Security Officer SPS Help

Utilities Screen

Purpose
To enable you to access various SPS utilities, such as User Security, Duke Org Profiles and the Pending Protocols Report. This screen appears when you press the Utilities button on the SPS Main Menu screen.

Buttons
User Security
Opens the User Browser screen, where SPS security officers can start the process of creating a new SPS user, or search for an existing user record for viewing or modification. The button is enabled only for SPS security officers.

Duke Org Profiles
Opens the Duke Org Browser screen, where SPS security officers can search for a Duke Org profile to view or modify information for your Duke Org, such as personnel having secondary appointments in your area and your area's routing chains. The button is enabled only for SPS security officers.

Person Profiles
Opens the Person Browser screen, where central office personnel can search for Duke personnel. This button is enabled only for Pre-Award office personnel who are also SPS security officers.

Pending Protocols
Opens the Pending Protocol Report Browser screen, where you can create a report on pending protocols. This button is enabled for all SPS users.

Closes the Utilities Screen and returns you to the SPS Main Menu screen.

Example of Utilities Screen
**User Browser Screen**

**Purpose**
To enable SPS Security Officers to search the database for SPS users that match entered selection criteria and to which you have rights. Once a list of users has been generated, you will be able to highlight a user from the list and open the User Maintenance notebook to view or edit the user's record. Furthermore, you can use the User Browser screen to create a new SPS user. This screen appears when you press the User Security button on the Utilities screen.

If you are a central level security officer, then you will be able to access all user records. If you are a departmental level security officer, then you will be able to access only the records of users who have a primary appointment within a Duke Org in your Selected Duke Org list. If your Selected Duke Org has children BFRs, then you will have access to user records within all of the Duke Orgs that fall under it. For example, if your Selected Duke Org is Psychiatry, then you will have access to all divisions under Psychiatry; if your Selected Duke Org is Biological Psychiatry, then you will only have access to that division.

**Selection Criteria Area**
To search the database for existing SPS users, enter a set of selection criteria and then press the Search button. You can enter all or part of each item to be used to filter the search. The criteria are:

- **Last Name**: Enter the user's last name. SPS will append a wild card to the end of the string.
- **First Name**: Enter the user's first name. SPS will append a wild card to the beginning and end of the string.
- **Dempo ID**: Enter the user's SPS login ID; for example, smith001. SPS will append a wild card to the end of the string.
- **Duke ID**: Enter the user's Duke Unique ID.

**Result Table**
Displays a list of all users who match the entered criteria and to which you have rights.

- **Name**: Displays the user's full name.
- **Active**: Displays Yes if the user is active; No if the user is not.
- **Title**: Displays the position title associated with the user's primary appointment.
- **Duke Org**: Displays the Duke Org defined as the user's primary appointment in the Person table.
- **Dempo ID**: Displays the user's SPS login ID.
- **Duke ID**: Displays the user's Duke Unique ID.

**Buttons**
- **Search**: Starts searching for users who match the entered criteria, and places each match in the Result Table.
- **Open**: Opens the highlighted user's record and advances you to the Main page of the User Maintenance notebook.
- **New**: Starts the process of creating a new SPS user by advancing you to the Main page of the User Maintenance notebook.
Closes the User Browser screen and returns you to the Utilities screen.

**How do I create a new SPS user?**

SPS Security Officers have access to the User Security area of SPS, where they can set up and maintain SPS users for their area.

For your convenience, we have separate help information for these different types of SPS users:

*How do I create an SPS user who is a PI?*

*How do I create a new SPS user who is a PI?*

Because a PI only has access to their own proposals and to those on which they are listed as a Co-PI, setting up this type of user is relatively simple. If a PI should have access to proposals other than their own (e.g., they are also the Department Chair) please see the help topic on creating a user who is a department administrator or department chair.

PI's must be set up as SPS users if they have an assistant who will be using SPS, even if the PI does not plan on using SPS. In such a case, you should be sure to indicate that the PI is not an Active User (see step 9 below). *Also, you should first set up the assistant before setting up the PI in SPS.* Please see the help topic on creating a new SPS user who is a PI Assistant for more information.

**Note:** Departmental-level Security Officers can only set up and maintain users in their own area.
To begin creating a new SPS user who is a PI:

1. Login to the SPS system.
2. From the SPS Main Menu, press the Utilities icon.
3. From the Utilities screen, press the User Security icon.
4. From the User Browser screen, press the New button to open the User Maintenance notebook for a new user.

