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
Contents
APLI Workflow States ............................................. 3
Searching by APLI Status or Workflow State Title...3
State 10. ROReview_PostAward............................... 3
    Section 8.1 RO Admin Only ................................3
    Section 8.9 Admin Confidential............................3
    Actions available...........................................4
State 11. RPMReview_PA ........................................ 4
    Section 9: Contracts/Legal.................................4
State 12. ContractGrants_PA................................. 4
State 13. ContractPartnerFunded_PA ..................... 5
State 14. Draft_PA ............................................ 5
State 15. ROReview_PA ....................................... 5
    Internal Grants ............................................5
    External Grants.......................................... 6
State 16. Finalised_Data ..................................... 6
    Section 10: Financial Information .......................7
State 17. Finalised.............................................. 9
State 00. Super User ......................................... 10
State 88. SuperUser_PA...................................... 10
Appendix A: Comment Flags................................. 11
Appendix B: Pre-Award Workflow Status.............. 11
Appendix C: Post-Award Workflow Status ........... 11
Appendix D: APLI workflow diagram .................. 12
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.

For APLI 2.0, you will be able to search APLI by the workflow state number (e.g., 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

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**

<table>
<thead>
<tr>
<th>Form</th>
<th>Review</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revert to Super User Review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve &amp; Post-Award Complete</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reject &amp; Finalise</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Save</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email APLI</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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**

- 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.

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.

**State 12. ContractGrants_PA**

(MANAGED BY CONTRACTS TEAM)

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

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.

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

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.

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

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.

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

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

Available action for Contracts Team

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:

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

- Revert to Super User Review
- Push to 01. Draft
- Push to 02. HOD
- Push to 03. FRN
- Push to 04. Conflict Of Interest Review(FRM)
- Push to 04. RPM
- Push to 05. Conflict Of Interest Review(RPM)
- Push to 07. Amend
- Push to 08. Dean
- Push to 09. ROReview_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.

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

<table>
<thead>
<tr>
<th>Comment Statuses</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Action" /></td>
<td>There are action comments on the page.</td>
</tr>
<tr>
<td><img src="image" alt="Responded" /></td>
<td>There are RESPONDED action comments on the page</td>
</tr>
<tr>
<td><img src="image" alt="General" /></td>
<td>There are General comments on the page</td>
</tr>
</tbody>
</table>

### Appendix B: Pre-Award Workflow Status

#### APLI

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

### Appendix C: Post-Award Workflow Status

#### APLI

<table>
<thead>
<tr>
<th>Post-Award Workflow Statuses</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. ROReview_Postaward</td>
<td>All pre-award steps completed and pending outcome</td>
</tr>
<tr>
<td>11. RPMReview_PA</td>
<td>Partner Funded Research application is with RPM for post-award processing</td>
</tr>
<tr>
<td>12. ContractGrants_PA</td>
<td>Grant application is with Contracts Team for post-award processing</td>
</tr>
<tr>
<td>13. ContractPartnerFunded_PA</td>
<td>Partner Funded application is with Contracts Team for post-award processing</td>
</tr>
<tr>
<td>14. Draft_PA</td>
<td>Application returned to CI for post-award information and acceptance</td>
</tr>
<tr>
<td>15. ROReview_PA</td>
<td>Post-Award staff processing acceptance, and other postaward administrations</td>
</tr>
<tr>
<td>16. Finalised_Data</td>
<td>RPM and Contracts team are confirming contract and financial arrangements if required</td>
</tr>
<tr>
<td>17. Finalised</td>
<td>APLI process is finalised and data is sent to Financial Control for account, if required</td>
</tr>
</tbody>
</table>
Appendix D: APLI workflow diagram

01. Draft
- 02. HOD Review
  - 03. FRM Review
  - 05. RPM Review
- 04. Conflict of Interest - FRM
- 06. Conflict of Interest - RPM
- 08. Dean Review
- 00. SuperUser
- 09. ROReview_Preaward
- 10. ROReview_PostAward
  - 11. RPMReview_PA
- 12. ContractGrants_PA
- 13. ContractPartnerFunded_PA
- 14. Draft_PA
  - 15. ROReview_PA
- 16. Finalised_Data
- 17. Finalised

07. Amend

Diagram colors:
- RED – Post-Award Staff
- YELLOW – RPM
- GREEN – Contracts Team