   Job Object ID   2
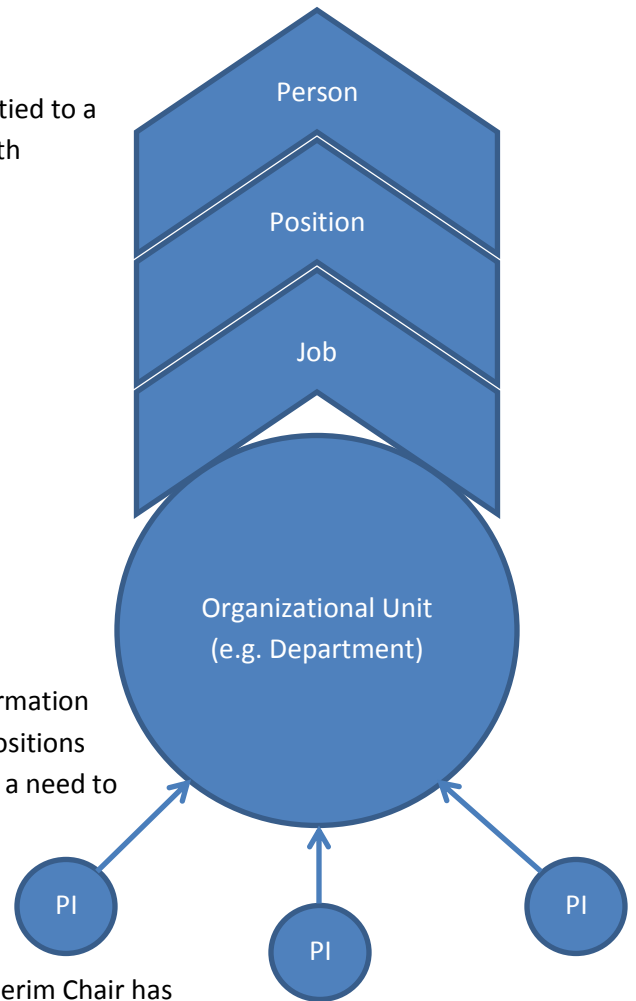
This information has its source in the Human Resources Information System. As new approval Positions are created or existing Positions are moved from one Organizational Unit to another, there is a need to confirm the eligibility of the Position to act as an approver within MRA for the unit to which the Position is attached. Override rules redirect Applications to the Acting or Interim Positions where one of these Positions is occupied. (Use example – where the Chair is on administrative leave and Interim Chair has responsibility for the Department.) Additionally, where there are multiple approver roles within a single Organizational Unit, the "higher value" role will override the other role, e.g. where there is both a Chair and Director in the same Organizational Unit, the Chair Position will receive the applications. Similarly, if there is a Chair and a Dean in the same Organizational Unit, applications will be directed to the Dean Position.

This functionality also allows the Provost Assistant to remove signing authority from a Position where the Human Resources data is incorrect (e.g. two Chairs in one Department) or where the Director of an EDU C or D has been recorded.

Provost Assistant Functionality

When a new approval Position is created or existing approval Position is moved from one Organizational Unit to another, the Provost Assistant will receive an email notification. *See Appendix 3 – Email Notification Texts* for the contents of the email.

In order to confirm/remove a Position from the approval hierarchy the Provost Assistant must locate the relevant Position and delimit the authorization. In order to remove the Position from the approval hierarchy enter the current date as the End Date. To confirm the Position enter 31.12.9999 as the End Date. The Position may be located by entering either the Position Number or the Organizational Unit Number in the search box. These numbers are included in the text of the notification email.

Appendix 1
Guidelines Regarding Eligibility to be a Principal Investigator at the University of Toronto and Related Procedures

Individuals who hold paid academic appointments at the University that extend beyond the period of funding being requested; or clinical faculty appointed under the Policy for Clinical Faculty or individuals who are employed at an affiliated institution (such as an affiliated teaching hospital) and hold a status-only appointment at the University are eligible to act as Principal Investigators on research grants and contracts. Retired faculty will be considered eligible with the authorization of their unit head. In exceptional cases, approval of eligibility may be provided by the Provost.

