RIMS Program - Research Information Management Solution
A multi-platform eco-system that supports UNE's research management

Creating an Application in Pure User Guide

The paper-based Project Approval Form is now completed by **Creating an Application in Pure.**

Please note: You may be expected to upload supporting documentation to your Application before it can be approved by your Head of School or Dean. This includes documentation in relation to the following aspects:

- Ethics requirements
- Conflicts of Interest
- Foreign Interference
- DVCR Research Sustainability Fee

In this guide, you will find the following information about Applications
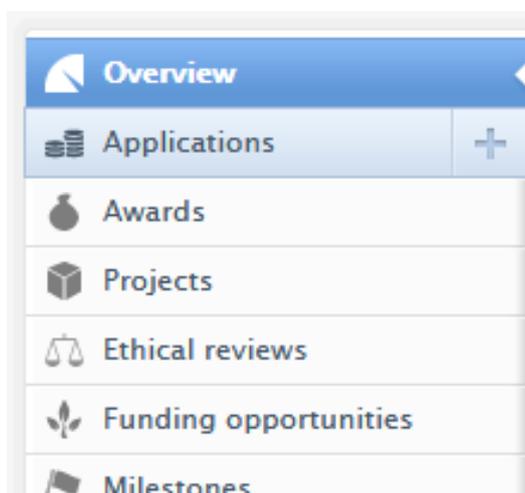
Contents

Creating an Application from a blank template

Log into your Pure dashboard from the UNE website.

- Hover over the **Applications** menu button in the left-hand bar and select '+' (New), **or**

- **Click the green '+ Add Content' button** in the right-hand bar and then select **Application**.

OR

Both options will open up a pop-up window with a selection of Application type templates. ***Please ensure you have enabled pop-ups in your browser.***

Pure lists nine (9) Application Types, with some types split further into sub-types.

- Grant
- Consultancy
- Scholarship
- Travel Grant
- Expression of Interest

- Fee for Service
- Research Variation
- Fee for Service Variation
- Research Councils

Note. For Fee for Service Applications, refer to the ***Creating Fee for Service Applications User Guide.***

1. Select the appropriate Application type and sub-type – a template will open in a new window. Some fields in the template will be pre-populated with your personnel data.

In this example, we will select and work through the **Grant** Application template.
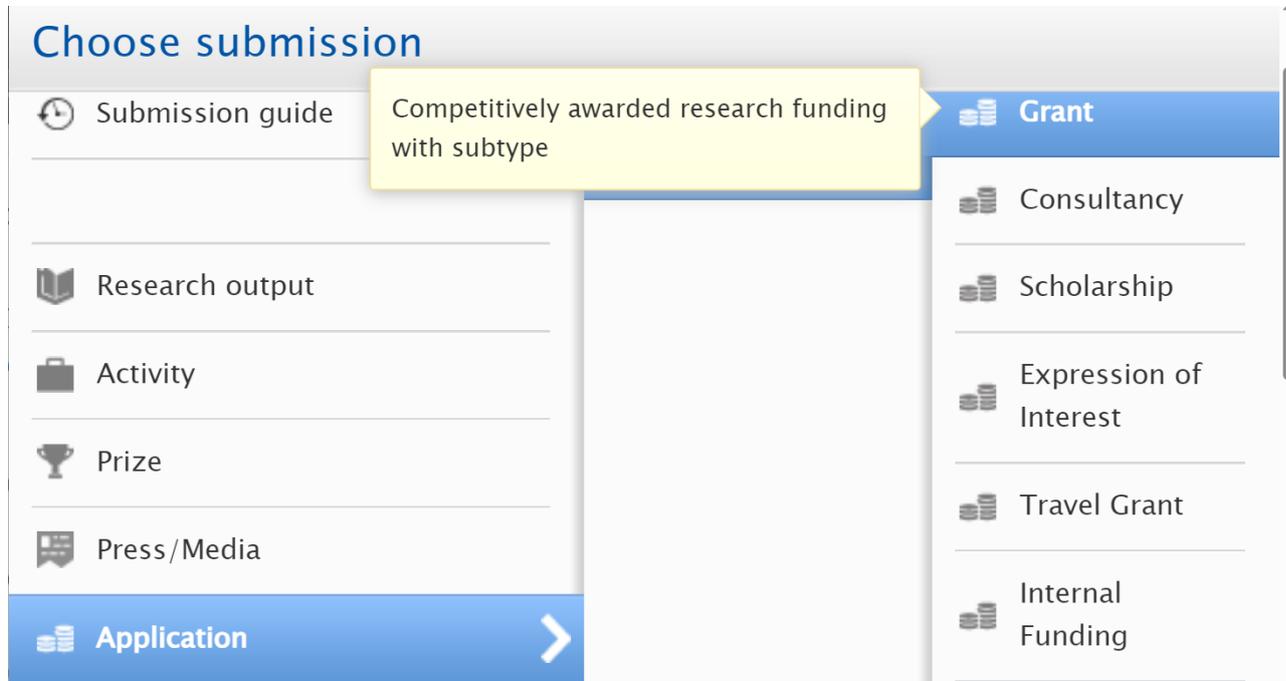
The blank template will open in a pop-up window so remember to make sure you have pop-ups enabled in your browser.

Fields marked with a red asterisk (*) are mandatory fields and must be completed before the record can be saved or progressed. There are seven (7) mandatory fields and these are common across all Application types:

- Identification (Title)
- Applicants and affiliations
- Application managed by (Managing organisational unit)
- Collaborative partners
- Fundings
- Management Fee/DVCR Research Sustainability Fee
- UNE Application Submitter

Nature of Activity

Choose the **Nature of Activity** from the drop-down menu. As the applicant, you should only choose between the first three (3) options:

- UNE-led project – where the project is led and managed by UNE.
- Jointly-led project – where the project is managed by UNE and another institution.
- Other institution-led project – where UNE is named on the application but the project is managed by another institution.

