



Australian
National
University

THESIS DISTRIBUTION AND EXAMINATION - EFORM EMAILS AND OUTPUT DOCUMENTS

Version 1

5 October 2018



Introduction

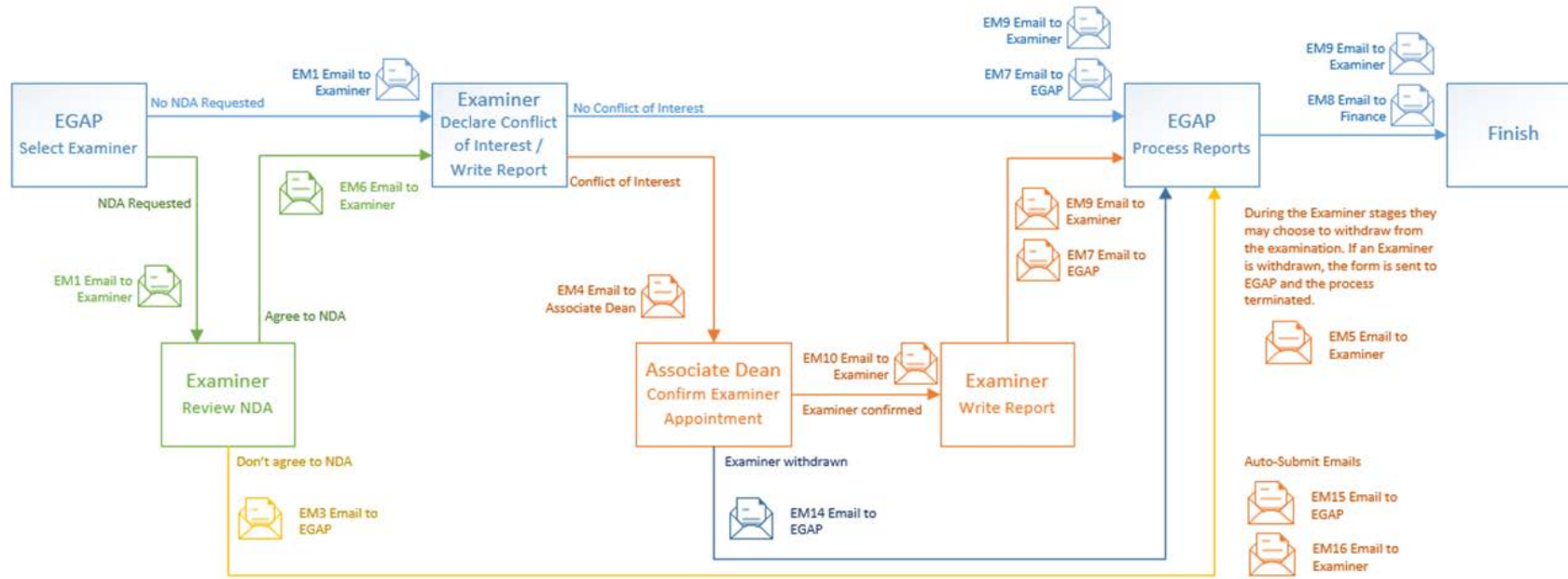
The purpose of this document is to provide detailed support information on the HDR Milestones – Thesis Distribution and Examination eForm for administrators and support staff. The guide outlines the emails generated during the process and the conditions which trigger them, as well as the output documents 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.....	11

1 Email Workflow

1.1 Email Workflow Diagrams



1.2 Email Details

1.2.1 Select Examiner state -> Review NDA state

ID - Name	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM1: login and action to examiner	Sent when EGAP submits Select Examiner state where examiner is required to agree to an NDA	For Action	For action: Thesis ready for examination for <i>Candidate Name</i>	Examiner	eForms – Select Examiner State	
ES 3 - Login and Action to Examiner after 5 workdays	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder – Thesis ready for examination for <i>Candidate Name</i>	CC: Examiner	eForms	
ES 1 - Login and Action to Examiner after two months	2 months after transition	Escalation	For action: Reminder – Examination report due for <i>Candidate Name</i>	CC: Examiner, EGAP	eForms	