Only those individuals who are eligible to act as Principal Investigators will have access to My Research – Applications (MRA), the on-line research application submission system through which all University of Toronto research applications must be submitted prior to submission to a sponsor. Procedures for gaining access to the system and, in exceptional circumstances, PI eligibility, are outlined below.

(Principal Investigators who have a current U of T Employee Self-Serve (ESS) will have access to My Research – Applications.)

Procedures (New Accounts – Activation of Expired Accounts)
- Individuals with paid academic appointments at the University
    - Most of these individuals will be automatically added to the system when they are appointed at the University – see table below for a delineation of those who will be automatically assigned a Principal Investigator role in MRA and those who should follow the Exceptional Cases instructions below
    - NB – If you have not used ESS or My Research On-Line (MROL) for a period of two years, your account will be deactivated, please contact raise@utoronto.ca at least 2 days in advance of submission to have your account activated.

- Clinical faculty appointed under the Policy for Clinical Faculty or individuals who are employed at an affiliated institution (such as an affiliated teaching hospital) and hold a status-only appointment at the University
    - A faculty member intending to apply for research support through the University must submit a request for access to raise@utoronto.ca at least 2 days in advance of submission to have your account created.   The request must include the following information:
        - Name of the faculty member
        - Name of U of T unit in which you hold your primary academic appointment
        - Personnel number of the faculty member

- Emeritus/Retired faculty members
    - The Chair/Director of the unit through which the retired faculty member intends to apply for research support must submit a request for access to raise@utoronto.ca at least 2 days in advance of submission to have your account created. The request must include the following information:
        - Name of the retired faculty member
        - Personnel number of the retired faculty member
        - Unit name

- Exceptional Cases
  Exceptions may be possible for those who do not meet the University's standard eligibility requirements with the written support of the Dean or Principal of the Faculty or College and the Provost's Office.
    - A written request from the individual's Chair or Academic Director should be submitted to the Dean/Principal (or designate) to whom the Chair or Academic Director reports. The request must address the following points:
      1. the exact nature of the individual's appointment with the University;
      2. the sponsor to whom the application is being submitted, the corresponding deadline and the term of the grant/contract if the application is funded;
      3. that the individual and the funded research proposal are consistent with the unit's overall research program and the academic priorities established in the unit's academic plan;
      4. that the research proposal includes potential for the meaningful involvement of graduate students;
      5. that the unit head ensures provision of all normal and necessary administrative and other unit support for the project;
      6. that the unit head takes responsibility for ensuring the University's standards of financial, ethical and scientific accountability in the conduct of the funded research project and has formally established intensified reporting arrangements with the individual to this end;
      7. that it is understood that the University may sever its relationship with the project at any time if accountability standards are not maintained;
      8. the individual's personnel number;
    - Upon approval by the Dean/Principal the request must be forwarded to the Vice-Provost, Faculty and Academic Life for final approval.
    - Upon approval by the Vice-Provost a copy of the approved request will be forwarded by the Vice Provost, Faculty and Academic Life to the My Research – Applications System Administrator in the Office of the Vice President Research and Innovation for system set-up.
    - The System Administrator will provide time-limited access to My Research – Applications to facilitate submission and internal approval of the application. Please allow 2 days from receipt of the request by the System Administrator for system access.

NB – Your access will expire if your account is inactive for a period of 2 years.