Main Page

5. Type the user's Last Name and press the Tab key to invoke the user lookup feature.
6. On the Person Selection screen, highlight the correct user and press the Select button.
7. Enter the user's DEMPO ID (e.g., slott001).
8. Enter the user's e-mail address (if it was not the default).

Note that you do not have to modify the Selected Duke Orgs list for a PI, nor do you have to do anything on the Roles/Rights page.

9. If the PI does not plan to use SPS (but rather you are setting up this person as a user only so you can set up their PI Assistant), then uncheck the Active User box.

When the Active User checkbox is not checked, the user cannot log into SPS, nor will any items be routed to them.

PI Assistants Page

10. If the PI has an assistant who will be using SPS, press the Insert Row button and type the Last Name of the assistant and press the Tab key to invoke the lookup feature.

PI Assistants have rights to view and edit all of the proposals for which the PI has rights. However, a PI Assistant does not have the rights needed to route proposals.

When Finished

11. Press the Save button.

Security Note: If the PI will not be using SPS, be sure to have the PI log into SPS and change their password as the default password is the same as the person's login ID (e.g. slott001). All passwords must be entered in lowercase. The user will then be prompted by the system to change the password. A valid password must be lowercase and consist of 6 to 15 alphanumeric characters, beginning with a letter.
How do I create an SPS user who is a PI Assistant?

How do I create a new SPS user who is a PI Assistant?

PI Assistants have rights to view and edit all of the proposals for which their PI(s) have rights. However, a PI Assistant does not have the rights needed to route proposals.

Note: Departmental-level Security Officers can only set up and maintain users in their own area.

To begin creating a new SPS user who is a PI Assistant:

1. Login to the SPS system.
2. From the SPS Main Menu, press the Utilities icon.
3. From the Utilities screen, press the User Security icon.
4. From the User Browser screen, press the New button to open the User Maintenance notebook for a new user.

Main Page

5. Type the user's Last Name and press the Tab key to invoke the user lookup feature.
6. On the Person Selection screen, highlight the correct user and press the Select button.
7. Enter the user's DEMPO ID (e.g., slott001).
8. Enter the user's e-mail address (if it was not the default).

Note that you do not have to modify the Selected Duke Orgs list for a PI, nor do you have to do anything on the Roles/Rights or PI Assistants page for this user.

When Finished

9. Press the Save button.
10. Now, set up the PI for whom this person is an assistant. See the help on creating a new SPS user who is a PI for more information.

When the user logs into SPS for the first time, their default password is the same as their login ID (e.g. slott001) and must be entered in lowercase. The user will then be prompted by the system to change the password. A valid password must be lowercase and consist of 6 to 15 alphanumeric characters, beginning with a letter.
How do I create an SPS user with departmental access?

How do I create a new SPS user with departmental access?

Departmental-level Security Officers can only set up and maintain other users in their own area.

To set up a user with access to all proposals within a particular department/division/center:

1. Login to the SPS system.
2. From the SPS Main Menu, press the Utilities icon.
3. From the Utilities screen, press the User Security icon.
4. From the User Browser screen, press the New button to open the User Maintenance notebook for a new user.

Main Page
5. Type the user's Last Name and press the Tab key to invoke the user lookup feature.
6. On the Person Selection screen, highlight the correct user and press the Select button.
7. Enter the user's DEMPO ID (e.g., slott001).
8. Enter the user's e-mail address (if it was not the default).
9. In the Selected Duke Orgs field, check to ensure that the user has been granted access to the correct Duke Org(s). To add additional Duke Org's to the user's access, double click an entry in the Available Duke Orgs window to expand the category. Highlight the Duke Org. to which the user should have access and press the button to move it to the Selected Duke Orgs window.

The Selected Duke Orgs list is very important for Department Chairs and Departmental Administrators as their access to proposals is based on this list. Often, a user's primary appointment is not sufficient for their access. For example, a user may have a primary appointment in the Psychiatry-General division. In such a case, you may need to add the parent, Psychiatry, as their Selected Duke Org so that they have access to all Psychiatry proposals regardless of division.