1. Click the **Add nature of activity type** button to add the Nature of Activity. It will open the dropdown menu.

2. Choose the Nature of Activity by using the drop-down menu and selecting the relevant option from the list.
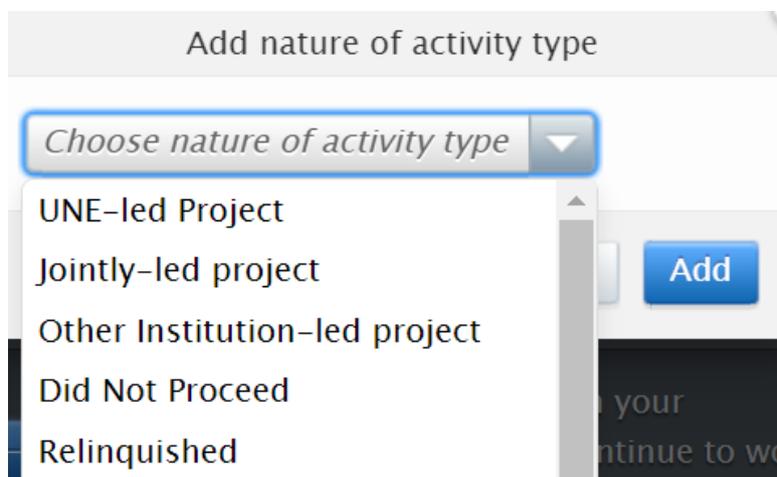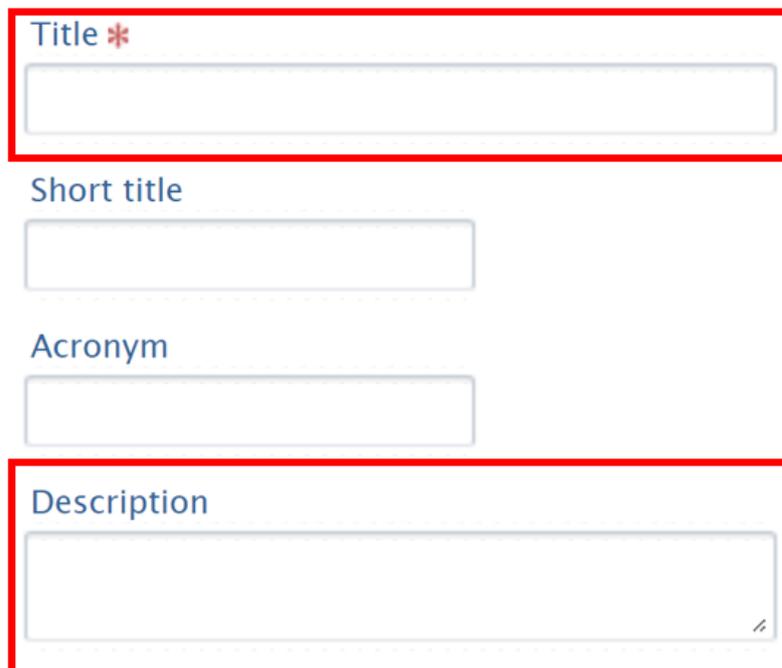
Identifications

1. Enter the title of your Application in the **Title** field.

Note. For variations, it is **essential** the chronological variation number is included in the **Title**. For example, Variation 1 is added to the title.

2. Include additional information in the **Description** field, such as a short summary of the project/proposal. The **Description** field is not mandatory, but assists in providing background information for approvers.

## *Adding/editing Applicants*

Add **applicants** here. By default, you will be listed first as the UNE Lead investigator.

There are two methods to add applicants to an Application.

1. Clicking on the **Add person icon button** enables you to directly search the UNE Pure database in the Application for internal UNE persons.

   OR

2. Clicking the **Add person** button opens a pop-up where you can search the UNE Pure database before assigning roles.
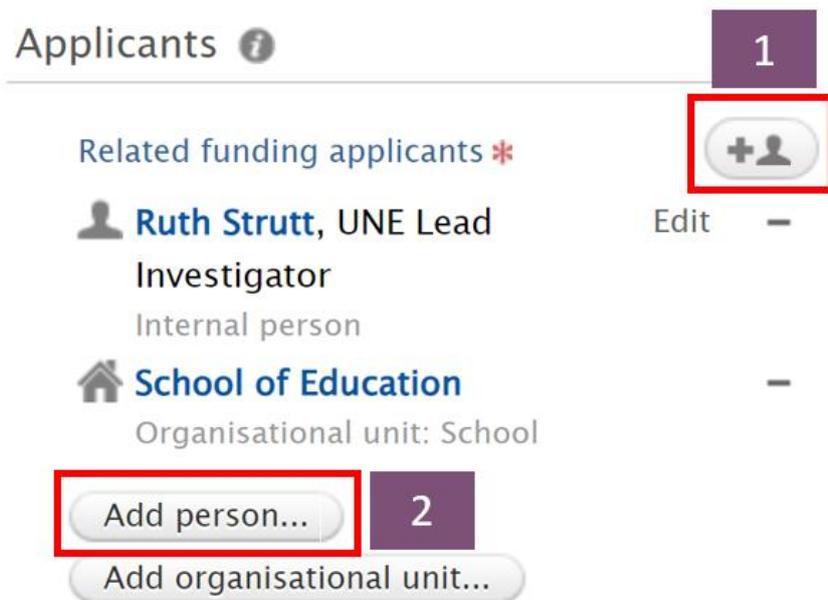
You are also able to search for external non-UNE persons if they have already been added previously to a Pure content item. If they are not listed, a new external person can be added to the Pure database. **Check the database first before creating a new external person.**
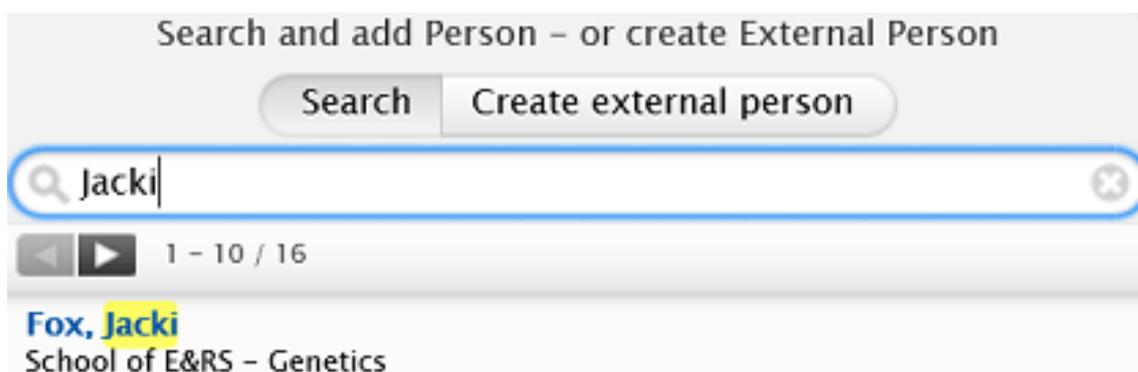
3. Once you have selected the person, another pop-up opens – this is the Edit person window, where you can:

    a. edit the **role** and **affiliation** on the project.

