## VERSION CONTROL

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<th>Date</th>
<th>Author</th>
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<td>15/7/14</td>
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<td>Lynne Sell</td>
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## DOCUMENT CONTROL

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## CONTINUOUS IMPROVEMENT

NHMRC endeavours to provide the best training to the Australian medical and health research community through a continuous improvement practice. Your feedback and recommendations will be used to review and update the training materials in the future. Any feedback can be sent to the RGMS training team at rgmstraining@nhmrc.gov.au.
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1. Introduction

This is the fourth in a series of RGMS user guides for members of the research community. The focus of this guide is the award phase of the NHMRC grant lifecycle (see Figure 1).

Topics covered in this guide include:

- accessing application results (Section 2); and
- for successful applications, how to provide and certify additional information that NHMRC needs to administer the grant, before payments begin (Section 3).

It is expected that anyone referring to this guide is familiar with the content in the RGMS User Guide – Introduction to RGMS (Research Community).

1.1. Target Audience

This guide is targeted at chief investigators (CIAs) and research administration officers (RAOs). Section 3 applies to successful applications only.

1.2. RGMS Training Program

Training is structured around the four phases of the NHMRC grant lifecycle as illustrated in Figure 1 (below). The training program aims to provide the skills and knowledge needed to perform common tasks.

Target audiences for the program include:

- Applicants
- Assigners
- Assessors
- Grantees
- Research Administration Officers
- Finance Officers.

Figure 1 – NHMRC Grants Lifecycle

IMPORTANT NOTE

While this diagram summarises the typical steps in the process, the unique requirements of each NHMRC funding scheme may introduce additional or fewer steps. Always refer to the scheme-specific funding rules for further information and clarification.
Figure 2 - RGMS Training Program for the research community
2. Accessing Assessment Results

When the peer review panel (PRP) has completed their assessment, outcomes will be formally announced by the portfolio minister or his/her representative and made available both on the NHMRC website and in RGMS. This section outlines how applicants and research administration officers (RAOs) can access outcome information in RGMS, including:

- result letters and feedback reports to individual applicants (CIAs);
- all result letters, feedback reports and grant schedules for an institution (RAOs); and
- summary results for an institution (RAOs).

2.1. Accessing result letters and feedback reports as an applicant (CIAs)

**IMPORTANT NOTE**

CIAs will receive a system-generated email as soon as results letters become available. Please do not attempt to access result letters before receiving this email.

1. From the RGMS home page, select the Applicants tab.
2. Select the **View my results letter** quicklink.
3. Enter search criteria and filter. Refer to Section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

![Assessment Rebuttals List](image1)

**Figure 6 - Assessment Rebuttals List**

4. Navigate to the Application ID link or click on the properties icon to open the Assessment Rebuttals: Results tab.

5. Under the Results tab, navigate to and click on the Letter of Result icon to open a Result Item (e.g. Assessor Comments).

![Assessment Rebuttals: Results](image2)

**Figure 7 - Assessment Rebuttals: Results**

2.2. Downloading all results letters, feedback reports and grant schedules for an institution (RAOs)

**IMPORTANT NOTE**

This function is available to Research Administration Officers (RAOs) only. Please note there is a 24 hour delay after result letters are released before this function can be used. Refer to the next section (Viewing summary results for an institution (RAOs)) for instructions on viewing results in the interim. Results are also published on the NHMRC website.
RAOs can download outcome documentation for their institutions using the Download Documents function in the RGMS User Guide - Assessment Processes. This is available for all schemes unless NHMRC advises otherwise.

The following documents are included in the download:
- result letters;
- feedback reports; and
- schedules for your institution.

Documentation for other schemes will be emailed to RAOs.

To download the outcome documentation, follow the steps below:

1. From the RGMS Overview: Home page, navigate to and select the RAO/Finance Officer tab.
2. Navigate to the Quicklinks for RAOs section and select the Download results documents quicklink.

