

Research Approval Form – User Guide

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Document Purpose

This document describes how to use the online Research Approval Form (RAF).

It provides guidance to researchers and administrative staff on how to complete and submit a RAF.

It also provides instructions for reviewers (eg Heads of School, ADRs and Institute Directors and Senior Managers) on how review and approve Research Approval Forms.

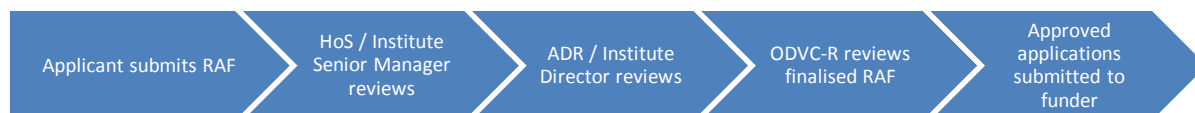
What is the RAF?

The RAF is an electronic form housed inside of ACU's main research administration system ("Orion") that captures administrative details on research grant applications/proposals. It must be completed for all proposals seeking external funding *prior* to any applications being submitted to funders.

The RAF process is designed to facilitate approval of grant applications / proposals for external funding without the need for paper copies of documents and physical signatures. The RAF is an online form in Orion that is underpinned by an electronic workflow. When a RAF is submitted, the workflow sends email notifications to authorised "approvers" such as Heads of School, ADRs, Institute Directors and Senior Managers requesting they login to Orion, review the RAF and approve it online.

The RAF replaces the old PDF style Grant Cover Sheet.


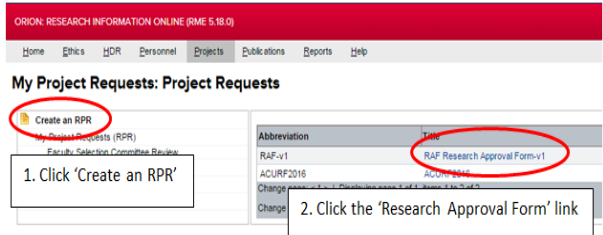
The RAF Process



1. The RAF eForm should be completed by the primary ACU investigator listed on the grant application. All questions on the RAF must be answered (including attaching a copy of the grant application / proposal) before the eForm can be submitted.
2. Once submitted, an email is automatically sent to the Head of School or Institute Senior Manager advising that they need to review the RAF. They can either approve the proposal and send it forward to the next review step, or not approve it and revert the eForm back to the applicant for amendment and resubmission.
3. Once approved by the Head of School or Institute Senior Manager, an email is then automatically sent to the ADR or Institute Director requesting they review the RAF. Once again it can be either approved and sent forward to the final review step, or not approved and reverted to the applicant for amendment and resubmission.
4. The final step in the process is for the completed RAF to be reviewed by the ODVC-R. Once reviewed, applicants are advised of the outcome.
5. Approved proposals can then be submitted to funding agencies.

How to use the RAF


To create a new Research Approval Form

<p>Login into Orion using your normal ACU network username/password.</p> <p>From the Projects menu, select My Project Requests</p>	
<p>Click on 'Create an RPR'</p> <p>Then click the link for 'Research Approval Form'</p>	

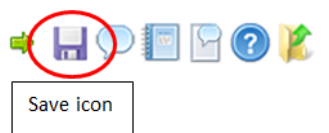
Navigating in the RAF

<p>The RAF is structured into the following pages:</p> <ul style="list-style-type: none"> • Project Details • Budget • Personnel • Research Codes • Attachments • CI Sign-off (and submit) 	
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It's easiest just to fill out the pages in the order which they appear, though you can "jump" to any page simply by clicking on the page name.

You can move from one page to the next by clicking on the green arrows  at the bottom of each page.

You can save at any time by clicking on the disk icon in the button bar at the top right of screen:



Help is available by clicking the help button:



Key points when filling out the RAF

Project Details

The Project details page requests information on the Funding Source, title, proposed start and end dates and who will be the administering institution of the grant if it's awarded.

If you are transferring an existing grant/project to ACU please make sure you answer "Yes" to the question 'Is this an existing grant or project that you are **transferring** to ACU?'. Transferred grants are not required to go through the usual review and approval process and the Workflow will instead route the RAF directly to the Research Office.

Funding Source

If at all possible try to find the Funding Source in the search field and then select it. You can add more than one Funding Source.

If you cannot find the Funding Source via the search, please just enter it as text into the next field (ie, '**Funding Source, if Not Above**').

Search Funding

Title	ID	Organisation	Internal Closing Date
ARC DISCOVERY PROJECTS	ARC DP	Australian Research Council	
ARC Discovery Early Career Researcher Award	ARC DE	Australian Research Council	
ARC Discovery Indigenous	ARC IN	Australian Research Council	

Budget

To enter budget details, click on the '**Add Budget Record**' link.