    b. You can also identify the person's **academic ownership** and **planned research commitment** in this window by adjusting the sliding scales.

    c. Click **Create** to save your additions.

d. If an external applicant (non-UNE person) is **not** found in the UNE Pure database, then you can **create an external person**. To do this, click on **Create external person** via either of the previous buttons (steps 1-2) and a pop-up will appear where you can create the record.

4. To edit the details of an applicant, click **Edit** to open the Edit person window.

5. Click **Update** to save the changes and close the window.

The updated information will appear in the Applicants section of the template. In this view, you can also change the order of appearance for each applicant by using the up/down arrows.

Adding/editing Managing organisational unit

The application approval route involves pre-approvers from your Faculty research support team and final approvers, who are generally Heads of School or Deans of Faculty.

The approval route is derived from the **Managing organisational unit**, specified in the **Application managed by** field, and defaults to the primary HR affiliation of the first named applicant. If the Application is to be managed by another organisation affiliation, you can change this:

1. Click on **Change organisation** to reveal a drop-down search menu of organisational units.

2. The organisational units visible in the drop-down menu default to all active appointments recorded in the UNE HR system, but you can also search for other organisations within the database.

In this example, the Animal Genetics and Breeding Unit has been selected to replace the School of Education.

3. The updated information will appear in the **Application managed by** section of the template.

Adding/editing Collaborative partners

By default, **No** is selected for collaborative partners and this indicates that the application involves UNE personnel only.

1. To indicate that the application involves collaborative partners external to UNE, click **Yes**. This will set UNE as the **Lead** collaborator and reveals an **Add collaborator** button.

2. Click **Add collaborator** button to open a pop-up window, from which you can search the UNE Pure database for external organisations.

3. Selecting a collaborator adds the external organisation to the Application. By default, UNE remains set as the Lead. – To mark the external organisation as the Lead, click **Mark as lead**.
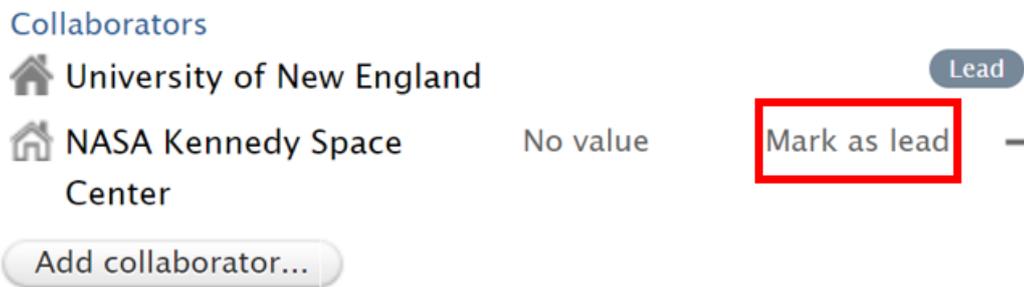
4. In a similar way to applicants, you can create new external organisations as collaborators. Click on **Create external organisation** in the **Add collaborator** pop-up. From here you can create the record.

Note: Before creating an external organisation, **please check with the Grants team** (grants@une.edu.au) that the organisation doesn't already exist under another name. This prevents duplicates. Types of organisations include:

- Research grants
- Awards
- Funding body
- External collaborations
- Publisher
- Commissioned by
- Research funding body

- Fee funding body
- Academic
- Corporate
- Government
- Medical
- Court

Adding/editing Fundings

Fundings is where you will indicate the **source of funding** for your application and the **amount of funding** you are applying for.
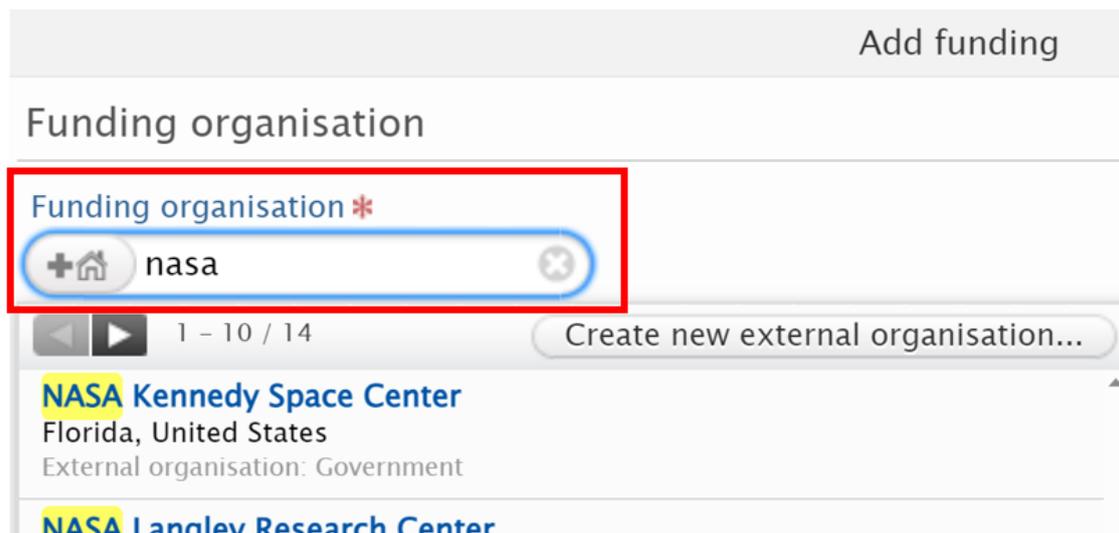
Please note: If you are applying for UNE in-kind contributions, you will need to add **two separate fundings** to your Application: the organisation offering the grant funding **and** the in-kind contribution from UNE.

