

Guide to Researcher Home Page

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Produced by the Research Services Office (RSO)



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ALBERTA

How to use the Researcher Home Page

Information you need before you start

- Your CCID and password to log in to PeopleSoft.

Getting started...

1. Navigate to the University of Alberta **Researcher Home Page** on your web browser (rso.ualberta.ca).
2. Enter your CCID and password to log in. (Note: Password is case-sensitive.)
3. In the Self-Service Center, click on the **Researcher Home Page** link in the General Inquiry section.

Self-Service Center

<p>General Inquiry Inquire on general self-service activities.</p> <ul style="list-style-type: none"> SpeedCode Inquiry* PER Balance Inquiry* Researcher Home Page eTRAC* 	<p>Travel and Expenses Create an expense reimbursement, travel or PER claim.</p> <ul style="list-style-type: none"> Create Expense Report Modify Expense Report View Expense Report Travel and Expense Center 	<p>Manage Approvals Approve transactions for processing.</p> <ul style="list-style-type: none"> Approve Requisitions Approve T&E Transactions View Proxies/Sub-delegations*
<p>Procurement Create requisitions and view procurement activity and status.</p> <ul style="list-style-type: none"> Create Requisition Manage Requisitions PO Inquiry Voucher Inquiry 	<p>External Links Access other key resources.</p> <ul style="list-style-type: none"> UAPPOL* Research Ethics (REMO)* 	<p>Training Resources Access learning resources.</p> <ul style="list-style-type: none"> Financials Online Training Quick References*

*Note: If you already hold research projects or proposals, the Researcher Home Page will automatically display your active research **Projects** and **Proposals**.*


Navigation tips





- If you wish to see additional details on your research project or proposals, you may click the **Details** or **Over Expenditure** tabs.

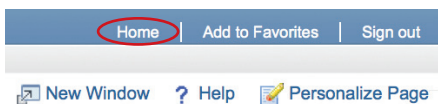
Projects

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

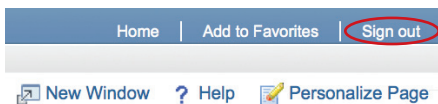
Project ID	Award End Date	Total Award	Funds Available Before Commitments	Over Expenditure Status	Funds Available After Commitments	Speed Code	Title	Description	Request
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- Clicking the **Show All Columns** icon  next to the Over Expenditure tab displays all information for all tabs.

- Clicking the **Download** icon  in the top-right corner downloads the entire list to an Excel spreadsheet.
- Clicking the **Grants Life Cycle** icon  for a proposal or project will display the **Grants Life Cycle** diagram, which provides additional information on the status of your proposal or active project.
- Clicking the **paper clip** icon  will display the list of online attachments for each research project that can be viewed or downloaded (i.e., Notice of Award, signed contracts, amendments, etc.).
- Clicking the **Project Number** will display the **Financial Overview** report showing a summary of the budgets and expenditures.
- Clicking the **Proposal Number** will display the details of what was entered to create the proposal. Note that this takes you to a search page that will automatically add the proposal number. Just click **Search**.
- The icon  in the upper-right corner means PeopleSoft is processing. Please be patient as some tasks take several seconds to complete.
- If at any point you want to return to the Self-Service Center, click **Home** in the top-right corner of the screen.



- When you are finished in PeopleSoft, remember to click **Sign out** in the top-right corner of the screen.



How to request a new research project

Information you need before you start

- The online form should be used for all **NEW** requests submitted to the Research Services Office (RSO), including: **Applications, Proposals** and **Requests for New Research Projects**.
- Please note: This form is **not** to be used for:
 - Notice of Award for a previously submitted and RSO-reviewed formal application, or
 - Agreements from a sponsor (do not sign the agreement).

Contact your faculty-assigned research facilitator for further instructions.

Instructions for completing this online form

Getting started...

1. Navigate to the **Researcher Home Page** in PeopleSoft and click on the link **Create Application/Proposal/Project** at the bottom of the page.

2. A **Create Proposal** screen will appear indicating the Business Unit **UOFAB** and the Proposal ID **NEXT**. Click **Add**.

3. Complete the following fields:

■ **Description (Project Title) {required field}**: Add the description of your project (scientific title).

■ **Contact for Pickup (if required)**: For applications only – add name and contact number of individual picking up application/proposal (if not the principal investigator).