Figure 8 - Accessing the RAO/Finance Officer tab
3. Select the New Download Documents button at the bottom of the page.

4. Select the appropriate round from the **Round** field dropdown menu (for example 20XX_Project Grants_funding_commencing_20XX).
5. From the **Document Type** field drop down menu, select the appropriate **Funding Round Results (RAO Only)**.

![Figure 11 - Document Type field dropdown menu](image1.png)

6. Select the Save button.

7. From the **Properties** tab review the information and instructions on-screen,

![Figure 12 - Download Documents: Properties page](image2.png)
8. Navigate to the **Properties** dropdown menu and select the **Funding Round Results (RAO Only)** link.

![Figure 13 - Funding Round Results (RAO Only) link](image)

9. In the **Admin Institution** field, use the automatic lookup function by typing directly into the field and selecting from the matching options provided. Alternatively, you can select the binoculars icon 🔍; select your institution and select **Add**.

![Figure 14 - Download Documents page: details required](image)

10. Navigate to the Result Type list and select which documents will be generated in the zip file. Clicking on the binoculars icon 🔍 will open the Result Type list and will display multiple values which can be selected. Available options include **Successful**, **Unsuccessful** and **Not for further consideration**.

11. Select **Add** to lock-in the selection(s).

12. Choose a password (case sensitive with a maximum of 20 characters) and enter it in the **Password** field. This password will be used later to open the zip file.
13. From the Generate Zip File drop down field select Yes to generate an accessible Zip file for documents.

14. Select the Save button.

15. After a short wait, refresh the page using the Refresh icon at the top right of the page and the URL field will be populated. When the URL is populated you will need to wait a further five minutes for the file to be generated.

16. Click on the URL link to download the zip file to your computer.
   a. For Windows users, select Save when prompted to Open or Save the file.
   b. For Mac users, the file should automatically download to a default location (typically /Users/<userID>/downloads).

17. Navigate to the downloaded zip file and double click to open. When opening the file, you may be asked to specify a save location and will be prompted to enter the password you defined at Step 10.

18. For Mac users, this password protected file may not be compatible with Apple’s default Archive Utility program. You will accordingly need to use an alternative utility such as Stuff IT Expander (freeware available on the web) or similar. To do this, highlight the zip file, select ‘Open With’ from the File menu in the Finder and choose an alternative utility to unzip the file. For additional information, refer to item 4.1.1. Additional details for Mac users in the RGMS User Guide - Assessment Processes.

The extracted files will now be available for viewing. These include all result letters, panel assessment summaries and schedules for your administering institution for the selected funding round. A file whose name starts with ‘AAA_Applications …’ is also included that lists each application and its result status.
2.3. Viewing summary results for an institution (RAOs)

As an alternative to downloading your institution’s outcomes documentation, you can also view summary results via the Institutions Information page in RGMS.

To view your institution’s results, follow the steps below:

1. From the RGMS home page select the RAO/Finance Officer tab.

2. Select the Institution Information quicklink.
3. Select your institution and click on the **Results tab**.

![Figure 17 - Institutions: Results - Filter](image)

4. Filter by Application Round by typing directly into the look up field to display any matching results or by using the Look Up icon as outlined in [Section 3.8 of RGMS User Guide – Introduction to RGMS (Research Community)](link).

The results are sorted into three categories:

- **Application results for your Administering Institution** – lists results for applications submitted by your administering institution.

- **Successful Applications Containing Participating Institutions** – lists participating institutions involved in successful applications administered by your institution.

- **Successful Applications Containing This Institution** - lists successful applications that involve your institution as a participating institution rather than the administering institution.
Figure 17b – Institution Results
3. Acceptance of Grants

Administering Institutions are required to accept or decline each grant offered to them. In accepting a grant, the Administering Institution agrees to ensure that the approved Research Activity will be conducted in accordance with the Funding Agreement between NHMRC and the Administering Institution, the relevant NHMRC Funding Policy and the terms and conditions in the relevant schedule.