Please only enter a summary of your budget, ie the total amount being applied for in each year.

Budget

Please enter the total cash amount (in Australian dollars) requested

Click the 'Add Budget Record' link below to enter the year(s) and amounts. *

[Add Budget Record](#)

No records to display.

Once you have clicked the '**Add Budget Record**' link the following table appears:

Budget

Please enter the **total cash amount (in Australian dollars) requested each year from the funder** (do not include in-kind contributions).

Click the 'Add Budget Record' link below to enter the year(s) and amounts. *

[Add Budget Record](#)

Year	Funding Source	Applied	GST ?	Applied w/ GST
2016	Not Specified	77000.00	<input checked="" type="checkbox"/>	84700.00
Total		77000.00		84700.00

1. Select the Year and (if available) the Funding Source.
2. Enter the total amount being applied for in that year.
3. If GST has been included in the amount being applied for, tick the GST box.

The system automatically calculates the Amount Applied w/ GST and the grand Total.

Repeat the '**Add Budget Record**' link process for each year of funding.

Personnel

Entry of Personnel information in the RAF is spilt into two questions: 1. ACU staff and 2. External participants.

To enter ACU personnel:

First do a search by entering part of the person's name and then clicking on the search button (magnifying glass). Select the desired person from the pop-up list.
(You might need to page through the search results window.)

Preferred Name	ID	Gender	Type	Classification ACU	Managing Unit
Ramon Lewis	000041905	Male	External		
Charlie Lewis	000042822		External		
Dr Sophie	000042874	Female	External		
Phil Lewis	000043624		Internal	General	Research Services
Researcher					CVC Research
Dr Sarah Lewis	000050715	Female	External		
Jonas R. Lewis	000051449	Male	External		
Providence	000051740	Male	External		

Next indicate whether they're the Primary ACU investigator and enter their % Time Commitment for this project.

NB – please remember to nominate one person as the Primary ACU Investigator. This helps the system keep track of the RAF.

Primary ACU Investigator? Yes No

% Time Commitment:

Repeat the steps to add External investigators into the External Personnel question.

Reviewing Unit

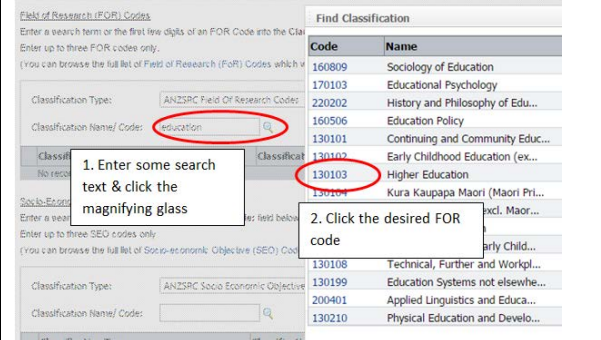
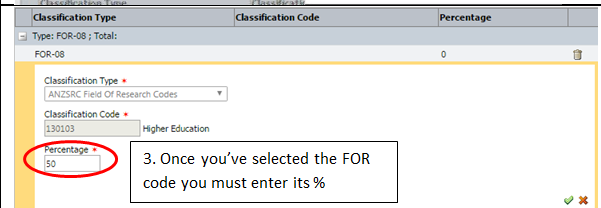
This question is really important as it determines where the RAF gets sent for review. The Reviewing Unit defaults to the School or Institute of the person who commenced filling in the RAF. If the Reviewing Unit is not correct, you can change it by searching for and then selecting the appropriate School / Institute:

Code	Name
5131	Centre for Lifelong Learning
5610	Learning Sciences Institute A...
8011	
8031	
8034	eLearning
8150	Learning and Development
8500	Office of the PVC Students Le...

Please make sure you get the Reviewing Unit right. If the RAF gets sent to the incorrect reviewer it will delay the processing of your application.

Research Codes

Field of Research (FOR) Codes

<p>You can search by entering the FOR code number (if you know it) or by entering a keyword.</p> <p>Then select the desired FOR from the pop-up window.</p>	
<p>You also need to enter the % value. You can have more than one FOR code (but please limit the number of FORs to no more than three). The %s must total 100.</p>	

Socio-Economic Objective (SEO) codes

Follow the same procedure as the FOR codes to enter your SEO codes into the SEO question.







If you're not familiar with what options are available with FOR and SEO codes you can browse them by clicking the hyperlinks on the Research Codes page in the RAF to open the full set of codes. This will open a separate browser window where you can view the complete list of codes and their descriptions. Once you've browsed the list you still need to return to the RAF and enter the code(s) using the procedure described above.

Attachments

All RAFs must have a copy of the funding application or proposal attached.

