Research Approval Form – User Guide

Contents

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 to review and endorse Research Approval Forms.
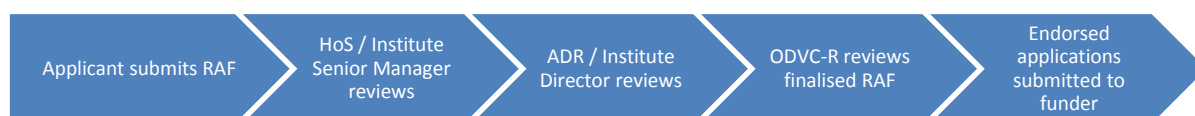
What is the RAF?

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 endorse it online.

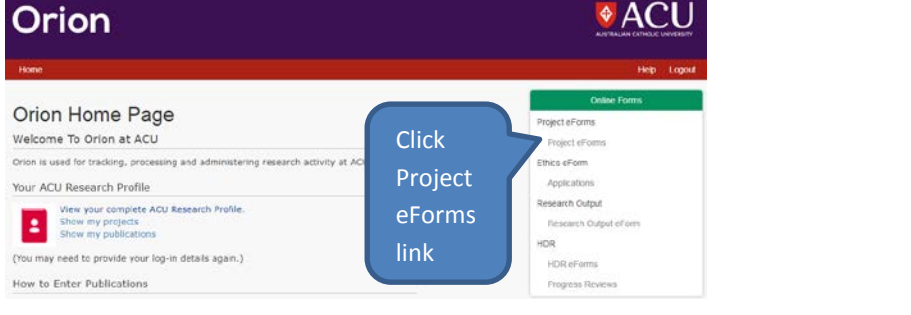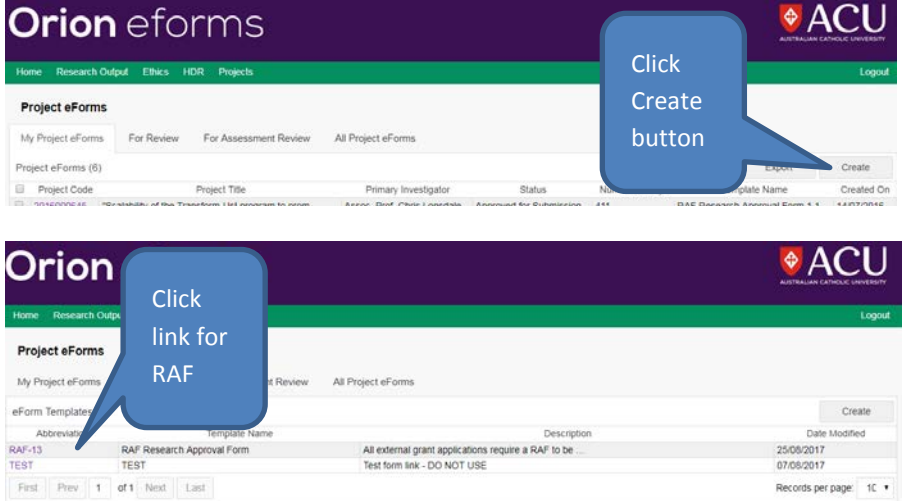The RAF replaces the old PDF style Grant Cover Sheet.

The RAF Process

Applicant submits RAF	HoS / Institute Senior Manager reviews	ADR / Institute Director reviews	ODVC-R reviews finalised RAF	Endorsed applications submitted to funder

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 endorse the proposal and send it forward to the next review step, or not endorse it and revert the eForm back to the applicant for amendment and resubmission.
3. Once endorsed by the Head of School or Institute Senior Manager, an email is automatically sent to the ADR or Institute Director requesting they review the RAF. Once again it can be either endorsed and sent forward to the final review step, or not endorsed 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

Login into Orion using your normal ACU network username/password. From the Online Forms panel, select Project eForms	
Click the Create button Then click the link for 'RAF Research Approval Form'	

Navigating in the RAF

The RAF is structured into the following pages: • Project Details • Budget • Personnel • Research Codes • Attachments • CI Sign-off (and submit)	

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 Save icon in the button bar at the top of the form:

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**').	

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.	

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

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 clciking 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.)	
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.	

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:

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

You can search by entering the FOR code number (if you know it) or by entering a keyword. Then select the desired FOR from the pop-up window.	**Field of Research (FOR) Codes** Enter a search term or the first few digits of an FOR Code into the **Classification Name/ Code:** field below and (magnifying glass) to retrieve the FOR code. Enter up to three FOR codes only. (You can browse the full list of Field of Research (FoR) Codes which will open in a separate window)* Classification Type: Field Of Research Codes ▼ Classification Name/Code: 2204 Classification Type: Field Of Research Codes; T Field Of Research Codes Socio-Economic Objective (SEO) Cod Enter a search term into the **Classific** Enter up to three SEO codes only. (You can browse the full list of Socio- Classification Type: **Code / Name** 220401 Christian Studies (incl. Biblical Studies and Churc... 220402 Comparative Religious Studies 220403 Islamic Studies 220404 Jewish Studies 220405 Religion and Society 220406 Studies in Eastern Religious Traditions 220407 Studies in Religious Traditions (excl. Eastern, Jewi... 220499 Religion and Religious Studies not elsewhere clas...

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.	Classification Type*
	  Field Of Research Codes ▼
	Classification Code*
	  220402 Comparative Religious Studies
	Percentage*
	  100

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 a 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	
Grant application or proposal	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).	⬆	🗑
Infrastructure Levy Waiver form (if Waiver or reduction being sought)		⬆	🗑
Copy of Letter of Award or Contract (for Transferred grants only)		⬆	🗑

Add New Document

Sign-off & Submit

The CI Sign-off page contains a check box 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.