University of Toronto PI Eligibility

Text	Ranks	Tenure Status	PI Eligibility
Prof Tenure Stream	Full Professor	tenured	Yes
	Associate Professor	tenured or tenure stream	Yes
	Assistant Professor	tenure stream	Yes
	Assistant Professor Conditional	pre-tenure stream	Yes
Prof Non Tenure Stream	Full Professor	non tenure stream	Yes
	Associate Professor	non tenure stream	Yes
	Assistant Professor	non tenure stream	Yes
	Assistant Professor Conditional	non tenure stream	Yes
Other Academics	Lect. & Equivalent (no longer used)	non tenure stream	Case by case[1]
	Lecturer (Medicine Stat Only)	non tenure stream	Case by case[1]
	Instructor (no longer used)	non tenure stream	No
	Instructor (Medicine Stat Only)	non tenure stream	Case by case[1]
	Sr. Athletics Instructor	non tenure stream	No
	Athletics Instructor	non tenure stream	No
	ICS Instructor	non tenure stream	No
	Clinical Associate/Assistant (no longer used)	non tenure stream	No
Teaching Stream	Tutor/Tutorial (no longer used)	non tenure stream	No
	Lecturer	non tenure stream	Case by case[1]
	Sr. Tutor	non tenure stream	Case by case[1]
	Sr. Lecturer	non tenure stream	Case by case[1]
Librarians	One		No
	Two		No
	Three		Case by case[1]
	Four		Case by case[1]
Other	CUPE 3902 Unit 3 Sessional Lecturer		Case by case[1]
	Visiting		No
	Adjunct		No
	Retired		Case by case[2]
	Emeritus		Case by case[2]
	Status Only		Yes
	Research Associate		No
	Senior Research Associate		Co-PI only[3]
	President/VP/Provost		Yes - if they hold an academic appointment
	1. Follow procedures for "Exceptional Cases" 2. Follow procedure for Emeritus/Retired faculty 3. For system access, send the request for Co-PI status to raise@utoronto.ca with your name and personnel number		

Appendix 2
Email Notification Details Table

(For Application Approval)

Action	Details	Time of Email Notification
Forward to PI from PI Assistant	Informs PI that the Assistant has sent an Application Record to the PI for Action	Immediate
Send to PI Assistant	Triggered by PI to Assistant	Immediate
PI Submit	Compilation of all applications awaiting approval in the unit. Chair/Director – Departmentalized Units Dean – Non-Departmentalized Units	Twice daily 7:30 a.m. 5:30 p.m.
Affiliated Hospital Approval	If a fully affiliated teaching hospital is listed as a research location the approvers will receive an email in the sequence in which they are listed	Immediate (in sequence if more than one hospital)
Chair/Director Approval departmentalized units	Where escalation is required, the Dean/Principal will receive a compilation of all escalated applications awaiting approval in the unit. (Provost where the Dean/Principal is the applicant.)	Twice daily 7:30 a.m. 5:30 p.m.
Notice to University Approvers (RSO, IPO, F of Med RSO)	Once all internal approvals have been received, the application is sent to the relevant University Approver Group.	Twice daily 7:30 a.m. 5:30 p.m.
Return of Application	Triggered if any of the various approvers reject the application.	Immediate
University Approval of application	Sent to PI when all University approvals have been given	Immediate
Notification to Co-Investigators/Collaborators	Informs co-investigators/collaborators that they have been named in the application.	When PI submits application

Appendix 3
Email Notification Texts

Sender/Recipient	*Subject Line* & Email Body
PI Assistant/PI	***Application Prepared by Assistant*** <Assistant Name> has forwarded your research application to you for review and submission: Application #: <Application #> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)> Please login to the Research Application System using your Research Application System ID and Password at <link> to review and submit the application.
PI/PI Assistant	***Application Returned to Assistant*** <PI Name> has returned the following research application to you for action: Application #: <Application #> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)> To access the application login to the Research Application System using your Research Application System ID and Password at <link>.
System/U of T Co-Investigators & Collaborators	***Notification of Internal Co-Applicant/Collaborator*** You have been named as a Co-Applicant/Collaborator on the following research application: Application #: <Application #> U of T PI Name: <PI Name> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)> You may login to the Research Application System using your Research Application System ID and Password at https://ppm-wd.utoronto.ca/irj/portal/ to view and endorse the application(s). Please Note - It is not a system requirement that you endorse the application. The system will forward the application for internal review and approval without your endorsement. To endorse the application login to MRA. Go to Application Search <<My Applications. Select the Collaborations tab. Open the Application by clicking on the Application Title. You may review the Application by navigating from screen to screen. To endorse the Application, go the bottom of any page of the Application and click on the Sign Collab Undertaking button. A pop-up box will appear with the Undertaking, acknowledge the terms and click the Confirm button.