1. In the Application, scroll down to Fundings and click on **Add funding**.
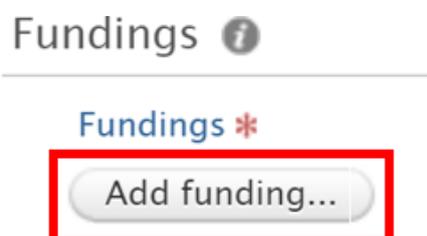
2. A pop-up window will open where you can select your **Funding organisation** from the UNE Pure database. If the organisation is not listed, you can create a new external organisation using the same method as creating an external organisation for collaborators.

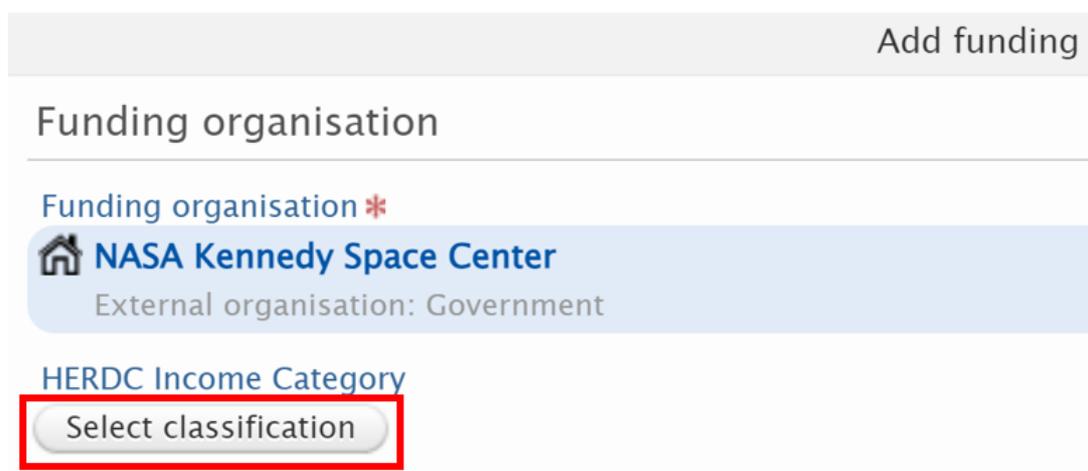In this example, NASA has been chosen as the **Funding organisation**.

Note: for **UNE in-kind contributions**, select 'University of New England' as your Funding organisation.

3. Identify the **HERDC Income Category** by clicking the **Select classification** button.

4. This will open a pop-up window for you to choose the classification from a list of options. Selecting the name of the category will add the classification to the HERDC Income Category in the Add funding window.

In this example, NASA is classified as 3.8 International government (other).

5. The next step is to select either **Financial** or **In-kind** as the type of funding, and to enter the **Applied amount** (or estimated value). Pure defaults to Financial funding types.

Comparison examples of the different fields for each type are shown below.

a. In this example, **Financial** is selected and the applied amount is $500,000. The applied amount is always entered in Australian dollars (AUD).

b. In this example, **In-Kind** is selected and the applied amount is $10,000. The applied amount is always entered in Australian dollars (AUD).

Note. A description for how this money will be used can be added in the **Description** text box.
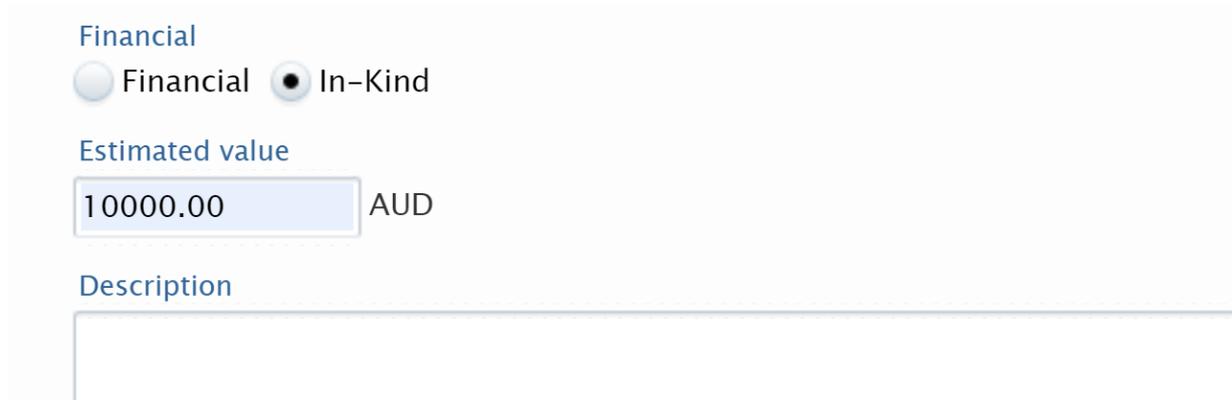
Financial
○ Financial ● In–Kind

Estimated value
10000.00   AUD

Description

The final step is to add a **Budget** for the funding being applied for. This is understood to be a preliminary budget, and is subject to change should the funding be awarded.

6. To add a budget, click the **Add budget** button in the Budgets section of the window.

Budgets

Add budget...
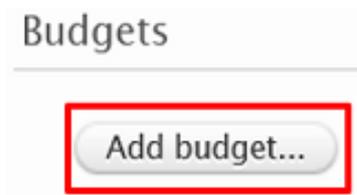
Note: in this section, **the Organisation refers to the Managing Organisational Unit** (i.e. the Faculty that will be handling the funding) that was listed earlier in your Application.

7. Click the Add organisation icon button to reveal a drop-down menu of UNE organisations already affiliated with the Application.

