



Australian  
National  
University

# **NOTIFICATION OF INTENT TO SUBMIT - EFORM EMAILS AND OUTPUT DOCUMENTS**

Version 1

1 May 2018



## Introduction

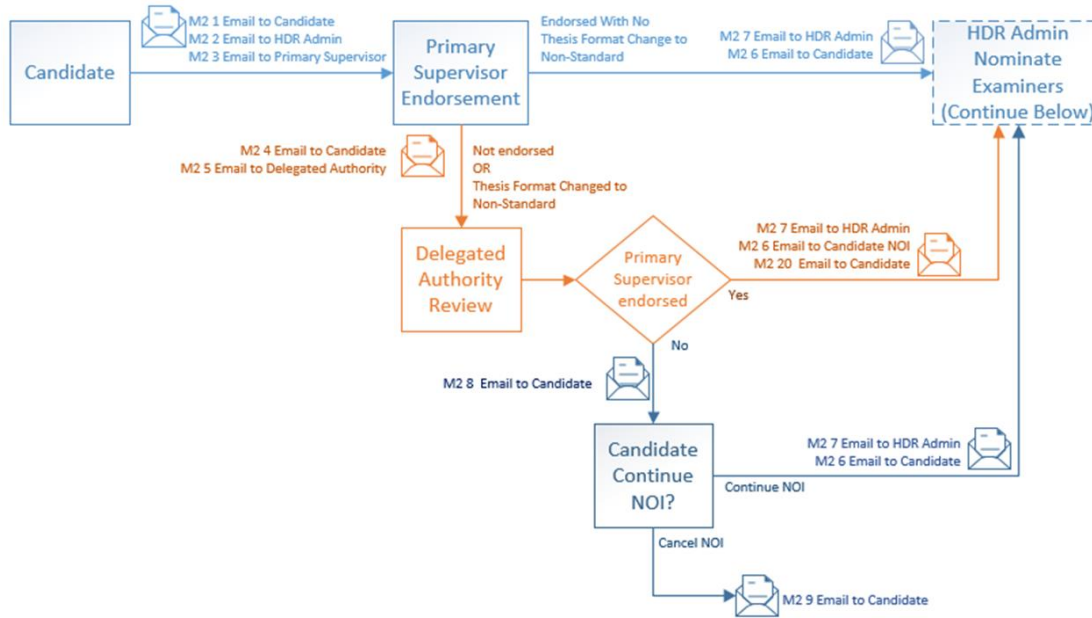
The purpose of this document is to provide detailed support information on the HDR Milestones – Notification of Intent to Submit (NOI) eForm for administrators and support staff. The guide outlines the emails generated during the process and the conditions which trigger them, as well as the output documents which are created during the process. This may be referred to for troubleshooting and end-user support.

## Contents

Introduction .....	2
Contents.....	2
1 Email Workflow.....	3
1.1 Email Workflow Diagrams.....	3
1.2 Email Details.....	4
2 Output Documents and File Storage.....	13

# 1 Email Workflow

## 1.1 Email Workflow Diagrams





1.2.2 Candidate Stage to Primary Supervisor

ID - Name	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 1. Notification of submission to candidate	Sent when a Candidate submits their NOI	Notification	For information: Notification of Intent to Submit Thesis has been received for <i>UID</i>	Candidate	eForms – Candidate Stage	<ul style="list-style-type: none"> <li>HDR Milestone Reporting PDF</li> <li>Confidentiality supporting docs</li> <li>Thesis Table of Contents</li> </ul>
M2 2. Notification of submission to HDR	Sent when a Candidate submits their NOI	Notification	For information: Notification of Intent to Submit Thesis has been received for <i>UID</i>	HDR Admin	eForms – Candidate Stage	<ul style="list-style-type: none"> <li>HDR Milestone Reporting PDF</li> <li>Confidentiality supporting docs</li> <li>Thesis Table of Contents</li> </ul>
M2 3. Login and action to Primary Supervisor (NOI)	Sent when a Candidate submits their NOI	For Action	For action: Notification of Intent to Submit Thesis has been received for <i>Name UID</i>	Primary Supervisor	eForms – Candidate Stage	<ul style="list-style-type: none"> <li>HDR Milestone Reporting PDF</li> <li>Confidentiality supporting docs</li> <li>Thesis Table of Contents</li> <li>Early Submission Evidence</li> </ul>
E 1	5 days after transition to Primary Supervisor Stage then every week for 4 weeks	Escalation	For action: Reminder - Notification of Intent to Submit Thesis has been received for <i>Name UID</i>	Primary Supervisor	eForms	