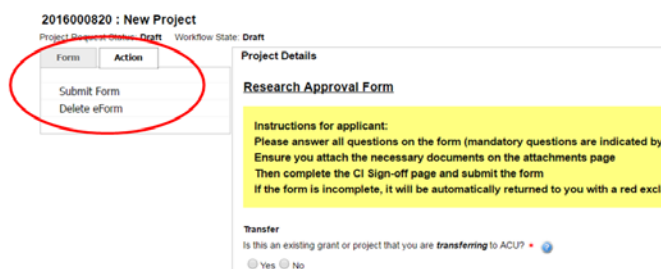**NB** – a confirmation email will be CC'd to all ACU investigators listed on the RAF.

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 notifying them the RAF has been submitted.

To Delete a RAF

Should you need to, you can delete your RAF any time *prior* to it being submitted. To delete a RAF:

1. Open the RAF as if you were going to edit it
2. Go to the 'Action' tab at the left-hand side of screen
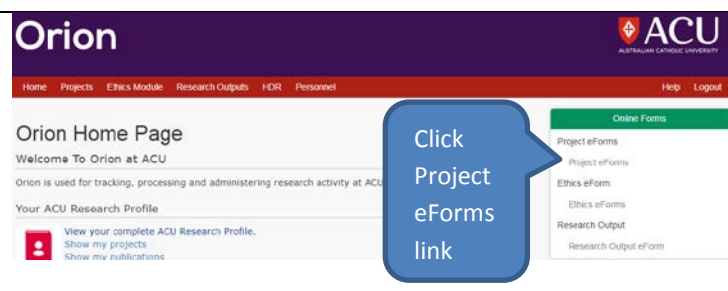3. Click on the 'Delete eForm' option.

For Reviewers

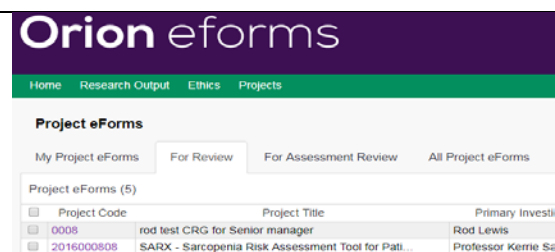## Head of School or Institute Senior Manager

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:

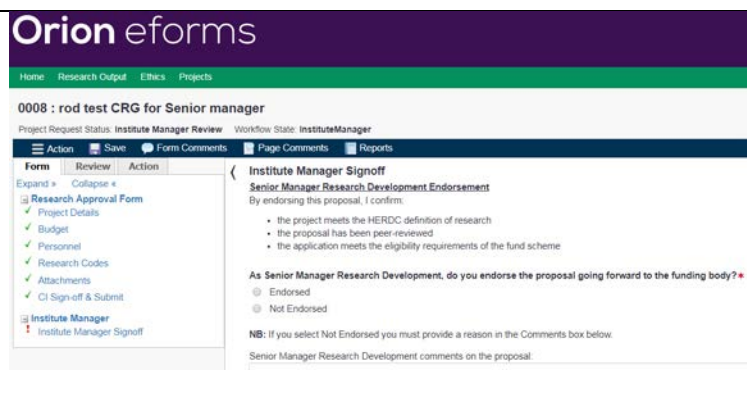|	
1. Login to Orion using your normal ACU network username/password. 2. From the Online Forms panel, select Project eForms.	
3. Click on the 'For Review' tab. This will display a list of RAFs awaiting your review.	

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 Endorse or Not Endorse the application.

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 (Endorsed or Not Endorsed).	

If you Endorse the proposal you can then click the Submit button to send the proposal forward.

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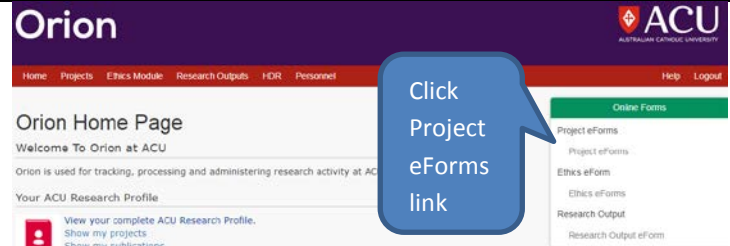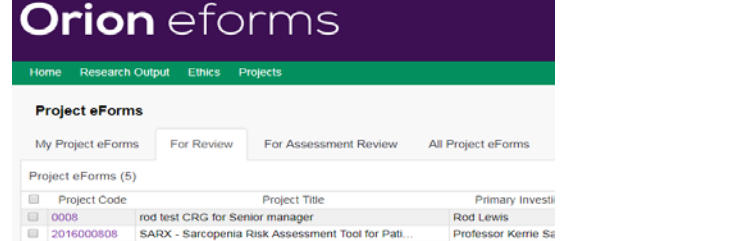
NB – As HoS or Institute Senior Manager, you can make changes to the RAF on behalf of the applicant. That is, you are not forced to revert the RAF back if you require an alteration to be made.

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 endorsed a Research Approval Form.

To open a RAF for review, follow these steps:

1. Login to Orion using your normal ACU network username/password. 2. From the Online Forms panel, select Project eForms.	
3. Click on the 'For Review' tab. This will display a list of RAFs awaiting your review.	

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 Endorse or Not Endorse the application.

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 (Endorsed or Not Endorsed).	

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 has been returned to you to make changes it should be located under the 'My Project eForms' tab.

If the RAF is not appearing under My Project eForms then click the 'All Project eForms' tab. You can search by the Project Code to retrieve the particular RAF that needs amending by entering the Orion ID into the search field and then clicking the Search button.