System/External Co-Investigators & Collaborators	***Notification of External Co-Applicant/Collaborator***
	
	You have been named as a Co-Applicant/Collaborator on the following research application from the University of Toronto:
	
	Application #: <Application #>
	
	U of T PI Name: <PI Name>
	
	Application Title: <Application Title>
	
	    Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
	
	    Should you have any questions, please contact the PI at <PI email> or the offices of the University of Toronto Vice President Research and Innovation at raise@utoronto.ca

System/Approvers	***Application(s) for Review and Approval***
	
	    The following research application(s) has/have been submitted for your review and approval:
	
	Application #: <Application #>
	
	PI Name: <PI Name>
	
	    Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
	
	Please login to the Research Application System using your Research Application System ID and Password at <link> to complete your review of the application(s).
	
	Applications awaiting your approval may be accessed through the "Inbox".

System/Divisional RSO Personnel **(Sent when applications have been directed to the Dean/Principal for approval)**	***Application(s) for Review*** The following research application(s) has/have been submitted for your review: Application #:<Application #> U of T PI Name: <PI Name> Application Title:<Application Title> Sponsor/Program <Sponsor Name(s)>, <Program Name(s)> Please login to the Research Application System using your Research Application System ID and Password at <link> to review the application(s). Applications awaiting your review may be accessed through the "Application Search" tab.
Approver/PI	***Application Returned*** The following research application has been returned to you for revision: Application #: <Application #> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)> Please review the comments in the Notes section of the online form prior

	to any resubmission.
	You may access the application through the following path Research Application System-->Application Search-->My Applications.
	Please be reminded that applications must be approved by the University prior to submission to the sponsor.
UAG Approver/Student or Fellow	***Notification of Fellowship/Studentship Application***
	An application for a Fellowship/Studentship for you from the <Sponsor Name> has been submitted by <PI Title & Name>. Please contact <VPR owner name> at <owner name email> in the office of the Vice-President Research and Innovation if this information is incorrect.
	You will be notified of the outcome when the results of the competition are known.
UAG Approver/PI	***Approval to proceed with full proposal***
	The University has approved the following draft application to proceed to a full application:
	Application #:<Application #>
	Application Title: <Application Title>
	Sponsor/Program <Sponsor Name(s)>, <Program Name(s)>
UAG Approver/PI	***Application Approved by University – Please forward to Sponsor***
	The University has approved the following application for submission to the Sponsor(s):
	Application #: <Application #>
	Application Title:<Application Title>
	Sponsor/Program:<Sponsor Name(s)>, <Program Name(s)>
	Please continue with the next step(s) in submitting your application:
	For ELECTRONIC Applications: Follow the Sponsor's online instructions.
	For PAPER-BASED Applications: Obtain any required signatures and forward your application to the Sponsor.
	If the application is materially revised following divisional and institutional review/approval, you must submit the revised proposal for University Approval prior to submission to the Sponsor.
	If you have any questions, please contact <Approver Name>, <approver email address>.
UAG Approver/PI	***Application Approved by University and Forwarded to Sponsor by University***
	The University has approved the following research application and

	forwarded it to the Sponsor(s):
	Application # <Application #>
	Application Title: <Application Title>
	Sponsor/Program <Sponsor Name(s)>, <Program Name(s)>
	If you have any questions, please contact <Approver Name>, <approver email address>.
UAG Approver/PI c.c. Co-Investigators & Collaborators	*Letter of Intent Accepted by Sponsor*
	The following Letter of Intent has been accepted by the Sponsor for a full application:
	Application #: <Application #>
	U of T PI: <PI Name>
	Application Title: <Application Title>
	Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
UAG Approver/PI c.c. Co-Investigators & Collaborators	*Application Awarded*
	The following research application has been awarded:
	Application #: <Application #>
	U of T PI Name: <PI Name>
	Application Title: <Application Title>
	Sponsor/Program <Sponsor Name(s)>, <Program Name(s)>
	Award details will follow shortly.
UAG Approver/PI c.c. Co-Investigators & Collaborators	*Application Awarded – with conditions*
	The following research application has been awarded with conditions.
	Application #: <Application #>
	U of T PI: <PI Name>
	Application Title: <Application Title>
	Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
	Prior to the release of funds the conditions placed on the award must be satisfied. Details will follow shortly.

