



MACQUARIE
University

Application and Project Lifecycle Information (APLI)

SUCCESSFUL PROJECTS MANAGEMENT

ADMINISTRATOR'S USER GUIDE

This guide is provided for Post-Award, Contracts, Research Partnership Managers to complete post-award processes.

Version 2.0

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APLI Workflow States

The complete workflow for the APLI is described in [Appendix D-APLI workflow diagram](#). This workflow diagram is colour coded based on the respective teams:

- RED** – Post-Award Staff
- YELLOW** – RPM
- GREEN** – Contracts Team

Key questions which will determine the pathways of an APLI are:

1. Whether the APLI is a **Grant** or **Partner funded**
2. Whether the APLI requires **contract**
3. Whether the APLI requires an **account** to be opened.

Searching by APLI Status or Workflow State Title

You can search APLI using any of the fields below.

RESEARCHMASTER ENTERPRISE: 5.18.0

Home Applications Contracts ERA Ethic

MANAGE PROJECT REQUESTS

Application Status:

Title:

Code:

Fund Source:

Template Name:

State Title:

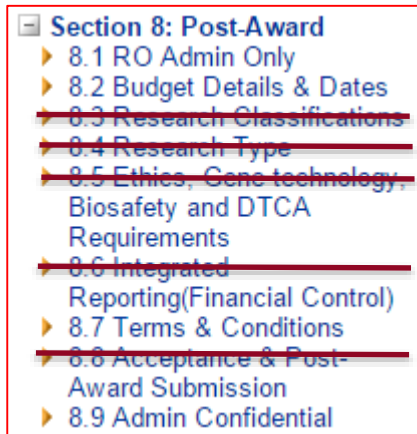
For APLI 2.0, you will be able to search APLI by the workflow state number (eg. Run a search for 05. To pick up all APLI in state 05. RPM Review)

State 10. ROReview_PostAward (MANAGED BY POST-AWARD STAFF)

The post award section will be visible when the APLI has been submitted to RO (Workflow State 9 and onwards). Post-Award Staff will have access to this as soon as Pre-Award stage has been Finalised (Workflow state 10).

Important:

RPM: Please notify Post-Award when the Funds are successful. This has to be done manually.



Section 8.1, 8.2, 8.7 and 8.9 will be opened for by RO staff to complete while the remaining are left for the applicant to fill-in when the APLI are returned back to them in [State 14. Draft PA](#).

Section 8.1 RO Admin Only (MANAGED BY POST-AWARD STAFF)

This admin only page will trigger Section 9 and Section 10 within the APLI.

1. **Is contract required = Yes**, project status = approved, will open section 9.
2. **Is account required = Yes**, project status = approved, will open section 10

8.1 RO Admin Only

CRO File Number

Is a contract required? 1

Yes No

Is an account required? 2

Yes No

Acct Code

Section 8.9 Admin Confidential (MANAGED BY POST-AWARD STAFF)

You may enter your comments as Pre-Award or Post-Award in this section. The comments will be pushed to the backend (viewable from the desktop version of your ResearchMaster (RMEWIN)).

This section is restricted from the applicants at any time, so rest assured that your comments on this page will be confidential and viewable to Research Office staff only.

Actions available

Form	Review	Action
		Revert to Super User Review
		Approve & Post-Award Complete
		Reject & Finalise
		Save
		Email APLI

Click on the **Approve & Post Award Complete** to progress the APLI for RPM and/or Contracts Team action. They will receive a notification email.

Revert to Super User Review will push the APLI to state 00. SuperUser. At this state the APLI can be pushed to any state belonging to the Pre-Award process.

(see section [State 00. Super User](#))

To push the APLI to a Post-Award state as a SuperUser, you can then select **Revert to Super User – PA** after you have pushed the APLI to 00.SuperUser. This will open [State 88. SuperUser PA](#))

State 11. RPMReview_PA

(MANAGED BY RPM)

Section 9: Contracts/Legal

[-] Section 9: Contracts/Legal
▶ 9.1 Contracts/ Legal Information
▶ 9.2 Request Details
▶ 9.3 External Parties
▶ 9.4 Contributions
▶ 9.5 Milestones & Deliverables
▶ 9.6 Other Relevant Information
▶ 9.7 Refer to Legal

For partner funded research, RPM will be able to fill in section 9, except **Section 9.7 – Refer to Legal**.