8. Click on the organisation name to add it to the budget.

Organisation

+🏠

School of Education
Faculty of HASS & Education
Organisational unit: School
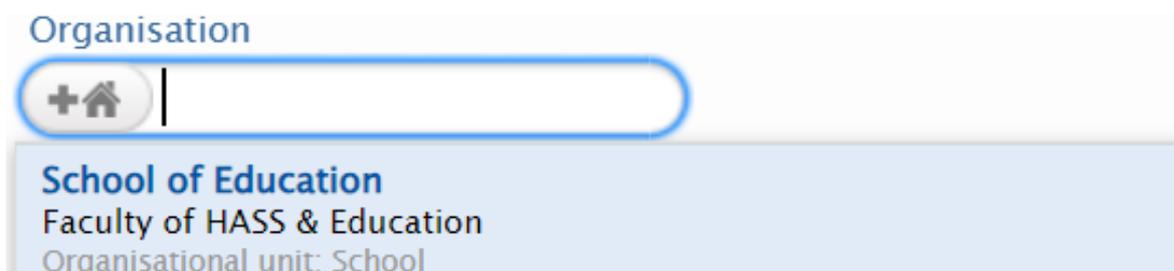
Add **budget line items** to your budget. The line items listed include:

- Personnel salary (project staff and assistants)
- Salary (academic staff salary)
- Property Plant and Equipment
- Travel
- Scholarships, Sponsorship and Prizes
- Scholarship Operating Expenses
- IT and Communications
- Marketing
- Professional Fees and Advisory Services
- Teaching and Research
- Contribution to Others
- University Sustainability Fee
- In-kind Salary
- In-kind DVCR Stipend
- In-kind Operational Expenses

9. From the dropdown menu, select the relevant budget line item for your expense and click **Add line**.

In this example, **Travel** has been selected from the list of line items.
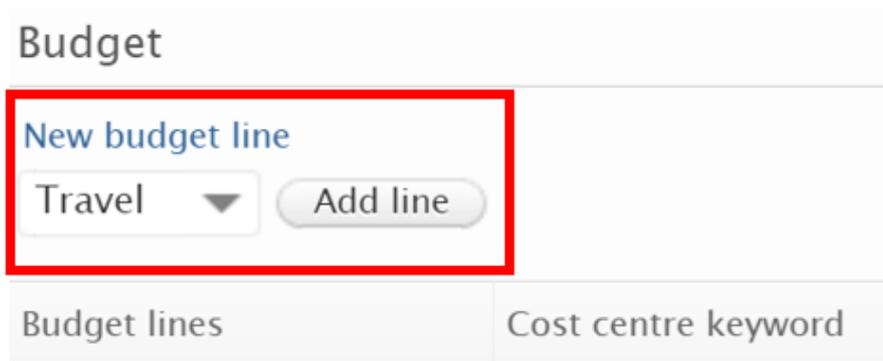
10.	The next step is to:

    a. Add a **specification** in the text box for that budget line.

    b. Add a **dollar amount for the relevant year**.

In this example, the budget line is for travel to and from research site, which costs $20,000 in 2023.

Specification	**10a**	Budget AUD	**10b** 2023 −
Travel to and from research site		0	20,000
		0	**20,000**

11.	Click the + icon to add a dollar amount for another year in the same budget line, and click **Add** to add the year.

In this example, another $20,000 is allocated for the same travel in 2024.

12.	To remove an entire budget line, click **Remove**.

13.	Repeat steps 9-12 to add more line items to the budget.

14.	Once you have entered all your budget lines, click **Create** to save and close the window. You will return to the Fundings window.

	Budget AUD	2023 −	2024 −	**11** +	**12**
site	20,000	20,000	20,000		Remove line
	20,000	**20,000**	**20,000**		

14

Cancel | Create

15. Your Budget is now attached to your Funding source.

16. Click **Create** to save the budget to the Fundings section in the Application.
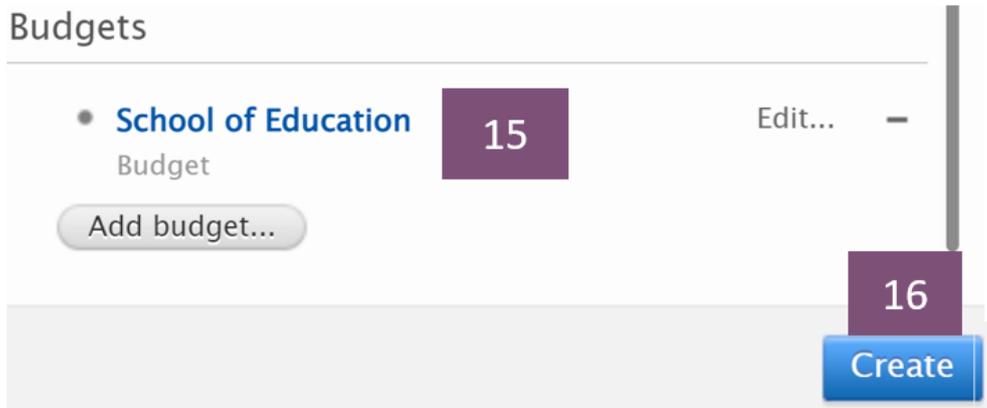
17. If you want to edit the budget you have created, click **Edit** next to the funding source you wish to update.

18. This will reopen the **Edit funding** window, where you can edit the attached budgets. Click **Edit** next to the budget you wish to change.