UAG Approver/PI c.c. Co-Investigators & Collaborators	***Application Recommended but not Funded*** The following research application has been Recommended but not Funded. Application #: <Application #> U of T PI: <PI Name> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
UAG Approver/PI c.c. Co-Investigators & Collaborators	***Application Awarded – no funding*** The following research application has been awarded with no funding: Application #: <Application #> U of T PI: <PI Name> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
UAG Approver/PI c.c. Co-Investigators & Collaborators	***Application Refused*** The following research application has been refused by the Sponsor: Application #: <Application #> U of T PI Name: <PI Name> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
UAG Approver/PI c.c. Co-Investigators & Collaborators	***Declared ineligible by Sponsor*** The following research application has been declared ineligible by the Sponsor: Application #: <Application #> U of T PI: <PI Name> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)>
System/Commercialization Group	***Request for Meeting Regarding Commercialization*** <PI Name> has requested to meet regarding commercialization and/or industrial collaboration. The request has been indicated on the following research application(s): Application #: <Application #> Application Title: <Application Title> Sponsor/Program: <Sponsor Name(s)>, <Program Name(s)> You may review the application through the Research Application System

|	
	using your Research Application System ID and Password at <link>.
University Approver/University Approver	***Application Forwarded*** The following application has been forwarded to your attention for action: Application #: <RIS Application #> Sponsor/Program: <Sponsor Name>/<Program Name>
System/User	***User Assigned Role*** You have been assigned the following role in the Research Application System: <RIS Role> You may access initial training documentation for your role at <link>.
System/User	***User Role Removed*** The following role has been removed from your account in the Research Application System: <RIS Role>
System/ User (PI, Chair/Director, Hospital Signatory, Dean/Principal) **(email sent on annual basis)**	***Confirmation of Assigned Roles*** According to the Research Application System, you have designated the following role(s): <user Name> <RIS Role> Please note that it will take 24 hours for the designation to occur. If the user no longer performs this role please remove the designation by logging into the system at <link> and follow the steps under the "Designate" tab.
System/Assistant Provost	***Confirmation Required for Approver Position*** The position <name of position>, has been linked to the following organizational unit: <name of org unit>. The position is currently held by <Name of person>. Please log onto the RIS research application submission system and indicate if this position should have signing authority for this organizational unit. If the unit itself is not authorized to administer sponsored research funds, please set the indicator to "no".

Appendix 4
Workflow Rules

1. Workflow is initiated when PI clicks "submit".

2. Application is directed to the Chair/Director (Dean of non-departmentalized Faculties) of the unit of the PI's unit of Primary Appointment.

   a. If the Administering Unit selected by the PI is not the PI's unit of primary appointment, the application will be directed to the Chair/Director (Dean of non-departmentalized Faculties) of the Administering Unit after the Chair/Director (Dean of non-departmentalized Faculties) of the PI's unit of primary appointment has approved the Application.

3. If fully affiliated teaching hospitals have been listed in the Application Record, the application will be directed to the relevant hospital approvers.

4. In departmentalized Divisions, applications will be escalated to the Dean/Principal (UTM & UTSC) of the Administering Unit, if one of the escalation factors is invoked.