1.2.2 Select Examiner / Review NDA states -> Declare conflict of interest and write report state.

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM1: login and action to examiner	Sent when EGAP submits Select Examiner state where examiner is NOT required to agree to an NDA	For Action	For action: Thesis ready for examination for <i>Candidate Name</i>	Examiner	eForms – Select Examiner State	
EM6.Login and action to Examiner for state 3 (FC and agree to NDA)	Sent when examiner agrees to NDA	For Action	For action: Examination report of thesis for <i>Candidate Name</i>	Examiner	eForms – Review NDA State	
ES 3 - Login and Action to Examiner after 5 workdays	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder – Thesis ready for examination for <i>Candidate Name</i>	CC: Examiner	eForms	
ES 7 - Login and Action to Examiner two weeks before due	42 days after transition	Escalation	For action: Reminder – Examination report due within the next two weeks for <i>Candidate Name</i>	CC: Examiner	eForms	
ES 1 - Login and Action to Examiner after two months	Two months after transition	Escalation	For action: Reminder – Examination report due for <i>Candidate Name</i>	CC: Examiner	eforms	
ES 8 - For information to HDR Admin when due to extend another month	Two months after transition	Escalation	For information: Examiner given a one month extension for thesis examination for <i>Candidate Name (UID)</i>	CC: Examiner, Delegated Authority, EGAP	eforms	

1.2.3 Declare conflict of interest state -> Confirm examiner appointment state

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM4. For action notification to AD due to COI	Sent when Examiner declares conflict of interest	For Action	For action: Examiner identified conflict of interest for <i>Candidate Name UID</i>	Associate Dean	eForms – Select Examiner State	
ES 11 - For action to AD in S4	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder - Examiner identified conflict of interest for <i>Candidate Name (UID)</i>	Associate Dean Cc: Delegated Authority, HDR Admin	eForms	

1.2.4 Confirm examiner appointment state -> Write examiner report state

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM10.Login and action to examiner when confirm appointment and COI is agreed	Sent when Associate Dean confirms the examiner appointment after conflict of interest	For Action	For action: Examination report of thesis for <i>Candidate Name</i>	Examiner	eForms – Confirm Examiner Appointment	
ES 6 - Login and Action to Examiner S5 reminder	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder – Examination report of thesis for <i>Candidate Name</i>	CC: Examiner	eForms	
ES 7 - Login and Action to Examiner two weeks before due	42 days after transition	Escalation	For action: Reminder – Examination report due within the next two weeks for <i>Candidate Name</i>	CC: Examiner	eForms	
ES 1 - Login and Action to Examiner after two months	Two months after transition	Escalation	For action: Reminder – Examination report due for <i>Candidate Name</i>	CC: Examiner	eforms	
ES 8 - For information to HDR Admin when due to extend another month	Two months after transition	Escalation	For information: Examiner given a one month extension for thesis examination for <i>Candidate Name (UID)</i>	CC: Examiner, Delegated Authority, EGAP	eforms	

1.2.5 Review NDA / Confirm Examiner appointment / Write reports states -> Process Responses state

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM3. Login and Action to EGAP when examiner not sign NDA after state 2	Sent when examiner does not agree to the NDA	For Action	For action: Non-disclosure agreement not ticked for <i>Candidate Name UID's</i> thesis	EGAP	eForms – Review NDA state	
EM14.Login and action to EGAP after AD rejected COI	Sent when Associate Dean declines the examiner appointment after conflict of interest	For Action	For action: Associate Dean did not approve examiner's conflict of interest for <i>Candidate Name UID</i>	EGAP	eForms – Confirm Examiner Appointment	
EM7.Login and action to EGAP after examiner writes report or no COI	Sent when examiner completes report without conflict of interest	For Action	For action: Examiner response for <i>Candidate Name (UID)</i>	EGAP	eForms – Declare Conflict of Interest / Write report	
EM5.Withdrawn notification to Examiner	Sent when Examiner withdraws from the examination or when Associate Dean declines the examiner appointment after conflict of interest.	Notification	For information: Withdrawal from examination of thesis for <i>Candidate Name UID</i>	Examiner, Cc: Delegated Authority, HDR Admin	eForms – multiple states	
EM9.Outcome notification to examiner when reports submitted or EGAP select to pay anyway due to auto submit	Sent when examiner completes report without conflict of interest	Notification	For information: Thank you for examining thesis for <i>Candidate Name</i>	Examiner	eForms – Declare Conflict of Interest / Write report	<ul style="list-style-type: none"> Examination Report for DA/AD