This Schedule must be signed by the Administering Institution through its Responsible Officer (RO).

This section covers:

- Reviewing grant acceptance and Schedule details (section 3.1);
- RAO Recommendation (section 3.2);
- Seeking RO signature of Schedule (section 3.3);
- RO signature or rejection (section 3.4).

These instructions assume that you know how to log in to RGMS. Refer to the RGMS User Guide – Introduction to RGMS if you are unsure how to do this or encounter difficulties logging in.

3.1. Reviewing grant acceptance and Schedule details

**IMPORTANT NOTE**

*This function is available to Research Administration Officers (RAOs) only. Please allow up to 48 hours after receiving advice about an offer, before attempting to complete the steps below.*

1. From the **RGMS Overview: Home page**, navigate to and select the **RAO/Finance Officer** tab.

2. Select the **Institution Information** quicklink
3. Select your institution

4. Navigate to the Properties dropdown menu and select the Offer Acceptances link

![Acceptance links on the Institution Properties page](image1.png)

- Figure 19 – Acceptance links on the Institution Properties page

5. From the Institution – Properties page, click on the properties icon in one of the rows to open the Acceptance Properties page for the chosen grant offer.

   a. Or, alternatively, click on the RGMS ID for the chosen grant offer to open the relevant Acceptance Properties page.

![Opening the Acceptance Properties page](image2.png)

- Figure 20 – Opening the Acceptance Properties page.
6. From this view you are able to view the grant offer details:

![Grant Acceptance Properties page](image)

**Figure 21 – Grant Acceptance Properties page.**

7. Click the **Schedule URL** link to open the grant offer’s Schedule.

8. The **RAO Recommendation** drop-down is used to nominate your Institution’s intention to either accept or decline the grant offer.

9. If an RAO Recommendation has been provided, click on **Save And Return** otherwise click on **Return** to go back to the **Institution – Properties** page.

**IMPORTANT NOTE**

*Recommendations for multiple grant offers can be actioned at once from the relevant Institution – Properties page. Refer to section 3.2 - RAO Recommendation*
3.2. RAO Recommendation

IMPORTANT NOTE
This function is available to Research Administration Officers (RAOs) only.
Please allow up to 48 hours after receiving advice about a new offer, before attempting to complete the steps below.

1. From the RGMS Overview: Home page, navigate to and select the RAO/Finance Officer tab.

![Figure 22 - Accessing the RAO/Finance Officer Tab: Institution Information](image)

2. Select the Institution Information quicklink

3. Select your institution

4. Navigate to the Properties dropdown ▼ menu and select the Offer Acceptances link

![Figure 23 – Acceptance links on the Institution Properties page](image)
6. The **Institution – Properties** page will display as follows:

![Figure 24 – Institution – Properties page for initial acceptances](image)

7. Make a selection from the **RAO Recommendation** drop down list (row by row) against each grant your Institution wishes to accept or decline.

![Figure 25 – The RAO Recommendation drop-down list](image)

8. Once you have provided a recommendation against all grants you wish to nominate, click **Save**.

Each grant you provided a recommendation against will no longer be visible in the list as grants without a RAO recommendation appear at the top in the list.
3.3. Seeking RO signature of Schedule

**IMPORTANT NOTE**

This function is available to Research Administration Officers (RAOs) only.

Once all grants being accepted or declined have been selected, you will need to notify your Institution’s Responsible Officer (RO) to electronically sign the Schedule for your Institution, using RGMS. To make this notification, follow steps 1-5 below.

1. Navigate to the Properties dropdown menu and select RO Approvals link.

   ![Figure 26 – RO Approvals link from the Institution Properties page](image)

2. Click the New button to create a new RO Approval Instance.

3. Choose the RO who will sign the Schedule by typing directly into the field, or select the binoculars icon besides the Responsible Officer field to open a new window with a list of available ROs. Select the relevant person and select the Add button.
4. Once an RO has been selected, click **Save And Return** to complete the RO nomination. Alternatively, click **Save** once an RO has been selected to complete the RO nomination and open the **RO Approvals Properties** page:

![Figure 28 – RO Approvals Properties page](image)

5. From this page you can review the list of grants that have had an RAO Recommendation provided on the **Institution – Properties** page.