Simplified Schematic

5. If the Dean/Principal (UTM & UTSC) is the applicant, the application will always be escalated to the Provost.

6. The final step in the workflow is the University Approver Group (RSO/IPO – F of Med Research Office for most CIHR applications from the Faculty of Medicine).
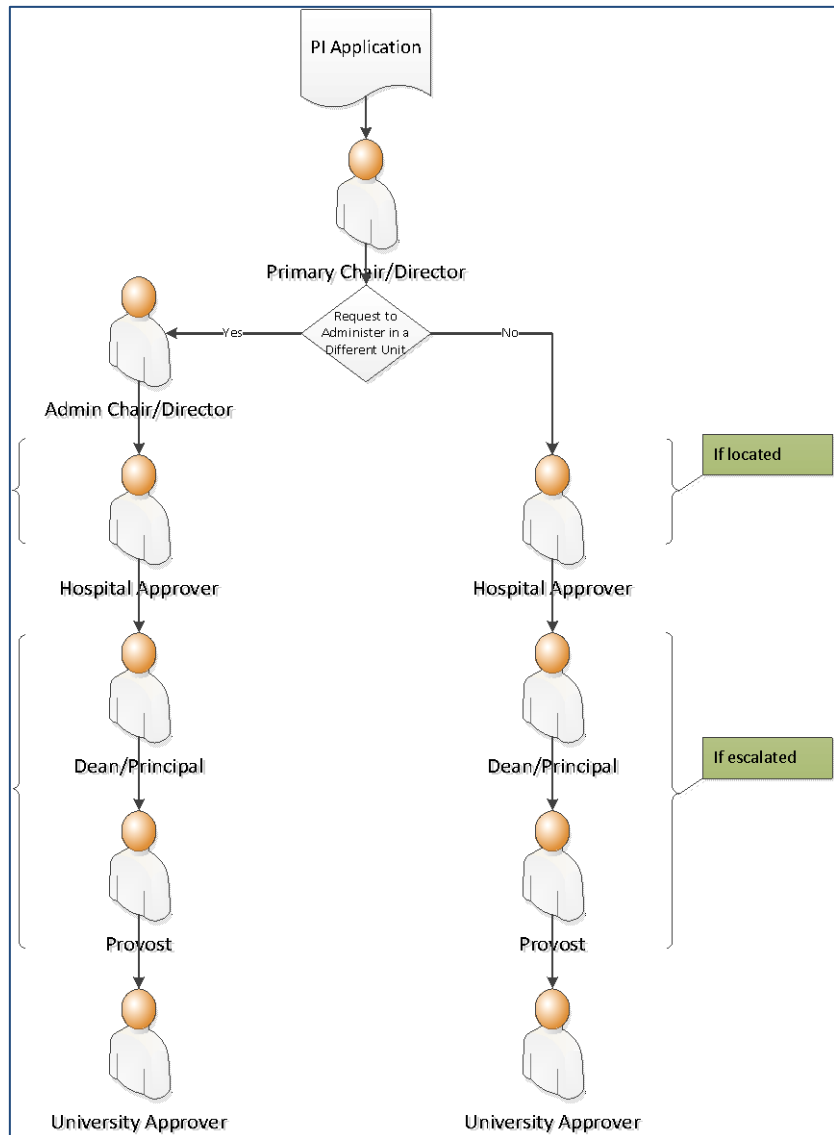
Appendix 5
Escalation Factors

In departmentalized units only a subset of applications will be escalated to the Dean/Principal for an approval. Applications which display one or more of the following characteristics will be escalated:

- A Chair/Director/Dean/Principal is the applicant
- Increased Utility Usage – If the applicant anticipates a non-trivial increase in utility usage
- Incremental Space – Space not under the control of the PI or other team members will be required
- Renovation/Construction – Renovation and/or Construction is included
- Teaching Release Time Required
- University Direct Cost – A contribution (cash and/or in-kind) to the direct costs of the research is included
- Foreign Sponsor – The Sponsor is foreign based
- Decanal Approval Required – University operating procedures for designated Sponsors/Programs require an approval at the Dean/Principal level. These are Institutional Initiatives, e.g. CFI, CRC, etc.
- Standard Overhead Rate Not Met – The indirect cost rate calculated in the application is less than is stipulated for the Sponsor/Program in the University policy on the recovery of indirect costs
- Program Requested Amount Threshold Exceeded – If the total requested from the Program exceeds a preset limit (currently $500,000).
- Grand Total Requested Amount Threshold Exceeded – If the grand total requested, i.e. there are collaborating sponsors making contributions, exceeds a preset limit (currently $500,000).

Appendix 6
Mapping of Applications to UAG

Agencies & Foundations	Institutional Initiatives	IPO	Internal Programs	F of Medicine RSO
-SSHRC	-CRCs	-CIHR – Proof of Principle	-Connaught Programs	-CIHR Operating Grants from F of Med Applicants, administered in F of Med
-NSERC (excl. IPO programs)	-CFI Programs	-Industry	• Maclean	
-CIHR – all Divisions except F of Med (excl. POP)	-MEDI programs	-OCE	• Innovation	
-Foundations	-Ontario Genomics Inst.	-NCEs	• Summer Inst.	
-NIH		-Other Gov. of Canada - Agencies & Departments	• Global Challenge	
-IDRC		-Other Gov. of Ontario - Agencies & Departments	• New Researcher	
-CIDA		-Other Gov. of US Agencies & Departments	- Research Completion Award	
-OICR		-NSERC	- U of T Excellence Award	
-Other		• CRD		
-Self Funded Program		• Engage		
		• Interaction		
		• I2I		

Appendix 7
Undertaking Texts

PI Undertaking

Submit Application

To submit your application, you must read and agree to the following:

1) This application is submitted in compliance with the Sponsor's conditions and University policies and procedures.