1.2.3 Primary Supervisor to Delegated Authority (When Primary Supervisor does not endorse, or the Thesis Format is changing to a non-standard format)

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 4.Outcome notification: Primary Supervisor does not support NOI (state 3)	Sent when the Primary Supervisor submits the form	Notification	Outcome notification: Notification of Intent to Submit Thesis for <i>UID</i>	Candidate Cc HDR Admin	eForms – Primary Supervisor Stage	
M2 5.Login and action to DA (No PS support and/or change WTF)	Sent when the Primary Supervisor submits the form	For Action	For action: Delegated Authority required to support thesis submission for <i>Name UID</i>	Delegated Authority	eForms – Primary Supervisor Stage	
E 3	5 days after transition to Delegated Authority Stage then every week for 4 weeks	Escalation	For action: Reminder - Delegated Authority required to support thesis submission for <i>Name UID</i>	Delegated Authority	eForms	

1.2.4 Delegated Authority Return to Candidate (When Primary Supervisor does not endorse)

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 8.Login and action to Candidate	Sent when the Delegated Authority submits the form	For Action	For action: You are required to confirm your intended thesis submission <i>UID</i>	Candidate Cc HDR Admin	eForms – Delegated Authority Stage	
E 5	2 days after transition to Candidate Stage then every week for 2 weeks	Escalation	For action: Reminder - You are required to confirm your intended thesis submission <i>UID</i>	Candidate	eForms	

1.2.5 Primary Supervisor, Delegated Authority and Candidate Stages to HDR Administrator – Nomination of Examiners

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 7.Login and action to HDR for NOE	Sent when Candidate wishes to continue NOI after the form has been returned to them by the DA	For Action	For action: Nomination of Examiners for <i>Name UID</i>	HDR Admin Cc DA, 3530	eForms – Candidate Stage	
M2 6.Outcome notification to Candidate confirming NOI	Sent when Candidate wishes to continue NOI after the form has been returned to them by the DA	Notification	Outcome notification: Notification of Intent to Submit Thesis for <i>Name UID</i>	Candidate Cc DA, Primary Supervisor, HDR Admin	eForms – Candidate Stage	
M2 7.Login and action to HDR for NOE	Sent when the Primary Supervisor submits the form	For Action	For action: Nomination of Examiners for <i>Name UID</i>	HDR Admin Cc DA, Primary supervisor	eForms – Primary Supervisor Stage	
M2 6. Outcome notification to Candidate confirming NOI	Sent when the Primary Supervisor submits the form	Notification	Outcome notification: Notification of Intent to Submit Thesis for <i>Name UID</i>	Candidate Cc DA, Primary Supervisor, HDR Admin	eForms – Primary Supervisor Stage	
M2 12.Login and action to HDR a second time when NOE returned	Sent when Primary Supervisor returns the form to the HDR Administrator	For action	For action: Further Information required on NOE for <i>Name UID</i>	HDR Admin	eForms – Primary Supervisor Stage	
M2 12. Login and action to HDR a second time when NOE returned	Sent when Delegated Authority returns the form to the HDR Administrator	For Action	For action: Reminder - Nomination of Examiners for <i>Name UID</i>	HDR Admin	eForms – Delegated Authority	



M2 20. Outcome notification to Candidate with standard format for WTF change not approved by DA	Sent when Delegated Authority does not approve change in thesis format and the Candidate's old format was standard	Notification	Outcome notification: Request to change Working Thesis Format for <i>Name UID</i>	Candidate	eForms – Delegated Authority	
E 5	5 days after transition to HDR Administrator Stage then every week for 4 weeks	Escalation	For action: Reminder - Nomination of Examiners for <i>Name UID</i>	HDR Admin	eForms	