Upon completion, you should go to the Action tab and click **Send to Contract**. This will send the APLI to [State 13. ContractPartnerFunded PA](#) and Contract Team will receive a notification email.

Form	Review	Action
		Revert to Super User Review
		Send to Contracts
		Save

State 12. ContractGrants_PA

(MANAGED BY CONTRACTS TEAM)

For Grant APLI, the Post-Award Complete Action will forward the application straight to Contract (without RPM involvement. Section 9 will be opened for Contracts Team to complete.

[-] Section 9: Contracts/Legal
▶ 9.1 Contracts/ Legal Information
▶ 9.2 Request Details
▶ 9.3 External Parties
▶ 9.4 Contributions
▶ 9.5 Milestones & Deliverables
▶ 9.6 Other Relevant Information
▶ 9.7 Refer to Legal

Contracts Team will be able to fill in all section 9, with the option to referring APLI to Legal in section 9.7

9.7 Refer to Legal
Refer matter to Legal Team *
<input type="radio"/> Yes
<input type="radio"/> No

Form	Review	Action
		Revert to Super User Review
		Contracts Admin Complete
		Send back to RO - PostAward
		Save
		Email APLI

Upon completion Contracts Team must select **Contracts Admin Complete**. This will send the APLI back to [State 14. Draft PA](#) for the applicant for complete Section 8.

State 13. ContractPartnerFunded_PA (MANAGED BY CONTRACTS TEAM)

For Partner Funded APLI, Contracts team will receive APLI from RPM ([State 11. RPMReview_PA](#))
At this stage most of Section 9, should have been filled by RPM, with the exception of section 9.7 Legal.

[-] **Section 9: Contracts/Legal**

- ✓ 9.1 Contracts/ Legal Information
- ✓ 9.2 Request Details
- ✓ [9.3 External Parties](#)
- ✓ 9.4 Contributions
- ✓ 9.5 Milestones & Deliverables
- ✓ 9.6 Other Relevant Information
- ▶ 9.7 Refer to Legal

Contracts Team will review the APLI to decide if the APLI needs to go to Legal. When the matter is referred to Legal team, Legal will receive a notification email when the APLI is sent to [State 14. Draft_PA](#).

9.7 Refer to Legal

Refer matter to Legal Team *

Yes

No

Similar to the process for Grant APLI, upon completion of Section 9, Contracts Team must select **Contracts Admin Complete** to send the APLI to [State 14. Draft_PA](#) for the applicant to complete Section 8.

Form	Review	Action
		Revert to Super User Review
		Contract Admin Complete
		Send back to RO - PostAward
		Send back to RPM
		Save
		Email Legal

State 14. Draft_PA (MANAGED BY RESEARCHER)

The applicant will receive an email notifying that the APLI has been re-opened for them to complete post-

award information in section 8.3-8.8.
Post-Award staff will be notified when the APLI is in [State 14. Draft_PA](#)

Upon submission by the applicant, a confirmation email of submission will be sent to applicant (cc-ed to Post-Award Staff).

If the applicant has selected DTCA = no exempt an email will be sent to DTCA.

If the applicant has selected Biosafety required but not yet obtained, email will be sent to Biosafety

State 15. ROReview_PA (MANAGED BY POST-AWARD STAFF)

Upon submission by the applicant from Draft_PA, the APLI will be submitted to Post-Award staff. Here Post-Award will either fill in the financial information for Internal grants or refer the application back to Contract to wait for the contract to be fully executed.

Internal Grants

Post-Award Staff will be able to check all section and enter account code and the Financial Information in Section 10.

[-] **Section 10: Financial Arrangements**

- ▶ 10.1 Financial Information

Order	Fund Source Code	Organisatio
1	GT-00503	Macquarie U

Order

Fund Source Code *
 MQ Safety Net (MQSN) Scheme

Organisation Name *

HERDC Category

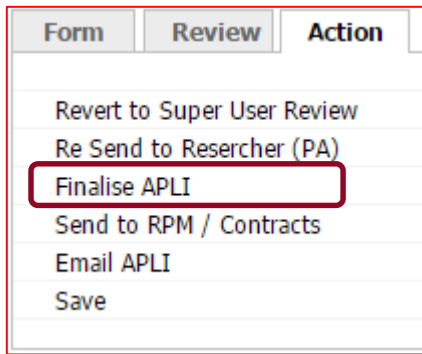
Primary Fund Source? *
 Yes No

For Admin Only - Code

Grant type *
 Internal External

Is it permissible for HR expenses to be charged from
 Yes No

When finished, Post-Award Staff may send APLI straight to State 17. Finalised, by going to the Action tab and clicking **Finalise APLI**