■ **Request Type {required field}**: Select request type from drop-down menu.

■ **Principal Investigator (PI) {required field}**: Defaults to PI in this field if PI is creating the request. If an administrator is creating request, the PI will need to be assigned using the **Look-up** icon. If this is a student award, select the student's supervisor.

■ **Is the PI the Project Holder {required field}**: This will default to **Yes** if PI is creating the request. Update to **No** if PI is not the holder. The project holder should be in the name of chair or dean if the principal investigator is ineligible

to hold the project, or if the project is a salary or stipend award. For more information, refer to the “Eligibility to Apply for & Hold Research Funding Procedure” on UAPPOL, the U of A Policies and Procedures website (www.policiesonline.ualberta.ca).

■ **Project Holder ID:** No changes required, unless PI is not the holder.

■ **Department:** Defaults based on the project holder. This can be changed if the project holder has a joint appointment in multiple departments. The department selected will ultimately be responsible for the project and will include it in their research funding reports. Note that the one-over-one for approvals will be the chair or dean of the department selected.

■ **Start Date and End Date:** Enter the start date and end date of your project, if known.

■ **Indirect Costs Requested {required field}:** Select **Yes** if indirect costs have been included in your proposal budget. If **No** is selected, a **Rationale** field will appear – indicate why indirect costs were not included in the Rationale section. For more information on indirect costs, refer to the “Financial Management and Practices Policy” on UAPPOL, as well as “Application for Indirect Cost Recovery Rates Procedure” and “Indirect Costs of Research Procedure.”

■ **Source of Funds {required field}:** Select from drop-down menu. Select **External** when the sponsor is external to the university (e.g., a company or agency). Select **Internal** when the source of funds is from a University of Alberta source (e.g., department or faculty). Choose **Both** if both sources are applicable. Use the + button to add additional rows if multiple sponsors are involved.

For *external sponsors*, complete the following information:

- a. Sponsor **{required field}**
- b. Program
- c. Contact Name and Phone
- d. Amount
- e. If required, update currency

For *internal sponsors*, complete the following information (obtain from the internal contact, if required):

- a. Speedcode or chart fields
- b. Sponsor **{required field}** & Contact Details
- c. Amount

■ **Award Currency:** Currency defaults to **CAD** (Canadian dollars). Update if required using the **Look-up** icon.

■ **Certification Info {required fields for each category}:**

1. Indicate **Yes** or **No** from the **Required** drop-down menu to confirm the certification requirements. For more information on certification requirements, refer to the RSO website. (Go to: [Managing Research Funding – Award Setup – Ethics Certifications.](#))

2. If **Yes**, please enter Protocol Numbers (AUP/PRO), if known. The Research Services Office requires all applicable and current protocol numbers on file before funding can be released to the PI. Use the + button to add additional rows if multiple certifications are required. You will also need to use the **Look-up** icon to label the certification (e.g., Animal Welfare 02, Animal Welfare 03, etc.).

■ **Key Word Detail:** Not an RSO requirement. Your faculty/department will provide instructions on how to use these fields.

■ **Additional University Resources {required fields}:** Check each additional resource category with **Yes** or **No**, as applicable. Use the **Comment** field to provide rationale for **Other**. Include any information that will assist the chair/dean in approving the resource request. Attach faculty/department letter or email confirming support for additional resource.

■ **Project Includes Honorarium or Salary for the Principal Investigator {required field}:** Indicate **Yes** or **No**.

■ **Intellectual Credit:** Not an RSO requirement. Your faculty/department will provide instructions how to use these fields.

■ **Attachments:**

- You may attach any document that supports the request, such as the application or proposal. Ensure all required information is accurate.
- Scope of Work: Attach submitted application/proposal or brief description of proposed research, if applicable.
- Budget: Provide budget, including indirect costs.

To attach a document:

- Click the **paper clip** icon.
- Select the **Choose File** button and browse until you find the document you wish to attach.

- Click **Open**.
- Click **Upload**.
- If you wish to add an additional document, click the + button and repeat the above steps.
- You may also delete uploaded documents by selecting the **trash can** icon.

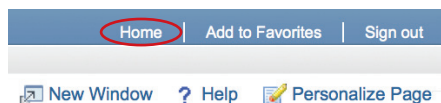
■ **Save:** Click the **Save** button to save your work at any time while you are completing the online form.