#### 1.2.6 HDR Administrator to Primary Supervisor – Nomination of Examiners

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 10.Login and action to Primary Supervisor for NOE	HDR Administrator submits the form	For Action	For action: Nomination of Examiners for <i>Name UID</i>	Primary Supervisor	eForms – HDR Administrator	<ul style="list-style-type: none"> <li>Examiner Evidence</li> <li>Examiner Supporting Docs</li> </ul>
E 6	5 days after transition to Primary Supervisor Stage then every week for 4 weeks	Escalation	For action: Reminder - Nomination of Examiners for <i>Name UID</i>	Primary Supervisor	eForms	

**1.2.7 HDR Administrator, Primary Supervisor to Delegated Authority– Nomination of Examiners**

<b>ID</b>	<b>Trigger</b>	<b>Purpose</b>	<b>Email Subject</b>	<b>Sent To</b>	<b>Sent From</b>	<b>Attachments</b>
M2 11.Login and action to DA for NOE	Primary Supervisor submits the form or HDR Admin if Primary Supervisor Step is skipped	For Action	For action: Nomination of Examiners for <i>Name UID</i>	Delegated Authority	eForms – Primary Supervisor	<ul style="list-style-type: none"> <li>• Examiner Evidence</li> <li>• Examiner Supporting Docs</li> <li>• Confidentiality Supporting docs</li> </ul>
E 7	5 days after transition Delegated Authority Stage then every week	Escalation	For action: Reminder - Nomination of Examiners for <i>Name UID</i>	Delegated Authority	eForms	

**1.2.8 Delegated Authority to Associate Dean**

<b>ID</b>	<b>Trigger</b>	<b>Purpose</b>	<b>Email Subject</b>	<b>Sent To</b>	<b>Sent From</b>	<b>Attachments</b>
M2 13.Login and action to AD for NOE	Delegated Authority submits the form	For Action	For action: Nomination of Examiners for <i>Name UID</i>	Associate Dean	eForms – Delegated Authority	<ul style="list-style-type: none"> <li>• Examiner Evidence</li> <li>• Examiner supporting docs</li> <li>• Confidentiality supporting docs</li> </ul>
E 9	5 days after transition Delegated Authority Stage then every week	Escalation	For action: Reminder - Nomination of Examiners for <i>Name UID</i>	Associate Dean	eForms	

**1.2.9 Associate Dean to Dean HDR – Thesis Access Restriction**

<b>ID</b>	<b>Trigger</b>	<b>Purpose</b>	<b>Email Subject</b>	<b>Sent To</b>	<b>Sent From</b>	<b>Attachments</b>
M2 14.Login and action to Dean if apply RA	Associate Dean Submits the form and the Candidate has requested Thesis Access Restrictions	For Action	For action: Thesis Access Restriction for <i>Name UID</i>	Dean HDR	eForms – Associate Dean	<ul style="list-style-type: none"> <li>• Confidentiality supporting docs</li> </ul>
E 10.	5 days after transition then every week for 4 weeks	Escalation	DEAN	Dean HDR	eForms	

1.2.10 Associate Dean Return to Delegated Authority

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 19.Login and action to DA from AD	Associate Dean returns the form to the Delegated Authority for further amendments	For Action	For action: Further Information required on Nomination of Examiners for <i>Name UID</i>	Delegated Authority	eForms – Associate Dean	

1.2.11 Associate Dean, Dean HDR to EGAP

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 15.Login and action to EGAP	Associate Dean / Dean HDR Submits the form and the Candidate has NOT requested Thesis Access Restrictions	For Action	For action: Nomination of Examiners Complete for <i>Name UID</i>	EGAP	eForms – Associate Dean or Dean HDR	<ul style="list-style-type: none"> <li>NOE Summary</li> </ul>
M2 16.Outcome notification Dean approves RA to Candidate	Dean HDR Submits the form with Restricted Access Approval	Notification	Outcome notification: Thesis Restricted Access request for <i>Name UID</i>	Candidate Cc DA, Primary Supervisor, HDR Admin	Dean Hdr	
E 11	5 days after transition then every week	Escalation	For action: Reminder - NOE Complete for <i>Name UID</i>	EGAP	eForms	