If you are seeking a reduction or waiver to the Infrastructure Levy you will also need to attach a copy of a completed Levy Waiver Form. You can download the Infrastructure Levy Waiver form by clicking on the hyperlink in the RAF.

To upload an attachment, click on the green arrow upload icon.

Name	Reference (Document Title)	Soft Copy
<ul style="list-style-type: none"> Grant application or proposal 		 
<ul style="list-style-type: none"> Infrastructure Levy Waiver form (if Waiver or reduction being sought) 		 
<ul style="list-style-type: none"> Copy of Letter of Award or Contract (for Transferred grants only) 		 

Click the upload icon to attach a copy of the required document.

(If you're seeking a waiver or reduction to the Infrastructure Levy you'll need to attach that form as well).

Sign-off & Submit

The CI Sign-off page contains a set of check boxes that the Primary ACU investigator is required to confirm. Only the Primary ACU investigator needs to complete this page and no other investigator signatures are required. Please be aware that by ticking these checkboxes you are confirming the conditions on the Sign-off page on behalf of all ACU investigators.

NB – a confirmation email will be CC'd to all ACU investigators listed on the RAF.

Submitting the RAF

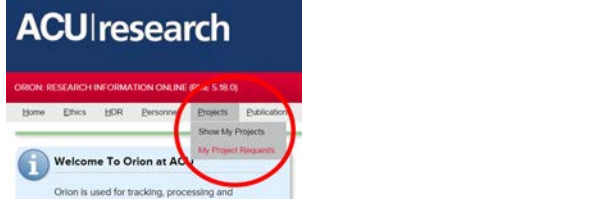

On the CI Sign-off page simply click the Submit button. This will send an email to your Head of School or Institute Senior Manager.

For Reviewers

Head of School or Institute Senior Manager

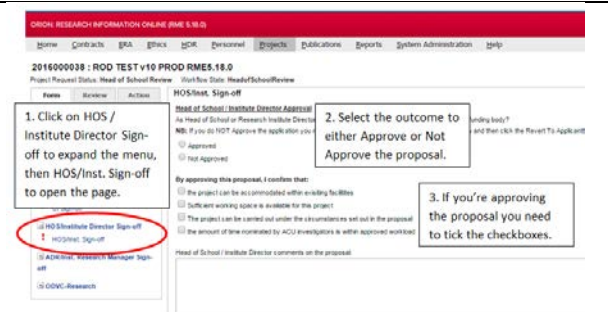
As a Head of School or Institute Senior Manager a system generated email will be sent to you whenever someone in your unit submits a Research Approval Form.

To open a RAF for review, follow these steps:

<p>1. Login to Orion using your normal ACU network username/password.</p>	
<p>2. From the Projects menu, select My Project Requests. 3. Then on the left hand side of screen, click on the option labelled 'RPRs for Review'. This will display a list of RAFs awaiting your review.</p>	

You need to review the contents of the RAF and look at the attachments on the Documents page. To view an attachment, go to the Documents page and simply click on the hyperlinked name of the file.

You then need to enter your outcome, that is, to either Approve or Not Approve the application.

<p>Click on the 'HOS Sign-off' or 'Institute Sign-off' link to expand the menu. Then click Sign-off link to open the sign-off page. Select the outcome (Approved or Not Approved).</p>	
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If you Approve the proposal you can then click the Submit button to send the proposal forward.


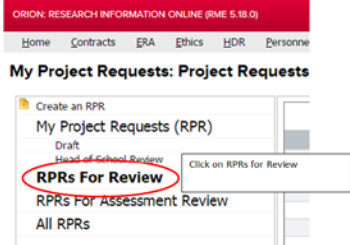
If you select Not Approved, you can only Revert the RAF back to the applicant. **You must enter a comment into the Comments box if you are going to revert the RAF to the applicant.** The applicant will be able to see these comments.

NB – As HoS or Institute Senior Manager, you can make changes to the RAF on behalf of the applicant. That is, you are not forced to revert the RAF back if you require an alteration to be made.

Associate Dean Research or Institute Director

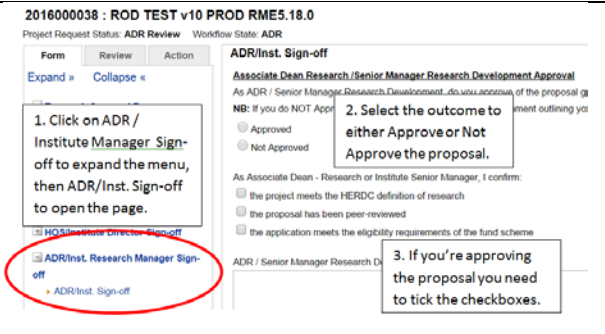
As Associate Dean - Research or Institute Director a system generated email will be sent to you once the Head of School or Institute Senior Manager has approved a Research Approval Form.

