

Research Administration Workflow Approver Group Set Up and Maintenance Procedure

Overview:

Approvals for the following research administration requests are obtained through PeopleSoft automated workflow (online approvals):

1. New Application/Proposal/Project Request
2. Project Amendment Request
3. Over Expenditure (OE) Request
4. Sub Grant Request
5. Agreement Acknowledgement Report

With Research Administration workflow, department and faculty approval steps are managed through a group of reviewers and/or approvers whereby only one individual in the group needs to approve at each step.

Approval groups apply to all five of the research-administration requests listed above. There is no option to customize the set up by request type, but there is flexibility in who in the group approves by type.

Approver Group Maintenance General Information:

Approver groups must be populated for each Department/Faculty DeptID used in PeopleSoft Grants and are maintained at the Faculty/Department level. The ability to manage approval groups (i.e., add and remove individuals from the group) is tied to a Research Approver Group Maintenance Access security role (ZGM_APPROVER_GROUP_MAINT). To request this role and specify the faculty/department ids to be maintained, a request needs to be submitted on eSecurity which is the online system to request PeopleSoft user access. Information about eSecurity can be found on the Information & Service Technology's (IST) [Enterprise Applications Website](#).

Individuals can be set up with a role of Approver, Reviewer or both. While each group must contain a minimum of one approver, reviewers are optional. If no Reviewer is identified for a particular DeptID, the Reviewer step will be skipped in the approval path.

Important Note: Units need to keep pending approval requests in mind when updating approval groups. Changes to the approval group are instantaneous, but newly added approvers/reviewers will only be part of **future** approval chains. Requests submitted prior to the updates being made will not be redirected and will still need to be approved by someone who was in the approval group at the time the request was submitted.

Individuals are able to find out who is in the approval groups at the time a request is submitted by looking at the approval paths that appear at the bottom of the request pages (see below).

The screenshot shows a PeopleSoft approval workflow for a 'Grant Proposal Approval' with ID 'V0:RES0044239:Pending'. The workflow consists of the following steps:

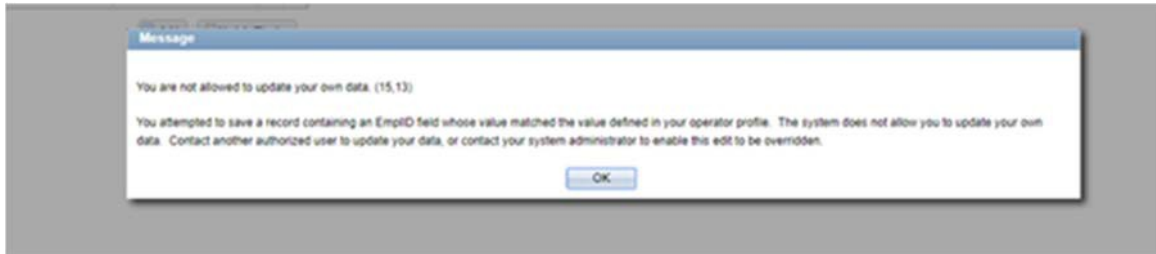
- Self Approved:** Odeme Iduja, Proposal PI Approver User List, 08/08/19 - 7:41 AM.
- Pending:** Chhrono Cupu-Tugji, Proposal Dept Reviewer.
- Not Routed:** Multiple Approvers, Proposal Department Approver.
- Not Routed:** Wawoon Fiau, Proposal Faculty Reviewer.
- Not Routed:** Multiple Approvers, Proposal Faculty Approver.
- Not Routed:** Multiple Approvers, RSO Office Approval.

Two red boxes with arrows point to specific elements in the workflow:

- The first box points to the 'Pending' step and contains the text: "Individuals can find out who is in the approval group by looking at the approval path at the bottom of the request pages."
- The second box points to the 'Multiple Approvers' link in the 'Not Routed' step and contains the text: "Click the 'Multiple Approvers' link to see a list of the approvers by name."

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Individuals are not able to add or remove themselves as an Approver or Reviewer. An error message will appear (see below).



The following is a list of considerations that departments and faculties should keep in mind when setting up and/or maintaining their approval groups:

- Approval steps will auto approve if the individual in an approver group has approved at a previous step unless they are the PI (see point below for additional information that applies when the PI is also in an approval group).
- While the approval request will route to other approvers if more than one approver is in the group, the approval step will auto/self-approve if the PI is the only approver in the approver group for a particular DeptID.
- There is nothing in the system that prevents a U of A Co-PI from approving at the department or faculty level if they are part of an approval group.
- A lot of research administration related requests are time sensitive. Ideally there should always be a backup approver in the approval group to handle situations where the main approver(s) are not available.
- What an Approval means is outlined in the UAPPOL [“Research Administration Roles and Responsibilities Procedure”](#). By assigning an individual an approver role units are delegating the responsibility to provide the approvals outlined in this procedure.

Instructions to update an existing or populate a new approver group:

Login to PeopleSoft Financials using your CCID and password. Navigate to: **Self-Service Center>Manage Approvals>Research Approver Maintenance**. **Note:** Individuals must have the Research Approver Group Maintenance Access security role (ZGM_APPROVER_GROUP_MAINT) to access this page.

Enter the **DeptID** you want to update in the Department text box on the Find an Existing Value tab and click **Search**. To set up the approval group for a new DeptID choose the Add a New Value Tab and enter the **DeptID** in Department Text box and Click **Add**. If the DeptID is unknown it can be looked up using the magnifying glass look up. The SetID box will auto populate with UOFAB. The Description text box does not need to be populated.

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Research Approver Maintenance

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

SetID: begins with ▼ JOFAB

Department: begins with ▼ 240200

Description: begins with ▼

Case Sensitive

Search | Clear | Basic Search | Save Search Criteria

Find an Existing Value | Add a New Value

Edit the Research Approvers tab as required. Individuals can be added using the + button and removed using the – button as noted in the screen shot below. Individuals can be looked up using the magnifying glass if the Empl ID is unknown. Assign the appropriate role using the drop down in the Approval Role column.

Research Approvers

SetID: UOFAB University of Alberta

Department: 240010 LAW Admin

Faculty: 240000 LAW

*Empl ID	Name	*Approval Role
1 0881967	Timdi,Hausejius	Approver
2 0798573	HhXqoqjsj,Dequo	Reviewer

Save | Return to Search | Notify | Refresh | Add | Update/Display

Use the plus button to add new individuals and the minus button to remove individuals.

The magnifying glass look up can be used if the Empl ID isn't known.

Roles are assigned using the drop down menu

Once necessary changes have been made click **Save**. **Note:** Groups must contain at least one **Approver** in order to Save.

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