ES 4 - Login and Action to EGAP NDA not signed in S6	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder – Non-disclosure agreement not ticked for <i>Candidate Name 's (UID)</i> thesis	EGAP	eForms	
ES 5 - Login and Action to EGAP report included or withdraw in S6	5 days after transition, then every week for 4 weeks	Escalation	For action: Reminder – Examiner response for <i>Candidate Name (UID)</i>	EGAP	eForms	

1.2.6 Process responses state to finish

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM8. For action to Finance	When Form is complete with examiner payment	For Action	For action: Examiner payment details for <i>Candidate Name UID</i> thesis examination	Finance	eForms	<ul style="list-style-type: none"> • Examiner ABN Withholding form • Examiner Invoice Uploads • Examiner Payment Request
EM9.Outcome notification to examiner when reports submitted or EGAP select to pay anyway due to auto submit	When Form is complete with examiner payment	Notification	For information: Thank you for examining thesis for <i>Candidate Name</i>	Examiner	eForms	<ul style="list-style-type: none"> • Examiner ABN Withholding form • Examiner Invoice Uploads • Examiner Payment Request

1.2.7 Auto submit Emails

ID	Trigger	Purpose	Email Subject	Sent To	Sent From	Attachments
EM15.Auto-submit to EGAP	Sent when form is Autosubmit	For Action	For information: Examination report deadline passed for <i>Candidate Name (UID)</i>	EGAP	eForms	<ul style="list-style-type: none"> Examination PDF
EM16. Autp-submit to Examiners	Sent when form is Autosubmit	Notification	For action: Reminder – Examination report due for <i>Candidate Name (UID)</i>	Examiner	eForms	
EM5. Withdrawn notification to Examiner	Sent when form is Autosubmit (without examiner payment)	Notification	For information: Withdrawal from examination of thesis for <i>Candidate Name UID</i>	Examiner, CC: HDR Admin, Delegated Authority	Eforms - finish state	



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 Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Candidate UID</i>	Form Generated Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Non-disclosure agreement</i>	Form Generated Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Examination Report for candidate</i>	Form Generated Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Examination Report for DA / AD</i>	Form Generated Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Examiner payment request</i>	Form Generated Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Additional document from Examiner - 1</i>	Upload Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Examiner Invoice</i>	Upload Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Examiner Report Upload</i>	Upload Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – ABN withholding form upload</i>	Upload Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Optional invoice upload</i>	Upload Document
<i>Form ID Thesis Distribution and Examination – Examiner: Examiner Name UID – TS1 – Attachment – Invoice upload</i>	Upload Document



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.

Examination

DATE	{{Date}}
FORM ID	{{eForm_ID}}

Candidate and candidature details

Name	{{StudentFullName}}
UID	{{StudentUID}}
Academic Career	{{AcadCareer}}
Academic Program	{{HDRProgramName}}
Examiner name	{{ExaminerName}}

Examination details

Examination due date	{{ExtendedDueDate}}
Physical items for examination and how the examiner will receive them	{{physicalitem}}
Payment amount	{{paymentamount}}
General ledger code (GLC)	{{GLC}}

Non-disclosure agreement

Non-disclosure agreement 'signed'	{{NDAYes?}}
--	-------------

Examination withdraw

Examiner withdrawal	Yes
Examiner withdraw comments	{{WithdrawComments}}



Conflict of interest

Conflict of interest	{{COIYes?}}
{{#COIYes}}Conflict of interest statement	{{COI}}
Associate Dean decision on conflict of interest	{{ADCOIYes?}} <i>Comments:</i> {{ADresponse}}{/COIYes}}

Examination report & details

Examiner report	{{Report}}
Examiner report attached	{{ReportAttached}}
Examiner recommendation	{{ExaminerRecommendation}}
Examiner is willing to re-examine	{{reexamineyes?}}
Examiner consents to their name being revealed to the Candidate	{{candidateconsentyes?}}
Examiner recommendation of JG Crawford prize	{{JGYes?}}

Scoring

The thesis as a whole is a substantial and original contribution to knowledge of the subject.	{{Score1}}
The candidate shows familiarity with, and understanding of, the relevant literature.	{{Score2}}
The techniques adopted are appropriate to the subject matter and are properly applied.	{{Score3}}
The candidate demonstrates a capacity for independent, critical thinking.	{{Score4}}
The results are suitably set out, and accompanied by adequate exposition.	{{Score5}}