2) This research shall be performed and administered in accordance with the Sponsor's terms and conditions and the University's policies and procedures.

3) All persons engaged on the project, whether paid or unpaid, shall be properly trained, fully informed of, and agree to be bound by the award conditions.

4) Any research involving the use of human subjects, animals, biohazardous agents, radioactive materials, hazardous chemicals, or controlled goods will not be undertaken without prior written approval of the appropriate University committee.

5) The information contained in the attached proposal and Application is as complete and accurate as possible.

☐ **I have read and agree to the above conditions**

◄ Previous | Submit | Send to Asst. | Delete

Chair/Director Undertaking

Undertaking

This approval confirms that:

1. The Department/Centre/Institute is willing to provide the necessary administrative and other support should the application be successful (including administrative support, financial support and space as indicated above and in the application); and,

2. The research will be administered in accordance with the Sponsor's terms and conditions and the University's policies and procedures.

☐ **I have read and agree to the above conditions**

Submit   Cancel

Hospital Undertaking

Undertaking

This approval confirms that the institution is aware of the research to be carried out on its premises and will provide all necessary support as outlined in the Application Record and attached proposal.

☐ **I have read and agree to the above conditions**

Submit   Cancel

Dean/Principal Undertaking

Undertaking

This approval confirms that:

1. The support required of the administering unit as outlined this Application Record and in the attached application, including administrative and financial support as well as space, will be provided should this application be successful; and,

2. All University of Toronto commitments listed in this Application Record or in the attached application have been confirmed, including those commitments not under my control; and,

3. The research will be administered in accordance with the Sponsors terms and conditions and the Universitys policies and procedures; and,

4. The overhead rate specified in the Application Record is acceptable to the Faculty.

☐ **I have read and agree to the above conditions**

Submit   Cancel

Provost Undertaking

Undertaking

This approval confirms that:

1. The support required of the administering unit as outlined this Application Record and in the attached application, including administrative and financial support as well as space, will be provided should this application be successful; and,

2. All University of Toronto commitments listed in this Application Record or in the attached application have been confirmed, including those commitments not under my control; and,

3. The research will be administered in accordance with the Sponsors terms and conditions and the Universitys policies and procedures; and,

4. The overhead rate specified in the Application Record is acceptable to the University.
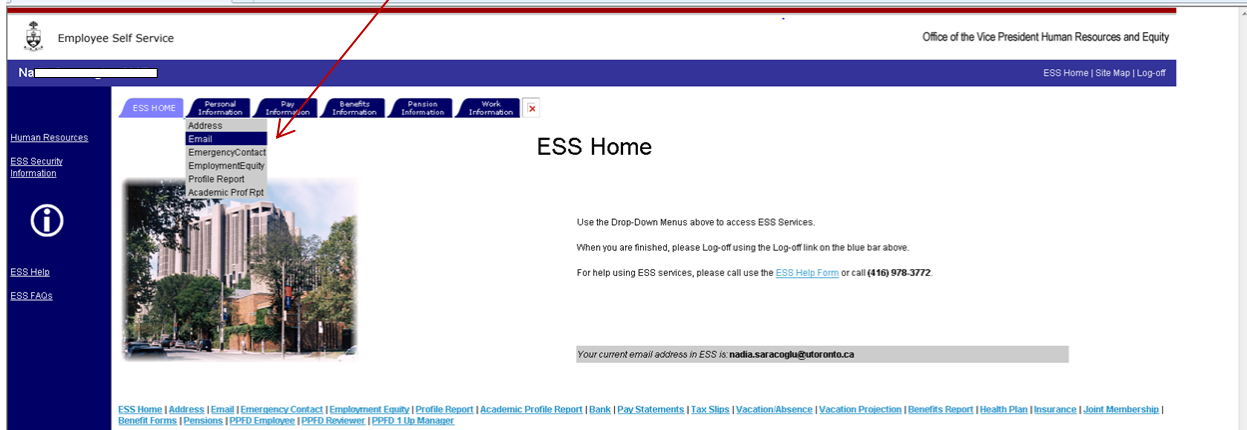
☐ **I have read and agree to the above conditions**