19. Click **Update** to save all changes.
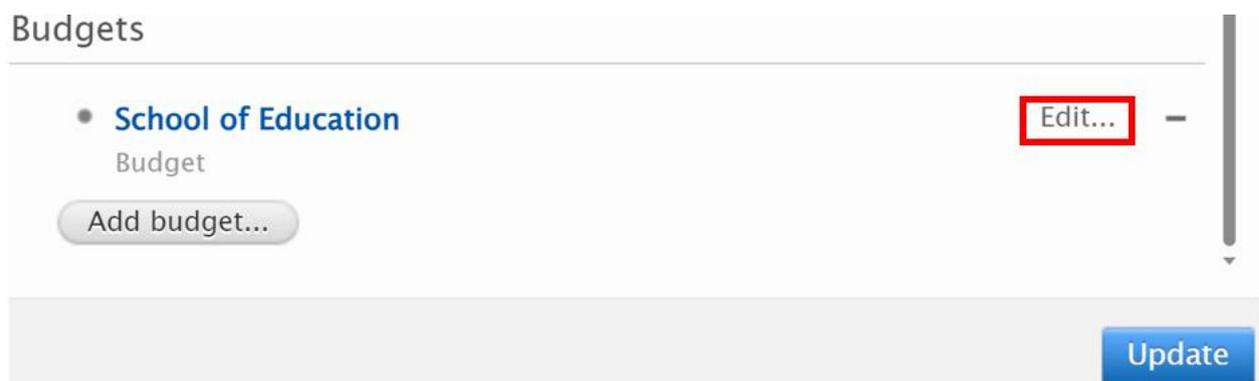
20. A **Budget (Financial Overview)** section will be visible in the reading and editing layouts of the Application. This example shows the budget in the editing layout under the **Fundings** section.

Submission deadline

Add the **Submission deadline** using the calendar selection tool. This date should be the deadline from the funding body, not the UNE internal deadline.

Funder status

Next, select the **Funder status**. **Leave this blank until the application has been submitted.**

1. If you have submitted the funding proposal to the funding body, select the date you submitted it from the calendar selection tool.

2. Then select the **Pending** radio button in the Funder reply.

Funder status

Date submitted
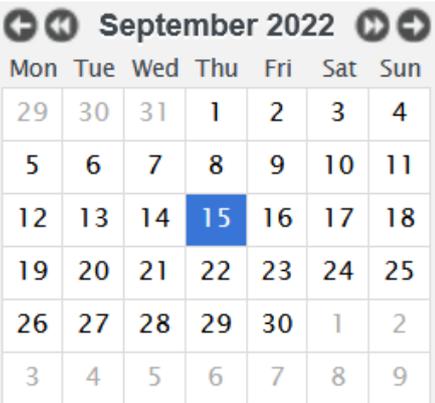
1   31/08/2022

Example: 21/10/2002

Funder reply

2   ● Pending   ○ Awarded   ○ Unsuccessful

Life cycle

In the **Life cycle** section of the Application, input the **Expected start date** and **Expected end date** of the project using the calendar selection tool.

Life cycle ℹ

Exp. start date

01/11/2022

Example: 21/10/2002

Exp. end date

01/11/2024

Example: +12 is 12 month
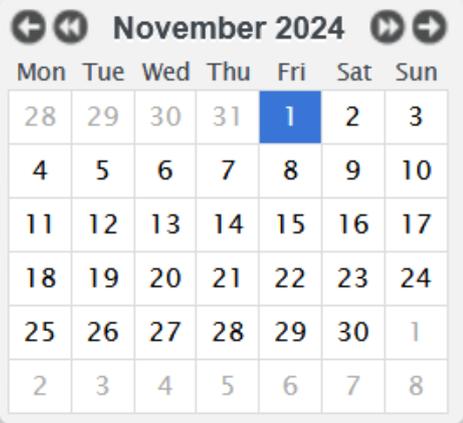
November 2024

Mon	Tue	Wed	Thu	Fri	Sat	Sun
28	29	30	31	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	1
2	3	4	5	6	7	8

Milestones ℹ

Attaching documents to your Application

Depending on your Application requirements, you may need to upload supporting documentation prior to submitting the application for approval. These documents can include, but are not limited to:

- Draft application
- Ethics application
- Data Management Plan
- Risk Assessment

- Conflicts of Interest Declaration
- External budgets
- Email approvals

This is not a mandatory field for the system – you can prepare your application, save it, and then return to the application in Pure to upload your supporting documentation. **Please note,** your application may not be approved without the relevant documentation attached.

1. In the Application, scroll down to **Documents** and click on **Add document**.

DOCUMENTS

Please attach all relevant documentation to this application including but not limited to;

- Draft Application
- Ethics Application
- Data Management Plan
- Risk Assessment
- Conflicts of Interests
- External Budgets
- Email approvals

For further information regarding UNE Ethics Information, Research Data Management Policy, Risk Assessment Policy, and Conflicts of Interest policy, please see here at UNE's Ethics, Grants & Research Integrity site
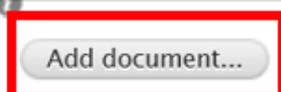
Add document...

2. A pop-up will open where you can drag a file or browse your computer.

3. You will also need to select a document **Type**.

4. Click **Create** to save and close the pop-up.

Adding Related Applications and Awards

If you have Applications or Awards related to this project already in Pure, you can relate them to your Application. This is particularly relevant for Expressions of Interest/Proposals and Variations.

1. Click the **Add related application** button and search the title of the **related Application** in the search bar – select the relevant item from the list to link it to your current Application.

2. Repeat this process to link any **related Award**s to your Application – this is **essential for Variations**
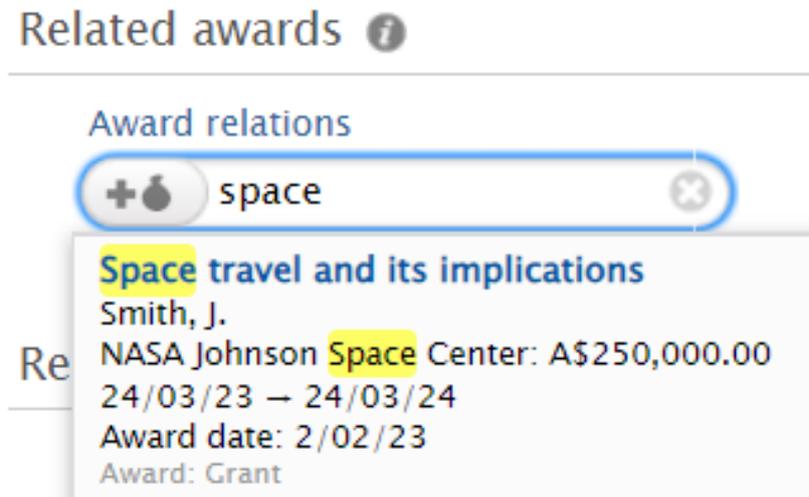
Adding/editing Discipline assignments

The Discipline assignments section is where you'll specify your Australian and New Zealand Standard Research Classification (ANZSRC) codes for your research. These are broken down into **Types of Activity**, **FOR Codes** and **SEO Codes**. Further definitions of the classification codes can be found at the Australian Bureau of Statistics ANZSRC page.