Submitting your request/proposal

- Click the **Submit** button after you have entered **ALL** necessary information. After submitting online, print the Signature Form by clicking the **Print** button.
- Click **OK** to confirm. Click **Cancel** to return without submitting.
- Obtain authorization signatures on the printed form and forward this form to the research facilitator assigned to your faculty. The RSO will not start processing your request until the authorized signature form has been received. If the request is not authorized, the form still needs to be submitted to your research facilitator so it can be cancelled.

*Note: Watch/check the progress of your request by returning to the Researcher Home Page and clicking on the **Grants Life Cycle** icon.*

- If at any point you want to return to the Self-Service Center (to go back to the Researcher Home Page) click **Home** in the top-right corner.



How to request an amendment

Information you need before you start

■ The online form should be used for all amendment requests submitted to the Research Services Office (RSO), including:

- Change in Project End Date
- Change in Award Amount (increase/decrease funding amounts)
- Change in Department (Dept ID)
- Change in PI/Project Holder
- Change in Sponsor(s) (Add/Remove Sponsor)
- Project Renewals

■ Please note: This form is **NOT** to be used for changes to Canada Foundation for Innovation (CFI) and CFI-related projects. Contact the RSO for the appropriate forms. Refer to the Partnerships and Institutional Programs page on the RSO website for contacts (rso.ualberta.ca).

Instructions for completing this online form

Getting started...

1. Obtain approval from sponsor(s) in writing.
2. Navigate to the **Researcher Home Page** in PeopleSoft:
 - a. All active projects for the project holder will display in the **Projects** section. If an administrator is creating request, go to the **Advanced Project Search** section.

Researcher Home Page

User ID:

Name:

 Advanced Project Search

The PI will need to be assigned using the **Look-up** icon under the **Project Holder**. If this is a student award, select the student's supervisor.

Researcher Home Page

User ID: Name:

Advanced Project Search

Project Holder Holder Role Project

Project Status Active Inactive Department Faculty

Project Title Project Description

Start Date From To Team Member

End Date From To Sponsor Program

b. Determine which project you wish to amend and scroll to the right-hand side of the screen. In the **Request** column, select **Amendment** from the drop-down menu.

3. A **Create Amendment** screen will appear indicating the Business Unit **UOFAB** and the project you selected should populate. The Request ID will indicate **NEXT**. Click **Add**.

4. Select all applicable **Amendment Details** by checking **Yes** and provide the requested information.

■ **Additional Comments:** Add any additional comments to support your request.

■ **Certification Info {required fields for each category}:**

1. Indicate **Yes** or **No** to confirm the certification requirements. For more information on certification requirements, refer to the RSO website. (Go to: Managing Research Funding – Award Setup – Ethics Certifications.)

2. If **Yes**, please enter Protocol Numbers (AUP/PRO), if known. The Research Services Office requires all applicable and current protocol numbers on file before funding can be released. Use the + button to add additional rows if multiple certifications are required. You will also need to use the **Look-up** icon to label the certification (e.g., Animal Welfare 02, Animal Welfare 03, etc.).

■ **Attachments:**

- You may attach any document that supports the request, such as the application or proposal. Ensure all required information is accurate.
- Scope of Work: Attach submitted application/proposal or brief description of proposed research, if applicable.

- Budget: Provide budget, including indirect costs.

To attach a document:

- Click the **paper clip** icon.
- Select the **Choose File** button and browse until you find the document you wish to attach.
- Click **Open**.
- Click **Upload**.
- If you wish to add an additional document, click the + button and repeat the above steps.
- You may also delete uploaded documents by selecting the **trash can** icon.

■ **Additional University Resources {required fields}**: Check each additional resource category with **Yes** or **No**, as applicable. Use the **Comment** field to provide rationale for **Other**. Include any information that will assist the chair/dean in approving the resource request. Attach faculty/department letter or email confirming support for additional resource.

■ **Project includes honorarium or salary for the Principal Investigator {required field}**: Indicate **Yes** or **No**.

■ **Save**: Click the **Save** button to save your work at any time.