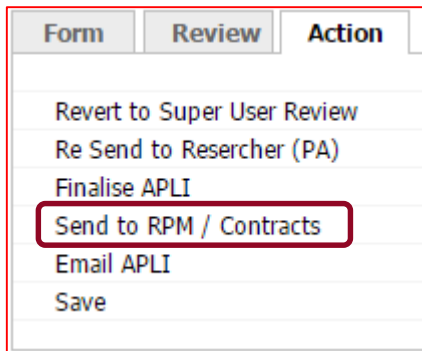


The screenshot shows a menu with the following items: Revert to Super User Review, Re Send to Resercher (PA), **Finalise APLI** (highlighted with a red box), Send to RPM / Contracts, Email APLI, and Save. The menu is under the 'Action' tab.

This will email the CI or CI and OFS for account request if account = yes

External Grants

For external Grants Post-Award may send APLI to **State 16.Finalised Data** to let Contracts and RPM to enter financial information.



The screenshot shows a menu with the following items: Revert to Super User Review, Re Send to Resercher (PA), Finalise APLI, **Send to RPM / Contracts** (highlighted with a red box), Email APLI, and Save. The menu is under the 'Action' tab.

For grant application, only Contract will receive email. For partner funded application, both Contract and RPM will receive email.

State 16. Finalised_Data (MANAGED BY CONTRACTS TEAM)

At this state, both Contracts Team and RPM will have access to the APLI. Please complete Section 10. Financial Arrangements when the information is available / Contract is Fully Executed.

9.7 Refer to Legal

Refer matter to Legal Team *

- Yes
- No

Please tick this box when contract is fully executed. This will trigger Financial Arrangement Section

Contract Fully Executed

When the matter is referred to Legal team, Legal will receive a notification email when the APLI is sent to [State 14. Draft PA](#).

Contracts Team will tick “**Contract Fully Executed**” in Section 9.7 to open Section 10.

Section 10: Financial Information (FOR RPM, CONTRACTS, and POST-AWARD STAFF)

Section 10: Financial Arrangements ▶ 10.1 Financial Information

This section will appear if either

- Account required = yes, or
- Contract=yes and Contract is fully executed.

Upon clicking on the Fund Source Code, a window will pop up.

Type '1' on **For Admin Only – Code** field and save by ticking the green tick icon. This will open up the next question regarding **Grant type**.

Different questions will appear depending on whether you choose Grant type Internal or External.

Order	Fund Source Code	Organisatio
1	GT-00503	Macquarie U

Order	1
Fund Source Code *	GT-00503 MQ Safety Net (MQSN) Scheme
Organisation Name *	Macquarie University
HERDC Category	5 - MQ Internal Funds
Primary Fund Source? *	<input type="radio"/> Yes <input checked="" type="radio"/> No
For Admin Only - Code	1

When external is selected, more questions will appear as shown in the figure displayed in the next page

Some of the data in this section is reported back to OFS through feeder. OFS will also have access to the APLI when the APLI is in State 17. Finalised

Grant type *

- Internal External

Invoicing to the funding body will be completed by either Financial Control or the Faculty, depending on the invoice triggers. Select appropriate option below specifying clause in the contract: *

- Single/recurring invoices with amounts specified in project agreement-Financial Control will invoice
 Invoice to reimburse expenses at the time of Financial Statement-Financial Control will invoice
 All other invoicing - Department staff will invoice
 Not Applicable - Funding received from funding body without an invoice being raised

Please specify clause in contract that details invoicing information *

What is the currency denomination in the contract? *

AUD ▼

Please specify clause in contract that relates to currency *

Is GST applicable in this contract? *

- Yes
 No

Are payment(s) to non-lead institutions required during this grant? *

- Yes
 No

Does contract mandate that interest must be applied on unspent income? *

- Yes
 No

Are there any contractual restrictions on how the income can be spent? *

- Yes
 No

Does the contract mandate that unspent funds must be returned to the funding body at the end of the project? *

- Yes
 No

Where are reporting requirements described in the contract? Please specify clause in contract *

Is it permissible for HR expenses to be charged from this fund source?

- Yes
 No

At this State 16. Finalised_Data, Post-Award Team, Contracts and RPM will have different available actions as below.