The **2020 Types of Activity** are listed as:

- Pure Basic Research
- Strategic Basic Research
- Applied Research
- Experimental Research

1. Click on the **Add 2020 Types of Activity** button.

2. Click the Add Type of Activity icon button to search/select the **Type of Activity** you are attributing to your Application.

3. You can then define the **% apportionment** of the selected Type of Activity.

4. Click **Create** to add it to your Application.

If you are identifying more than one Type of Activity for your Application, the **total % apportionment** must equal 100.

5. Next, click the **Add 2020 Fields of Research** (FOR) button and click the **Add Field of Research icon button** to open the search bar.

You can search using text or specific FOR codes, if you already know the code you wish to use. In this example, the specific FOR code 510901 has been used to search for Astrodynamics and space situational awareness.

6. Insert the **% apportionment** into the text box.

7. Click **Create** to save the FOR Code to your Application.

Note. It is best to add a maximum of **three (3)** FOR codes and the **total % apportionment** should be 100.

8. To open the search bar, click the **Add 2020 Socio-Economic Objective** (SEO) button and click the **Add socio-economic objective icon button**

You can search using text or specific SEO codes, if you already know the code you wish to use. In this example, the text for space has been used to search for the specific SEO code for Intelligence, surveillance and space.

9. Insert the **% apportionment** into the text box and click **Create** to save the SEO code to your Application.

Note. It is best to add a maximum of **three (3)** SEO codes and the **total % apportionment** should be 100.

Adding the DVCR Research Sustainability Fee

The **DVCR Research Sustainability Fee** is a compulsory levy on all research contracts that are not classified as either HERDC Category 1 or Category 4. The fee needs to be included in the funding budget and its applicability must be declared on the Application.

1. Scroll down to the Management Fee/DVCR Research Sustainability Fee section and click the **Add Management Fee/DVCR Research Sustainability Fee** button.

Note: if you are applying for a waiver of the fee, you will need to have applied for a waiver before submitting your Application. Documents about fee waivers should be uploaded to the Application's **Documents** section.

2. This will open a pop-up window listing all of the available options. Expand the **Applicable**, **Exempt** or **Other** dropdown lists as required.

3. Click on the option that applies to your funding to add it to your Application.

4. Documentation to confirm any waivers or reduced fees should be uploaded to the **Documents** section of the Application.

Completing the Ethics & Governance Declaration

You must complete the **Ethics & Governance Declaration** and upload any supporting documentation in the **Documents** section of the Application.

The Ethics & Governance Declaration consists of four (4) sections:

- Ethics Requirements
- Research Data Management
- Risk Assessments
- Conflicts of Interest

You must supply a response for each part, and each section may require more than one response. To add a response,
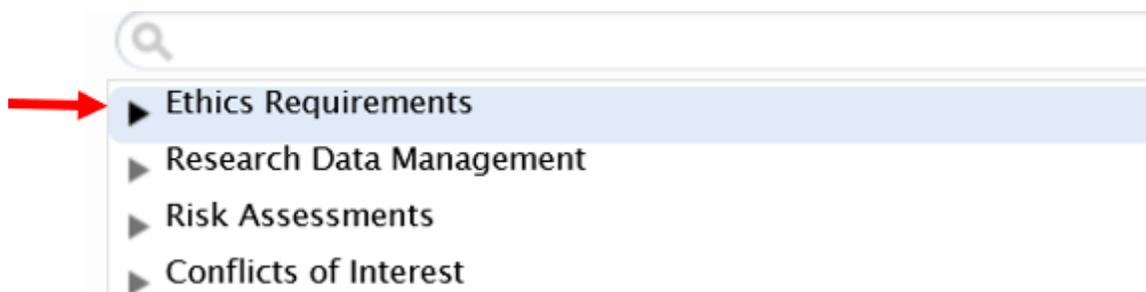
1. Click the **Add Ethics & Governance Declaration** button to open a pop-up window.

ETHICS & GOVERNANCE DECLARATION – ATTACH SUPPORTING DOCUMENTATION
USING THE ADD DOCUMENT BUTTON ABOVE

There are no associations

Add Ethics & Governance Declaration – Attach supporting documentation using the a...

2. In the pop-up window, click the arrow next to **Ethics Requirements**. This will show a drop-down list of response choices.

▶ Ethics Requirements
▶ Research Data Management
▶ Risk Assessments
▶ Conflicts of Interest

3. From the list, click the response that relates to your project. In this example, Human Ethical Approval Required has been selected – your selected response(s) will appear in the Application as a keyword.

4. If another response under the Ethics Requirements section is applicable to your project, click **the Add Ethics & Governance** button again and repeat the previous steps to select your second response.

5. Repeat the process to select responses for each section of the Ethics & Governance Declaration.

6. Use the minus (-) button to remove any keywords selected.

ETHICS & GOVERNANCE DECLARATION – ATTACH SUPPORTING DOCUMENTATION USING THE ADD DOCUMENT BUTTON ABOVE

- Ethics Requirements › **Human Ethical Approval Required**
- Ethics Requirements › **Project involves volunteers under age of 18**
- Research Data Management › **Data Management plan required**
- Risk Assessments › **Research relates to goods, services or technologies on Defence and Strategic Goods List**
- Risk Assessments › **Project involves initiative or procurement that will impact IT operations**
- Conflicts of Interest › **No conflicts of interest identified**

UNE Application submitter

To finalise your Application, you must identify who will be submitting the application to the funding body, and complete the final declaration before sending the Application to internal approvers.