■ If you leave the Create Amendment page after saving, but before submitting, you can go back and make changes. From the Researcher Home Page, select **Amendment** from the **Request** drop-down menu. On the Create Amendment screen, click the **Find an Existing Value** tab.

Create Amendment*

Enter any information you have and click Search. Leave fields blank for a list of all values.

Find an Existing Value
Add a New Value

Search Criteria

Business Unit:	<input style="width: 100%;" type="text" value="="/>	<input type="text" value="UOFAB"/>	<input type="button" value="🔍"/>
Project:	<input type="text" value="begins with"/>	<input type="text"/>	<input type="button" value="🔍"/>
Request ID:	<input type="text" value="begins with"/>	<input type="text"/>	
Amendment Status:	<input style="width: 100%;" type="text" value="="/>	<input type="text"/>	

Click **Search** to show a list of all amendment requests, or enter additional information to narrow down the search. Then select the amendment request you would like to change.

Submitting your request

- Click the **Submit** button after you have entered **ALL** necessary information. After submitting online, print the Signature Form by clicking the **Print** button.
- Click **OK** to confirm. Click **Cancel** to return without submitting.
- Obtain authorization signatures on the printed form and forward this form to the research facilitator assigned to your faculty. The RSO will not start processing your request until the authorized signature form has been received. If the request is not authorized, the form still needs to be submitted to your research facilitator so it can be cancelled. New requests cannot be submitted until existing requests are either authorized or cancelled.

*Note: Watch/check the progress of your request by returning to the Researcher Home Page and clicking on the **Grants Life Cycle** icon.*

How to request authorization for an over expenditure

Information you need before you start

- You need to ensure you have supporting documents that the sponsor is committing additional funding to your research project.
- Please note: You will not be able to request an authorization for an over expenditure if your project is past its end date.

Instructions for completing this online form

Getting started...

1. Navigate to the **Researcher Home Page** in PeopleSoft.
2. Find the project in the **Projects** section and select **OE Request** from the drop-down menu in the **Request** column.
3. When the next page appears, click **Add**.

NOTE: All fields are automatically filled out based on the project selected in the Researcher Home Page. If any information appears incorrect or needs to be updated, please complete an online amendment request form.

4. Complete the following fields:

■ **Amount Requested:** Enter the amount of over expenditure that you wish to have authorized for the research project.

■ **Authorization End Date:** Enter the date until which you wish to have the over expenditure authorized. Please note that you may not authorize an over expenditure beyond the end date of the project.

■ **Attachment:**

- You may attach any document that supports the request, such as relevant correspondence from the sponsor committing to future funding or their agreement.

To attach a document:

- Click the **paper clip** icon.
- Select the **Choose File** button and browse until you find the document you wish to attach.
- Click **Upload**.

- If you wish to add an additional document, click the + button and repeat the above steps.
- You may also delete uploaded documents by selecting the **trash can** icon.

■ **Rationale for OE:** Include any information that will assist the chair in making the decision to authorize the over expenditure. In particular, it should be made clear how the over expenditure will be ultimately cleared and why the over expenditure is necessary.

■ **Save:** Click the **Save** button to save your work at any time.


Submitting your request

■ Click the **Submit** button after you have entered **ALL** necessary information. After submission, print the Signature Form by clicking the **Print** button.

■ Click **OK** to confirm. Click **Cancel** to return without submitting.

■ Obtain authorization signatures on the printed form and forward this form to the research facilitator assigned to your faculty. The RSO will not start processing your request until the authorized signature form has been received. If the request is not authorized, the form still needs to be submitted to your research facilitator so it can be cancelled. New requests cannot be submitted until existing requests are either authorized or cancelled.

■ The status of your OE request can be viewed by clicking the **Over Expenditure** tab in the Researcher Home Page. By clicking the **OE Request ID** you can view Submitted requests and amend Saved requests.

Projects									
Personalize Find View All [Grid Icon] First 1-13 of 13 Last									
Project	Details	Over Expenditure							
Grants Life Cycle	Project ID	Title	Over Expenditure Status	OE Request ID	Authorized OE Amount	OE Authorization End Date	OE Request Status	Days Unauthorised	
 	[blurred]	[blurred]	Authorized OE	OE00000905	100,000.00	10/31/2014	Approved		
 	[blurred]	[blurred]		OE00000413	25,000.00	01/31/2015	Approved		
 	[blurred]	[blurred]							

Frequently asked questions about over expenditures

What are the significant elements of the procedures?