1.2.12 Finish State Emails

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
M2 9. Outcome notification to Candidate decides not to proceed with NOI	Triggered when Candidate does not wish to continue NOI without support from their Primary Supervisor	notification	Outcome notification: Notification of Intent to Submit Thesis for	Candidate Cc DA, Primary Supervisor, HDR Admin	eForms – Candidate Stage	
M2 17. Outcome notification EGAP complete NOI Milestone	Triggered when EGAP completes the form	notification	Outcome notification: Examiners Appointed for <i>Name UID</i>	Candidate Cc DA, Primary Supervisor, HDR Admin	eForms EGAP Stage	All



## 2 Output Documents and File Storage

The Output Documents generated by the form, and the Supporting Documents uploaded during the form process are stored in the Electronic Records Management System (ERMS). All documents are stored within the **Student File** on the system. Students cannot access the files directly but can request for a file to be retrieved by their supervisor. For detail on how to access the files, refer to: <https://services.anu.edu.au/information-technology/software-systems/electronic-records-management-system>. NOTE: The Form ID and the student ID is included in the title of each Milestone Document. For Supporting Documentation the Form ID is appended with an 'A'. These may be used to search for records within the system.

### 2.1.1 Output Documents and Attached Supporting Documentation

Document Title	Uploaded By
<i>Form ID</i> HDR Milestone Reporting – Notification of Intent to Submit - <i>UID Student Name</i>	Form Generated Document
<i>(Form ID)A</i> HDR Milestone Reporting – Information for Examiners – Student ( <i>UID</i> ) – row number	HDR Administrator
<i>(Form ID)A</i> HDR Milestone Reporting – Examiner Evidence – Student ( <i>UID</i> ) – row number	HDR Administrator, Primary Supervisor. Delegated Authority
<i>(Form ID)A</i> HDR Milestone Reporting – Examiner Supporting Document – Student ( <i>UID</i> ) – row number	HDR Administrator, Primary Supervisor. Delegated Authority
<i>(Form ID)A</i> HDR Milestone Reporting Student ( <i>UID</i> ) – Confidentiality Supporting Document – Student ( <i>UID</i> ) – row number	Candidate
<i>(Form ID)A</i> HDR Milestone Reporting Dean HDR – Confidentiality Supporting Document – Student ( <i>UID</i> ) – row number	Dean HDR



### 2.1.2 Sample Output Documents

The Output Documents generated by the eForm are built on the same template. Sections are visible or hidden depending on the type of Milestone as well as inputs provided by the users.

## Milestone Record

DATE	<i>Date</i>
OUTCOME	<i>Rating or RIT Outcome</i>
FORM ID	<i>Form ID</i>

### Candidate details

<b>Name</b>	
<b>UID</b>	
<b>Residency</b>	
<b>Citizenship</b>	

### Candidature details

<b>Intensity</b>	
<b>External Candidate</b>	
<b>Maximum Submission Date</b>	
<b>Program Start Date</b>	



## Thesis details

<b>Working Thesis Format</b>	
<b>Working Thesis Title</b>	
<b>Intended Submission Date</b>	

## Thesis format change

<b>Thesis format change request?</b>	
<b>Previous thesis format</b>	
<b>Requested thesis format</b>	
<b>Approved thesis format</b>	
<b>Candidate justification</b>	
<b>Primary Supervisor endorsement?</b>	
<b>Primary Supervisor comments</b>	
<b>Delegated Authority approval?</b>	
<b>Delegated Authority comments</b>	

<b>Publications / Papers</b>	<b>Author details</b>
Title: Name of journal: Current status: {{DateDynamic}}: {{Word count}}: Contribution: Rejected by: Additional Comments:	