Roles/Rights Page
10. Check the Security Officer checkbox if the user should be given rights to assign SPS access for other users.
11. Select the Departmental Administrator or Department Chair role from the Admin Role drop-down.

Note that PIs will not generally have an Admin Role; rather, they receive rights by being named on the proposal. Each Admin Role has a predefined set of rights associated with the role. These rights will default into the Assigned Rights field. If the user should not have access to any of these rights, highlight the selection and press the button to move it from the Assigned Rights field to the Excluded Rights field.

Note that you do not have to do anything on the PI Assistants page for these users.
12. Check the Can View Salary from Workload checkbox if the user should be able to view salary for personnel in their area on the Workload page of the Personnel Roster Notebook.

Note: If the flag is disabled, please contact the SPS Training Coordinator if you are within the Medical Center or your Pre-Award office if you are within the Campus and ask that it be set.

When Finished
13. Press the Save button.

When the user logs into SPS for the first time, their default password is the same as their login ID (e.g. slott001) and must be entered in lowercase. The user will then be prompted by the system to change the
password. A valid password must be lowercase and consist of 6 to 15 alphanumeric characters, beginning with a letter.

Example of Selected Person Admin Role on User Maintenance Notebook – Roles/Rights Page

Duke Org Browser Screen

Purpose
To enable SPS Security Officers to search the database for their area, so they can view or edit contact information, secondary appointments, and routing. Once a list of Duke Orgs has been generated, you will be able to highlight a Duke Org from the list and open the Duke Org Profile to view or edit that area's information. This screen appears when you press the Duke Org Profile button on the Utilities screen or the Duke Org Profile button on the Standard Reference Data Management screen.

Selection Criteria Area
To search the database for Duke Orgs, enter a set of selection criteria and then press the Search button. You can enter all or part of each item to be used to filter the search. The criteria are:

| BFR Code | Enter all or part of the BFR code. SPS will append a wild card to the end of the string. |
| Duke Org Name | Enter all or part of the name of the Duke Org, as it appears in Enterprise Directory. SPS will append a wild card to the beginning and end of the string. |
| Description | Enter all or part of the description of the Duke Org, as it appears in the user-modifiable Description field of SPS. SPS will append a wild card to the end of the string. |
Result Table
Displays a list of all areas that match the entered string.

Buttons
Search: Starts a search for Duke Orgs that match the entered criteria and places each match in the Result Table.
Open: Opens the highlighted Duke Org and advances you to the Admin Page of the Duke Org Profile.
Cancel: Closes the Duke Org Browser screen and returns you to the Utilities screen.

Example of Duke Org Browser Screen

How do I set up my Duke Org in SPS?
SPS Security Officers have access to the Duke Org Profile area of SPS, where they can add or maintain personnel having secondary appointments in their area(s) and can set up routing information for a department or division.

1. Login to the SPS system.
2. From the SPS Main Menu, press the Utilities icon.
3. From the Utilities screen, press the Duke Org Profile icon.

4. On the Duke Org Browser screen, type all or part of the BFR code for your area, then press the Search button.

Using the BFR code is the most reliable way of finding your area in the Duke Org Profile. However, you may prefer to use either the Duke Org Name (a.k.a. Enterprise Directory name) or Description (AKA SPS name) fields for searching. SPS will append a wildcard to the beginning and end of the string. Note that the Duke Org may be abbreviated, so do not over-restrict your search; for example, typing Pediatrics will NOT find Ped - Endocrinology.

5. At the bottom of the Duke Org Browser screen, highlight the correct area and press the Open button.

Admin Info Page
6. Edit the Description if necessary. This field will be used in printing, including the Cover Sheet of your applications.
7. Check the box labeled Duke Org Uses SPS.

Note: The PHS 398/2590 Face Page Organization (Box 3e/Box 2c) field is used for NIH ranking purposes. It contains the description that will print in Box 3e of the PHS 398 Face Page and in Box 2c of the PHS 2590 Face Page. This description is entered for the Department BFR (e.g., Medicine) and will be blank for the Division BFRs (e.g., Medicine - Geriatrics). This ensures that 'Medicine', rather than 'Medicine - Geriatrics' will be printed on the NIH Face Page.

Contact Info Page
8. Type the Last name of the person who should be the primary contact for SPS in this area, and press Tab to invoke the lookup feature. Edit any of the fields as necessary.