- Over-expended research projects will be deactivated approximately nine days after the end of the month in which they became over expended.
- Over expenditures not cleared within 90 days will be charged back to the faculty or departmental operating budget.
- Chairs (or their delegates) may authorize over expenditures if requested by the project holder.

What is the “Request for Authorization of Temporary Over Expenditure” authorizing?

This request allows the Research Services Office to keep a research project open and active while over expended, with the expectation that the over expenditure eventually will be cleared by either receiving additional funds or having expenditures moved out of the project.

What if the deactivated research project has purchase commitments and/or payroll that are continuing or outstanding?

The project holder or department must ensure that all outstanding commitments and payroll are properly amended or cancelled as soon as possible once the project becomes deactivated, because expenses can no longer be posted to that project.

If I have a question on how to complete the form, where do I go?

You may contact the research facilitator assigned to your faculty.

For contact information, go to the RSO website (rso.ualberta.ca) → Contact RSO → Research Facilitator).

Where do I submit the completed form?

The completed form should be submitted to the research facilitator assigned to your faculty.

Why do I need to fill out this form if I have a multi-year award and next year’s funding is due to be authorized?

The decision to authorize an over expenditure should take subsequent years’ funding into account. However, authorization is not automatic and is dependent upon the terms of the agreement with the sponsor, which may or may not allow expenditures to be carried from one period to another.

Is there a threshold regarding the dollar amounts that will be charged back to the departments?

The procedure does not have a minimum threshold for processing charge-backs. The RSO will notify the faculties prior to any charge-backs being initiated.

How will project holders of deactivated projects be notified?

A standard email will be sent to the project holder and the project holder's department. The email will include a checklist that indicates the steps that need to be taken to identify and cancel outstanding Pay Action Forms and non-HR commitments.

What should the chair do if additional information is required to authorize the over expenditure?

The chair should contact the project holder for the required information and/or additional supporting documentation.

What tools are available to monitor the approved over expenditure?

The Researcher Home Page will be the source for all information with respect to over expenditures.

Will research projects be deactivated before payroll is charged to research projects?

Research projects will not be deactivated until payroll is processed for the prior month.

What should be done with the request form if the request is not authorized?

The requesting department must forward the unauthorized request to their research facilitator. New requests cannot be created unless existing requests are authorized or cancelled.

How do I revoke an authorized over expenditure?

You may either use the online Over Expenditure Request form on the Researcher Home Page or contact the RSO if you require assistance.

To whom should written requests be sent for projects to be reactivated, so that units can clear the over expenditure for unauthorized projects?

These requests can be sent to the research facilitator assigned to your faculty, following established procedures for requesting administrative no-cost end-date extensions.

How to request a transfer of funds (sub grant)

Information you need before you start

- Use this online form to request a transfer of University of Alberta (U of A) research funds to an eligible recipient at another institution (Secondary Institution) for participation in the research project, if allowable by funding agency terms.
- If sub grant recipient was not named on the approved application/proposal, written sponsor approval must be obtained.
- Generally for Tri-Agency awards, funds can be transferred as follows:
 - NSERC: Co-applicants at a secondary institution
 - SSHRC: Co-applicants at a secondary institution
 - CIHR: Co-principal investigators, collaborators and research personnel at a secondary institution
- For more details, refer to the Tri-Agency Financial Administration Guide - Transfer of Funds Between Institutions on the NSERC website (www.nserc-crsng.gc.ca).
- Do not use this form for purchase of services. Contact the University of Alberta Supply Management Services Office (sms.ualberta.ca) for a Contract for Services.
- Do not use this form for internal University of Alberta collaborations. This can be facilitated through the creation of unique program speedcode. Contact your department administrator for assistance.

Instructions for completing this online form

Getting started...

1. Navigate to the **Researcher Home Page** in PeopleSoft:
 - a. All active projects for the project holder will display in the **Projects** section. If an administrator is creating request, go to the **Advanced Project Search** section.

Researcher Home Page

User ID: [REDACTED]

Name: [REDACTED]

 Advanced Project Search

The PI will need to be assigned using the **Look-up** icon under the **Project Holder**. If this is a student award, select the student's supervisor.