Once an RO Approval has been created by the RAO, the nominated RO will receive an email notification from RGMS to sign the Schedule.

**IMPORTANT NOTE**

RAOs are unable to amend the list of accepted and declined grants on the Schedule. If a change is required, then the RO will need to reject the Schedule, which will reset the selected grant offers so the RAO can amend the RAO Recommendations as necessary and re-submit to the RO for signature.
3.4. RO signature or rejection

IMPORTANT NOTE
This function is available to Responsible Officers (ROs) only.

Certification by an Administering Institution’s Responsible Officer (RO) is required as the RO agrees on behalf of the Administering Institution to ensure that the Research Activities are conducted in accordance with the Funding Agreement between NHMRC and the Administering Institution, the relevant NHMRC Funding Policy and the terms and conditions in the individual Schedules for each Research Activity. Steps 1-10 below provide detail on how to electronically sign the Schedule using RGMS.

1. From the **RGMS Overview: Home page**, navigate to and select the **RAO/Finance Officer** tab.

![Figure 29 - Accessing the RAO/Finance Officer Tab: Institution Information](image)

2. Select the **Institution Information** quicklink

3. Select your institution

4. Navigate to the **Properties** dropdown menu and select **RO Approvals** link.

![Figure 30 – RO Approvals link on the Institution Properties page](image)
The **Institution – Properties** page will display as follows:

![Figure 31 – List of RO Approvals on the Institution Properties page](image)

5. From the **Institution – Properties** page, click on the properties icon ‣ in one of the rows to open the RO Approvals Properties page for the chosen selection of grants. Alternatively, click on the **Responsible Officer** link for the chosen selection of grants to open the corresponding RO Approvals Properties page.

6. The **RO Approvals Properties** page will display as follows:

![Figure 32 – The RO Approvals Properties page](image)

7. Select **Approved** or **Rejected** from the **RO Decision** dropdown ‣ field.

8. If required, provide a comment in the **Authorisation Comments** field.

9. Select **Yes** from the **RO Certify** dropdown ‣ field.

10. Click on **Save and Return** to save your work and return to the **Institution – Properties** page where the **RO Decision** and **Date Authorised** fields will be updated.

![Figure 33 – Updated List of RO Approvals on the Institution Properties page](image)
Once the RO certification has been completed, the corresponding record on the relevant **Institution – Properties** page for each of the chosen selection of grants will be updated as follows:

a. If the RO approves the chosen selection of grants, the **RO Approval Created** and **RO Decision** fields will be updated for each of the chosen selection of grants.

<table>
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<tr>
<th>Grant Amount</th>
<th>Offer Must be Accepted By</th>
<th>RAO Recommendation</th>
<th>RO Approval Created</th>
<th>RO Decision</th>
<th>Processed by NHMRC</th>
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<td></td>
<td>30/01/15</td>
<td>Accept</td>
<td>✔</td>
<td>Approved</td>
<td></td>
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</table>

**Figure 34 – Updated Institution – Properties page after RO Approval and certification**

b. If the RO rejects the chosen selection of grants, the record will be reset for each of the selected grants. Your Institution’s Primary RAO will also receive an email notification from RGMS that the RO Approval has been rejected and the selected grants require re-nomination.
4. Data Collection at Award

Chief Investigator As (CIAs) on successful applications are required to provide ethics details, where applicable, before payments begin. This information must in turn be certified by the administering institution through its research administration officer (RAO).

This section covers:

- Data entry by successful CIAs (section 4.1), including:
  - data requirements where ethics committee approvals are not needed (section 4.1.1);
  - data requirements where ethics committee approvals are needed (section 4.1.2); and
- RAO certification (section 4.2).