## Thesis title, abstract and table of contents

<b>Working thesis title change?</b>	
<b>Updated thesis title</b>	
<b>Previous thesis title</b>	
<b>Thesis abstract</b>	
<b>Candidate examiner recommendations</b>	
<b>Table of Contents</b>	

## Restriction Summary

<b>Restricted Access Application?</b>
<b>Type of request</b>
<b>Duration requested</b>
<b>Part(s) of thesis requested</b>
<b>Dean HDR Approval?</b>
<b>Type of restriction awarded</b>
<b>Duration awarded</b>

## NOI Declaration

*\*I confirm that no material included in my thesis has been previously submitted by me for the purpose of obtaining a degree from any university or tertiary educational institution.\**

*\*I confirm that to the best of my knowledge the information provided in this eForm is correct.\**





Please access in the Candidate's restricted folder for additional information about the request for thesis restriction.

## Submission Support

<b>Primary Supervisor support?</b>	
<b>Candidate Decision</b>	

### Milestone details

Milestone	Date	Completed

### Workflow history

User	Workflow step	Completed



# NOE Summary

DATE

FORM ID

## Candidate details

<b>Name</b>	
<b>UID</b>	
<b>Residency</b>	
<b>Citizenship Status</b>	
<b>Visa Status</b>	

## Candidature details

<b>Intensity</b>	
<b>External Candidate</b>	
<b>Maximum Submission Date</b>	
<b>Program Start Date</b>	
<b>Minimum Submission Date</b>	
<b>Primary Supervisor</b>	
<b>Academic Career</b>	
<b>Academic program</b>	

## Milestone details

<b>Milestone</b>	<b>Date</b>	<b>Completed</b>	<b>Grade</b>
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## Workflow history

User	Workflow step	Date created

## Examiner 1

<b>Title</b>	
<b>First name</b>	
<b>Last name</b>	
<b>Phone number</b>	
<b>Email address</b>	
<b>Country of residence</b>	
<b>Address</b>	
<b>Country of citizenship</b>	
<b>Organisation</b>	
<b>Location of Organisation</b>	
<b>ORCID</b>	
<b>Summary of the nominee's current appointment, research experience, publications and detailed experience as both a supervisor and an examiner of theses. This may include the nominee's CV.</b>	
<b>Evidence of prior communication</b>	
<b>Restrictions in availability</b>	
<b>HDR Administrator</b>	



Has the nominee published or closely collaborated with the Candidate or a supervisor of the candidate in the last 5 years?	
Details of the collaboration	
Conflicts of interest identified?	
Details of conflict of interest	
Do you have any concerns about Sanctions in relation to this Examiner?	
Comments related to the Sanctions	
General comments	
<b>Primary Supervisor</b>	
Has the nominee published or closely collaborated with the Candidate or a supervisor of the candidate in the last 5 years?	
Details of the collaboration	
Conflicts of interest identified?	
Details of conflict of interest	
Do you have any concerns about Sanctions in relation to this Examiner?	
Comments related to the Sanctions	
General comments	
<b>Delegated Authority</b>	
Has the nominee published or closely collaborated with the Candidate or a supervisor of the candidate in the last 5 years?	
Details of the collaboration	
Conflicts of interest identified?	



Details of conflict of interest	
Do you have any concerns about Sanctions in relation to this Examiner?	
Comments related to the Sanctions	
General comments	

## Associate Dean Approval

Examiner	
Approve	
General comments	
Has the nominee published or closely collaborated with the Candidate or a supervisor of the candidate in the last 5 years?	
Details of the collaboration	
Conflicts of interest identified?	
Details of conflict of interest	



# Examiner Information

DATE

FORM ID

## Candidate Information

<b>Name</b>	
<b>UID</b>	
<b>Academic Program</b>	

## Supervisory Panel details

<b>Name</b>	<b>Role</b>



Thesis Information

<b>Title</b>	
<b>Format</b>	
<b>Abstract</b>	
<b>Table of Contents</b>	