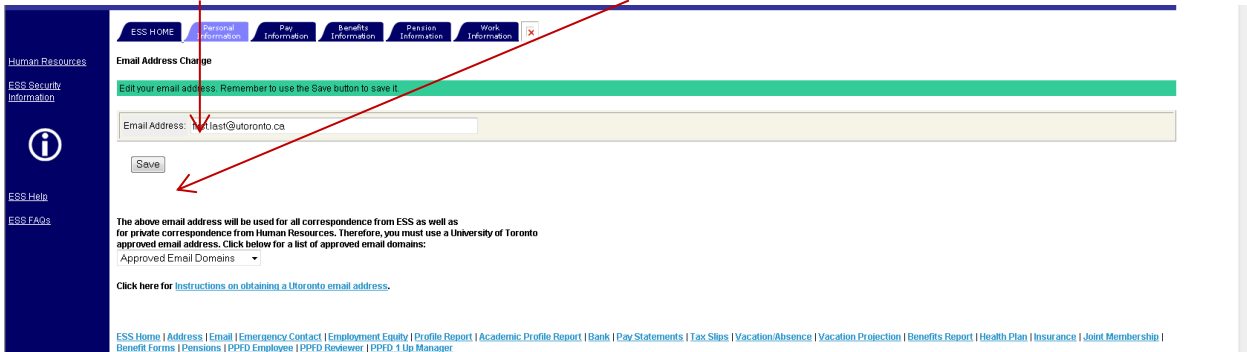Submit   Cancel

Appendix 8
How To Change an Email Address in ESS
(October 2012)

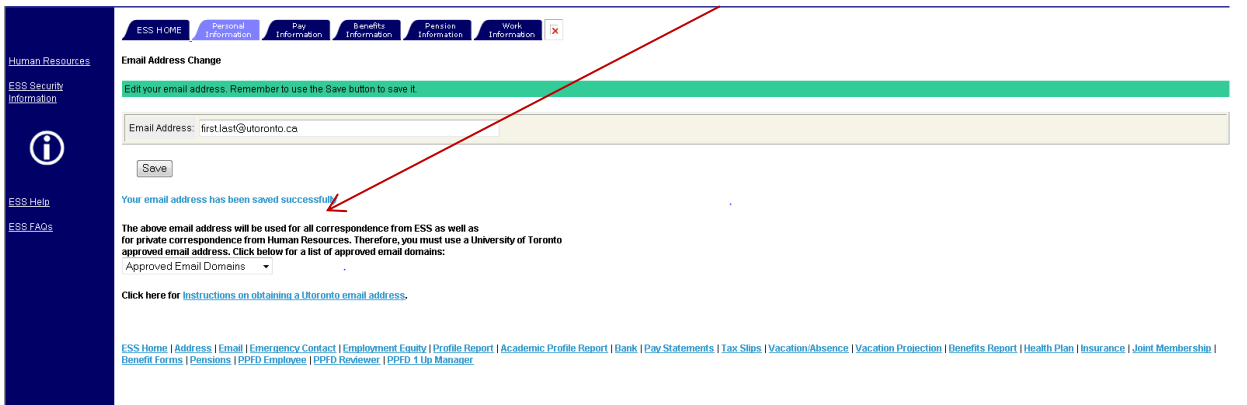1. Log into ESS   http://www.hrandequity.utoronto.ca/resources/ess.htm

2. Put your cursor on the Personal Information Tab and select "Email" from the drop down menu.

3. Update the Email Address field and click on the Save button.

After clicking on the Save button you should see a confirmation message below the Save button.

4. Log out of ESS (or continue with other tasks).