Personnel Page
9. Add any faculty members who have secondary appointments in this area. To add a person, press the Insert Row button, type their Last Name, and press Tab to invoke the lookup feature.

You may want to avoid this page if you do not have any secondary appointments to add as opening this page may take a minute or two if a lot of people have appointments in this department. Also, be careful to add faculty to the correct BFR.
How do I set up a routing chain for my Duke Org?

SPS Security Officers have access to the Duke Org Profile area of SPS, where they can set up the routing information for a department. Note that those people who will be included on the routing chain must first be set up as SPS users.

Each area will have unique circumstances in terms of routing. For example, in addition to setting up routing for your department as a whole, you may also have to set up routing for each of the divisions within your department. For Medical Center departments, we recommend that you contact the SPS Training Coordinator for assistance when you are first setting up routing for your area. For Campus departments, please contact the Office of Research Support for assistance when first setting up routing for your area.

Routing in SPS is very flexible. We have provided a basic example to help you get started, then a more complex route to demonstrate your options.

**Example 1:** A department has two reviewers. The Department Administrator must approve the proposal first, and then the proposal is sent to the Department Chair for approval. Here is a schematic:

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PI Completes Proposal

Department Admin

Tim

Tim must approve before the proposal is sent to Anne

Department Chair

Anne

Anne must approve before the proposal is sent to the Central Office

Central Office

To set up this route up in SPS:
Roles Page
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1. Under Standard Roles, highlight Department Administrator and press the button.

2. Be sure that Departmental Administrator is selected under Roles for this organization; then under the Assignments dataset, press the Insert Row button.

3. In the Name field of the Assignments dataset, type the last name of the Departmental Administrator and press Tab to invoke the lookup field.

4. Repeat steps 1 through 3, this time setting up the Department Chair (and selecting Department Chair under Standard Roles and in the Roles for this organization area).

Routes Page

5. Press the Insert Row button.

6. Click your mouse in the Role drop-down field and select Departmental Administrator.

7. Repeat steps 5 and 6, this time adding the Department Chair to the route.

8. Save the Duke Org Profile.
Example of Duke Org Profile Notebook – Routes Page
Example 2: A department has two people acting as Grant Administrators, and either one can approve the proposal. Both the Department Administrator and the Department Chair must then approve the proposal; however, the department doesn't care whether the Department Chair or the Department Administrator approves it first. Here is a schematic:

To set up this route up in SPS:
Roles Page
1. Under Roles for this organization, press the Insert Row button.
2. In the Description field, type Grants Administrator.
3. Be sure that Grants Administrator is selected under Roles for this organization; then under the Assignments dataset, press the Insert Row button.

4. In the Name field of the Assignments dataset, type the last name of one of the Grants Administrators and press Tab to invoke the lookup field.

5. Repeat step 3.

6. Repeat step 4, this time typing the last name of the other Grants Administrator.

This ensures that the proposal will go to both Grant Administrators, but only one of them has to approve it.

7. Under Standard Roles, highlight Department Administrator and press the button.

8. Be sure that Departmental Administrator is selected under Roles for this organization; then under the Assignments dataset, press the Insert Row button.

9. In the Name field of the Assignments dataset, type the last name of the Departmental Administrator and press Tab to invoke the lookup field.

10. Repeat steps 7 through 9, this time setting up the Department Chair.

Routes Page


12. Click your mouse in the Role drop-down field and select Grants Administrator.

13. Repeat steps 11 and 12, this time adding the Departmental Administrator to the route.

14. Repeat steps 11 and 12, this time adding the Department Chair to the route.

At this point, you have a route set up to go to the Grants Administrator, then the Departmental Administrator, then the Department Chair.

15. Change the Order # on the third row from 3 to 2.

By changing the order you have also changed the route to have the proposal go to the Departmental Administrator and Department Chair at the same time. They will both have to approve it before the proposal continues on to the next step.

What should be done when a user should no longer have access to SPS?

Go to User Security and open the record for the user. On the Main page, uncheck the box that says Active User, then Save the record. Doing so will prevent the user from being able to log into SPS, and it will prevent items from being routed to them. You will also want to remove this user from any routes. If you have questions, please call the SPS Training Coordinator if you are with a Medical Center department or the Office of Research Support if you are with a Campus department.

Example of Selected Person on User Maintenance Notebook