Available action for RPM

Form	Review	Action
		Revert to Super User Review
		RPM review complete

RPM review complete will notify Contracts Team that RPM has filled in all Financial Arrangement section.

Available action for Contracts Team

Form	Review	Action
		Revert to Super User Review
		Notify RPMs
		Contract matters complete

Notify RPM will send email to RPM to review the APLI
Contract matters complete will email Post-Award staff to Finalise APLI

Available action for Post Award Team:

Form	Review	Action
		Revert to Super User Review
		Finalise APLI
		Notify RPMs
		Notify Contracts Team
		Email APLI
		Save

Only Post-Award staff may finalised the APLI.

State 17. Finalised (MANAGED BY POST-AWARD STAFF)

At this state, all information in an APLI is finalised. The APLI are either approved or rejected and closed.

Additional attachments can still be added at this state (eg. progress reports).

Data can continuously be modified from the backend RMEWIN, for example: Post-Award may want to enter Account code if an account has been opened.

8.1 RO Admin Only

CRO File Number

Is a contract required?

- Yes
 No

Is an account required?

- Yes
 No

Acct Code

Note: There is only one way connection between the Online version and the desktop version. Please modify information from the online version and click Save. Saving the online form will not override Significant Dates field.

Form	Review	Action
		Revert to Super User Review
		Email APLI
		Save

State 00. Super User

This is a special state reserved for emergency / when the APLI cannot be pushed using the normal pathways. If this option is available to you, you may access this state by clicking on the Action tab >> **Revert to Super User Review**

Please make sure you have a good reason / supporting email to use this state!

This will open the following set of actions:

Form	Review	Action
		Revert to Super User Review
		Push to 01. Draft
		Push to 02. HOD
		Push to 03. FRM
		Push to 04. Conflict Of Interest Review(FRM)
		Push to 04. RPM
		Push to 06. Conflict Of Interest Review(RPM)
		Push to 07. Amend
		Push to 08. Dean
		Push to 09. RORReview_PreAward
		Revert to Super User - PA

At this state you may push the APLI into any other pre-award state.

To move the APLI to post-award states, select the last option: **Revert to Super User – PA**




State 88. SuperUser_PA

This is a superuser state for post-award processes. This state can be accessed only from **State 00. Superuser.**

Form	Review	Action
		Revert to Super User Review
		Push to 10. RO Review_PostAward
		Push to 11. RPMReview_PA
		Push to 12. ContractsGrants_PA
		Push to 13. ContractPartnerFunded_PA
		Push to 14. Draft_PA
		Push to 15. RORReview_PA
		Push to 16. Finalised_Data
		Push to 17. Finalised

Each of the available actions will send an email, except pushing to 11 and 15 from the Superuser state as those actions should be done by RO using the normal pathways.

Appendix A: Comment Flags

APLI	
Page Comments Statuses	
	There are action comments on the page.
	There are RESPONDED action comments on the page
	There are General comments on the page

Appendix B: Pre-Award Workflow Status

APLI	
PreAward Workflow Statuses	
01. Draft	Application is being drafted
02. HOD Review	Application is being reviewed by Head of Department
03. FRM Review	Application is being reviewed by Faculty Research Manager (FRM)
04. Conflict of Interest - FRM	Application requires Conflict of Interest review by FRM
05. RPM Review	Application is being reviewed by Research Partnership Manager (RPM)
06. Conflict of Interest - RPM	Application requires Conflict of Interest review by RPM
07. Amend	Application has been returned to Chief Investigator for additional information
08. Dean Review	Waiting for Dean signoff
09. RORReview_PreAward	Application submitted to RO

Appendix C: Post-Award Workflow Status

APLI	
Post-Award Workflow Statuses	
10. RORReview_Postaward	All pre-award steps completed and pending outcome
11. RPMReview_PA	Partner Funded Research application is with RPM for post-award processing
12. ContractGrants_PA	Grant application is with Contracts Team for post-award processing
13. ContractPartnerFunded_PA	Partner Funded application is with Contracts Team for post-award processing
14. Draft_PA	Application returned to CI for post-award information and acceptance
15. RORReview_PA	Post-Award staff processing acceptance, and other postaward administrations
16. Finalised_Data	RPM and Contracts team are confirming contract and financial arrangements if required
17. Finalised	APLI process is finalised and data is sent to Financial Control for account, if required

Appendix D: APLI workflow diagram