These instructions assume that you know how to log in to RGMS. Refer to the RGMS User Guide – Introduction to RGMS if you are unsure how to do this or encounter difficulties logging in.

4.1. CIA Data Entry

IMPORTANT NOTE

The following steps should be completed by the successful Chief Investigator A (CIA).
Please allow up to 48 hours after receiving a results letter, before attempting to complete the steps below.

1. From the RGMS homepage, navigate to and select the Grantees tab.

![Figure 35 -Accessing the Grantees tab](image-url)
2. Navigate to the **Quicklinks for Grantees** section of the page and select the **View an existing grant** quicklink to view a list of your current grants.

![Figure 36 - Overview: Grantees page](image)

3. Select the relevant properties icon to open your newly awarded grant.

![Figure 37 - Grantee Administration list](image)

If ethics committee approval:

a. **is not** required for the funded research, follow the instructions in below.

b. **is** required for the funded research, proceed to **section 4.1.2** below.
4.1.1. Data requirements where ethics committee approvals are not needed

If, in Part A of your application, you answered ‘no’ to the questions relating to human and animal ethics clearances, the Grantee Admin: Properties page will display as follows:

![Grantee Admin: Properties page](image1)

You must complete the following steps:

1. Select Yes in the *All Required Fields have been populated* field

2. Select **Save and Return** to save your work and return to the Grantee Administration - Properties page.

Your RAO will be notified via automatic email that your data requires certification and a link to the RAO Certification sub-page will appear in the Properties dropdown menu.

![RAO Certification link](image2)
4.1.2. Data requirements where ethics committee approvals are needed

If, in Part A of your application, you answered ‘Yes’ to the questions relating to human and/or animal ethics, the Grantee Admin: Properties page will display according to your response. For example, where a ‘Yes’ response was provided to human research ethics clearance and a ‘No’ response for animal ethics, additional questions related to human ethics will appear on an Ethics - Human sub-page in the Properties dropdown menu.

In the following example, both human and animal ethics sub-pages have been generated and information is required to be completed in both sub-pages before RAO certification can take place.

![Figure 40 - Grantee Admin: Properties page showing links to Animal and Human Ethics sub-pages](image-url)
1. Where applicable, complete all relevant information on the Ethics - Animal sub-page and click Save.

![Figure 41 - Ethics – Animal sub-page](image)

2. Where applicable, complete all relevant information on the Ethics – Human sub-page and select Save.
3. Once all ethics information has been entered, click **Save**.

4. Return to the **Properties** tab dropdown ➵ and select **General** from the menu.
5. Select Yes in the All Required Fields Have Been Populated field;

6. Select Save or Save and Return to save your work and return to the Grantee Administration list.

Your RAO will be notified via automatic email that your data requires certification and a link to the RAO Certification sub-page will appear in the Properties dropdown menu.
4.2. RAO Certification

**IMPORTANT NOTE**

Only an RAO can complete the following steps.

1. From the **RGMS Home** page navigate to and select the **RAO/Finance Officers** tab.

2. Navigate to the **Quicklinks for RAO/Finance Officers** and select the **View existing grants** quicklink to view a list of your institutions' current grants in the **Grantee Administration List** page.

```
Figure 46 -Accessing the RAO/Finance Officer tab: View Existing Grants
```

3. Select the properties icon to open the relevant grant.

```
Figure 47 -Grantee Administration List page
```

4. Navigate up to the **Properties** tab and select the **Properties** dropdown menu then select **RAO Certification** link.
5. From the **Certify RAO** field, select if the report is **Approved** or **Rejected**.

7. In the **Certify RAO Comments** text field, enter any additional comments you may have.

8. Select **Save and Return** to save the work and return to the **Grantee Administration List** page.

**IMPORTANT NOTE:**

*Rejecting the data causes RGMS to generate an email to the chief investigator (CI) giving notice of the rejection and instructing the CI to log in to RGMS to edit their input.*