To open a RAF for review, follow these steps:

<p>1. Login to Orion using your normal ACU network username/password.</p>	
<p>2. From the Projects menu, select My Project Requests. 3. Then on the left hand side of screen, click on the option labelled 'RPRs for Review'. This will display a list of RAFs awaiting your review.</p>	

You need to review the contents of the RAF and look at the attachments on the Documents page. To view an attachment, go to the Documents page and simply click on the hyperlinked name of the file.

You then need to enter your outcome, that is, to either Approve or Not Approve the application.

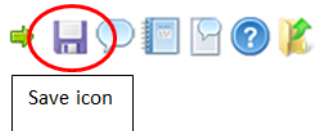
<p>Click on the 'ADR Signoff' or Institute Director' link to expand the menu. Then click Sign-off link to open the sign-off page. Select the outcome (Approved or Not Approved).</p>	
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NB – As ADR or Institute Director, you can make changes to the RAF on behalf of the applicant. That is, you are not forced to revert the RAF back if you require an alteration to be made.

Frequently Asked Questions

Do I have to fully complete the RAF in one go?

No. You can save your RAF at any time simply by clicking on the Save icon. You can exit Orion and come back and re-open the RAF and continue working on it.



What if my RAF doesn't get submitted and instead displays an "Application is incomplete" message?

such as: **"! Application is incomplete or some answers are incorrect"**

This means there are unanswered questions on the RAF.

You can identify what page(s) require attention by looking for a red exclamation mark alongside the page(s) with the missing information. Click on that page to open it.

Mandatory questions on each page are flagged with a red asterisk.

What if the Personnel page has a red exclamation mark, but it appears as if all mandatory questions have been answered?

The most likely cause is that the % Time Commitment has not been entered for one of the ACU Investigators.

All ACU investigators must have the % Time Commitment question filled out.

What if there is no 'Submit' button on my Sign-Off page?

Occasionally certain web browsers can impede the RAF's ability to display the Submit button.

In this case you can click on the Action tab on the left hand side of the RAF, where a link to 'Submit Form' will be available.

What if the 'Submit' button is "greyed out"?

The RAF has in-built conditions to determine who can submit the eForm at each stage of the review process. For example, the Applicant cannot go the Head of School sign-off page and click the Submit button.

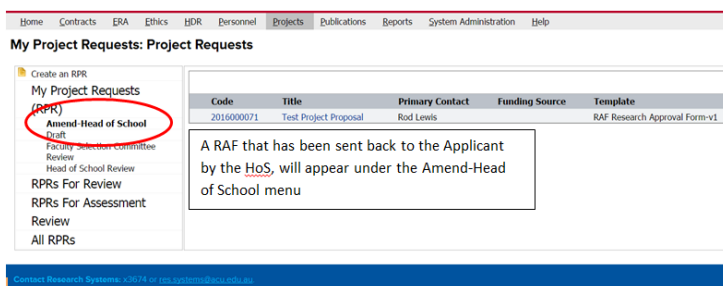
If you cannot submit your RAF because the button is greyed out, then please contact the Research Systems team on res.systems@acu.edu.au

My RAF has been returned to me to make changes but I cannot find it in Orion

If a RAF gets returned to you to make amendments it will be stored under a menu option in Orion that groups the RAF(s) based on the **current status** of the form. For example, if the RAF has been returned to you by the Head of School it will be stored under the menu option, '**Amend-Head of School**'.

To locate your RAF:

1. Login to Orion and from the Projects menu, select My Project Requests
 2. Look at the menu groupings on the left-hand-side of the page.
 3. The RAF will be grouped under the menu option corresponding to the person who sent the form back to you.
- If the RAF has been returned to you by the Head of School it will be located under: '**Amend-Head of School**'.
 - If the RAF was reverted to you from your Associate Dean - Research, it will be grouped under the menu option, '**Amend-ADR**';
 - If the RAF was reverted to you from the Institute Director, it will be grouped under the menu option, '**Amend-Institute Director**';
 - If was reverted by the Institute Manager, it will be grouped under '**Amend-Institute Manager**'.



Home Contracts ERA Ethics HDR Personnel Projects Publications Reports System Administration Help

My Project Requests: Project Requests

Create an RPR

My Project Requests (RPR)

Amend-Head of School (circled in red)

Draft

Faculty Selection Committee Review

Head of School Review

RPRs For Review

RPRs For Assessment

Review

All RPRs

Code	Title	Primary Contact	Funding Source	Template
2016000071	Test Project Proposal	Rod Lewis		RAF Research Approval Form-v1

A RAF that has been sent back to the Applicant by the HoS, will appear under the Amend-Head of School menu

Contact Research Systems: x3674 or res.systems@acu.edu.au