The quality of the language and general presentation is suitable for publication.	{{Score6}}
--	------------

Workflow history

User	Workflow step	Date created	Date completed
{{#WFHistory}}{{WFUser}}	{{WFStep}}	{{WFComp}}	{{WFUpdate}}{/WFHistory}}

Examination timelimit met without a report being submitted



NON-DISCLOSURE AGREEMENT FOR EXAMINERS

Candidate: {{STUDENT NAME}}

Student ID: {{Student ID}}

Thesis Title: {{THESIS TITLE}}

Under University policy the Dean – Higher Degree Research may approve restricted access to a thesis in whole or in part for a period of time. Approval has been given (refer section 61 of The ANU *Research Awards Rule*) to prohibit access to {{format}}.

In addition to your obligation to treat this thesis as confidential **while it is under examination**, you are also required to treat it as confidential for the further period of **{{duration of restriction}}** month(s).

EXAMINER'S AGREEMENT

I undertake not to discuss (other than as required for examination) or disclose information contained in the **{{format}}** for a period of **{{duration of restriction}}** month(s) after I have been advised of the outcome of the examination, without the permission of The Australian National University.

{{Examinername}}

Agreed to electronically on **{{date}}**.



Anonymous examination report for candidate

Candidate and candidature details

Name	{{StudentFullName}}
UID	{{StudentUID}}
Academic Career	{{AcadCareer}}
Academic Program	{{HDRProgramName}}

Examination report

{{examinerreport}}

{{AttachedReport}}



Examination report for DA/AD

Candidate and candidature details

Name	{{StudentFullName}}
UID	{{EMPLID}}
Academic Career	{{AcadCareer}}
Academic program	{{HDRProgramName}}
Examiner name	{{ExaminerName}}

Examination report details

Examiner recommendation	{{ExaminerRecommendation}}
Examiner is willing to re-examine	{{reexamineyes?}}

Examination report

{{ Report }}
{{AttachedReport}}

Scoring

The thesis as a whole is a substantial and original contribution to knowledge of the subject.	{{Score1}}
The candidate shows familiarity with, and understanding of, the relevant literature.	{{Score2}}
The techniques adopted are appropriate to the subject matter and are properly applied.	{{Score3}}
The candidate demonstrates a capacity for independent, critical thinking.	{{Score4}}



Support Guide

The results are suitably set out, and accompanied by adequate exposition.	{{Score5}}
The quality of the language and general presentation is suitable for publication.	{{Score6}}



EXAMINATIONS, GRADUATIONS AND PRIZES OFFICE
DIVISION OF STUDENT ADMINISTRATION
LOWER GROUND MELVILLE HALL (BLDG 12)
ELLERY CRESCENT
AUSTRALIAN NATIONAL UNIVERSITY
CANBERRA ACT 2601 AUSTRALIA

Support Guide

Telephone: +61 2 6125 2266
Facsimile: +61 2 6125 2202

Email : researchthesis.enq@anu.edu.au

www.anu.edu.au

ANU CRICOS CODE: 00120C

Examiner Payment Request

Date: {{date}}

Examiner details

Examiner name	{{fullname}}
Examiner u number	{{ExaminerId}}
Postal address	{{Address}}, {{City}}, {{State}}, {{postcode}}, {{country}}
Examiner email address	{{pull}}
Candidate name and u Number	{{StudentFullName}} {{EMPLID}}

Payment amount

Amount	{{paymentamount}}
GST	{{GST}}
GLC	{{GLC}}

Banking details

{{bankdetailorinvoice}}

{{#AussieBank}}

Bank details (Australian banks)

Examiner's best option	{{ExaminerBestChoice}}
{{#ABN?}}ABN	{{ABN}}{/ABN?}}
BSB	{{BSB}}



Account number	{{accountnumber}}
Account name	{{accountname}}

{{/AussieBank}}{#{InternationalBank}}

Bank details (International banks)

Name of bank	{{bankname}}
Bank address	{{bankstreetaddress}}{{bankcountry}}
SWIFT Code	{{SWIFT}}
IBAN	{{IBAN}}
Bank Code	{{bankcode}}
Account Holder's Name	{{accountholdername}}
Other information	{{bankinfo}}

{{/InternationalBank}}