Researcher Home Page

User ID: Name:

Advanced Project Search

Project Holder Holder Role Project [Lookup Project by Speedcode](#)

Project Status Active Inactive Department Faculty

Project Title Project Description

Start Date From To Team Member

End Date From To Sponsor Program

b. Determine which project you wish to sub grant from and scroll to the right-hand side of the screen. In the **Request** column, select **Sub Grant** from the drop-down menu.

2. A **Create Sub Grant** screen will appear indicating the Business Unit **UOFAB** and the project you selected should populate. The Request ID will indicate **NEXT**. Click **Add**.

3. Complete **Sub Grant Details** section indicated:

■ **Sub Grant Start Date:** Date recipient can start incurring expenses for the project.

Note: Cannot be prior to the project start date for each award year for the U of A research project.

■ **Sub Grant End Date:** Date final expenses can be incurred by recipient.

Note: Cannot be longer than the project end date for the U of A research project.

■ **Sub Grant Amount:** Lump-sum amount to be transferred to the recipient for each award year(s).

■ **Progress Report:** Select **Yes** if an interim scientific report is required from the recipient and indicate Progress Report Due Date. Select **No** if not required.

■ **Final Report:** Select **Yes** if a scientific report is required from the recipient at the end of the sub-agreement and indicate Due Date. Select **No** if not required.

■ **Description of Research Activities and Proposed Budget Breakdown:** Identify areas of research the recipient researcher is responsible for in his/her role as co-applicant/collaborator, and provide a breakdown of how the funds are to be used. This transfers responsibility for the funds to the recipient and helps ensure his/her accountability to the U of A grant holder.

■ **Recipient Researcher's Name/Role in Project (i.e., Co-applicant, Collaborator)/Recipient Institution:** Complete as outlined in the original application for the U of A research project.

■ **Research Service Contact for Recipient Institution/Telephone/Email:** Obtain from co-investigator/collaborator.

■ **Address:** Provide the complete mailing address for the Recipient Institution.

■ **Attachments:**

- You may attach any document that supports the request such as the application/proposal. Ensure all required information is accurate.
- Scope of Work: Attach submitted proposal or brief description of proposed research, if applicable.
- Budget: Provide budget, including indirect costs.

To attach a document:

- Click the **paper clip** icon.
- Select the **Choose File** button and browse until you find the document you wish to attach.
- Click **Open**.
- Click **Upload**.
- If you wish to add an additional document, click the + button and repeat the above steps.
- You may also delete uploaded documents by selecting the **trash can** icon.

■ **Save:** Click the **Save** button to save your work at any time.

■ If you leave the Create Sub Grant page after saving, but before submitting, you can go back and make changes. From the Researcher Home Page, select **Sub Grant** from the **Request** drop-down menu.

- On the Create Sub Grant screen, click the **Find an Existing Value** tab.

Create Sub Grant*

Enter any information you have and click Search. Leave fields blank for a list of all values.

Find an Existing Value Add a New Value

▼ Search Criteria

Business Unit: = UOFAB 🔍

Project: begins with [] 🔍

Request ID: begins with []

Amendment Status: = []

- Click **Search** to show a list of all sub grant requests, or enter additional information to narrow down the search. Then select the sub grant request you would like to amend.

Submitting your request

- Click the **Submit** button once you have entered **ALL** necessary information. After submitting online, print the Signature Form by clicking the **Print** button.
- Click **OK** to confirm. Click **Cancel** to return without submitting. Once the request has been submitted, no changes can be made.
- Obtain authorization signatures on the printed form and forward this form to the research facilitator assigned to your faculty. The RSO will not start processing your request until the authorized signature form has been received.

*Note: Watch/check the progress of your request by returning to the Researcher Home Page and clicking on the **Grants Life Cycle** icon.*

Related links:

RSO website:

rso.ualberta.ca

Researcher Home Page and eTRAC login:

<https://www.prodps.ualberta.ca/psp/finprd/?cmd=login>

Further information on managing your research funding:

www.rso.ualberta.ca/Managing.aspx

UAPPOL, the U of A Policies and Procedures website:

<http://www.policiesonline.ualberta.ca>

Questions?

Please direct questions to the research facilitator assigned to your faculty. Go to:

rso.ualberta.ca ➔ Contact RSO ➔ Research Facilitator.