1. Scroll down to the **UNE Application Submitter** section and click **Add UNE Application Submitter**.

UNE APPLICATION SUBMITTER ✱

There are no associations

Add UNE Application Submitter...

2. This will open a pop-up window. Select the option that applies to your application.

- **UNE Project Lead**

If the funding application will be submitted to the funding body by the Project Lead or Chief Investigator, select **UNE Project Lead (With Faculty & Research Services Approval)**. This means the application can be submitted direct to the funding body once the Pure Application has received approval from your Faculty and Research Services. **You will be notified of the approvals through Pure**.

- **UNE Research Services**

If the funding body requests applications on behalf of the University (e.g. Category 1 funding) or if you would like Research Services to submit the funding application to the funding body, select **UNE Research Services**. This means that once the Pure Application has completed the internal approval route, the funding application documents will be submitted to the funder by Research Services.

- **External Institution**

If UNE is not responsible for submitting the application and it will be submitted by another institution, select **External Institution**. The Pure Application will go through the internal approval route and you will be notified through Pure once it has received final approval.

Add UNE Application Submitter

- UNE Project Lead (With faculty & Research Services Approval)
- UNE Research Services

External Institution
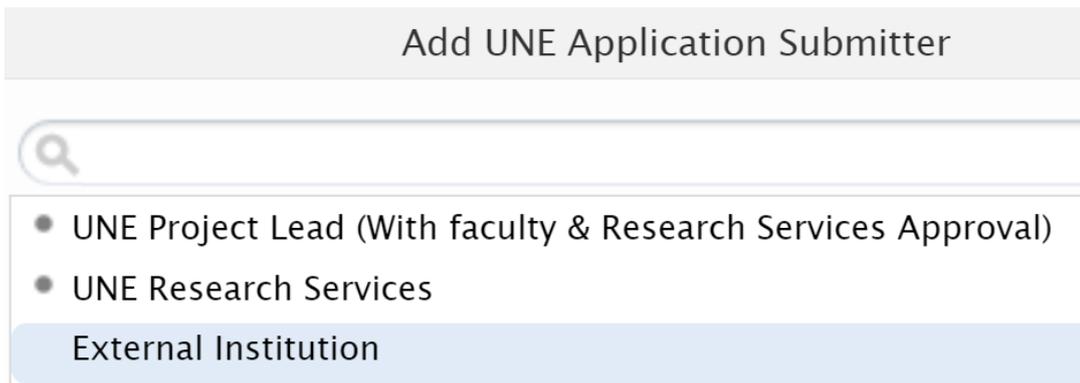
Submit Application to pre-approval

Finally, your Application can be forwarded to your Assigned Faculty pre-approvers (identified in the **Application managed by** section).

1. Hover over the grey **Application approval route** bar at the bottom of the Application window.

2. This will open the workflow menu, where you can select **Send to pre-approval**... to send the Application to your assigned pre-approver.
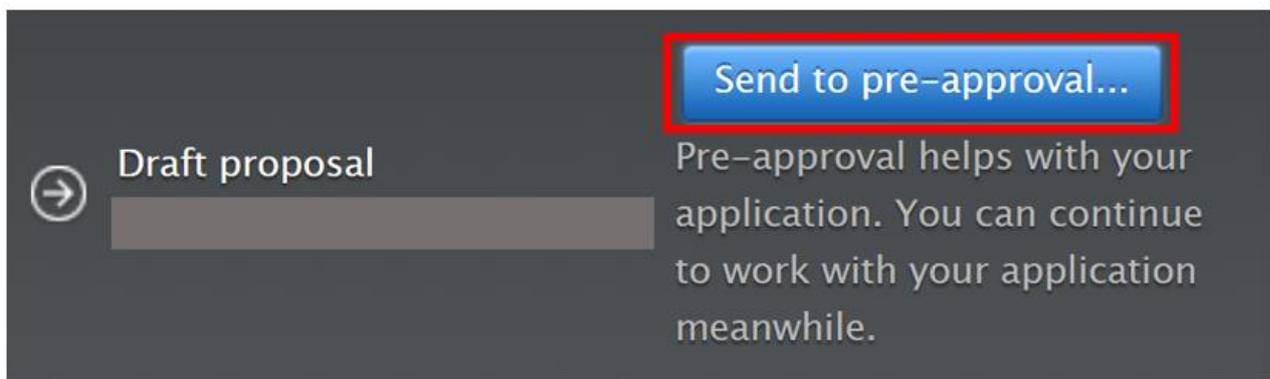
Note. For Research Centres, including the Animal Genetics and Breeding Unit and Poultry Hub Australia, you can select the **Send to Internal approval** button.
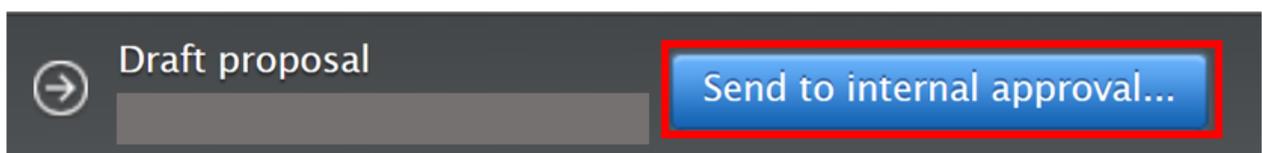
Note. Example provided for steps 3 and 4 on page 30.

3. A pop-up window will appear with a final declaration. You must **click the checkbox** to confirm you have completed all the Application requirements, and there is a comments box where you can add further information for the approvers.

In the example, a comment has been added that an APF account has been referenced in the budget and that a waiver of the DVCR Research Sustainability Fee has been approved and attached in documentation.

4. When completed, click **Send to pre-approval**.

Your assigned pre-approver will review your Application and either approve it for progression to internal approval (UNE approval route) or will request changes. You will receive a notification from Pure if your pre-approver has requested a change in your Application.

Once you have made the requested changes, you should follow the previous steps to re-submit for pre-approval.

Once your assigned pre-approver has approved your Application, it will be sent for internal approval. You will receive notifications from Pure when an internal approver is requesting further changes to your Application.

You will also receive a notification from Pure when approval has been granted for submission.