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1. Introduction

This is the fifth in a series of RGMS user guides for the research community. The focus of this guide is on completing post-award functions within RGMS. See the NHMRC website for a complete list of training resources.

NHMRC is acutely aware that your responsibility is to undertake research that improves the way of life for all Australians. As a result we have created these guides to support you during the grant application and administration process. Our intention is to provide this guidance in a clear, concise and logical structure, so you can efficiently submit information in RGMS while continuing your primary focus, your research.

IMPORTANT NOTE

This document should be read in conjunction with the Funding Rules, Advice and Instructions and Peer Review Guidelines specific to the scheme from which you have been awarded funding. 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

The information presented in this guide is aimed at Research Administration Officers (RAOs), Finance Officers (FOs) and NHMRC grant recipients.

NOTE - for RAOs only

When sections of this guide are relevant to Research Administration Officers (RAOs) only, the topic is highlighted with an orange note prefacing the section.

NOTE - for FOs only

When sections of this guide are relevant to Finance Officers (FOs) only, the topic is highlighted with a green note prefacing the section.
2. Grant Administration

This section outlines the functions available to Grantees (Chief Investigators) for retrieving information about funded grants, including their Status, Milestones and Conditions in RGMS. Specific topics covered include:

- Viewing grant details;
- Filtering and sorting grant lists;
- Grantee Administration tab;
- Properties Tab with Grant Administration;
- Grant Summary Information tab;
- Financial Summary tab;
- Conditions and Milestones tab;
- Variations Summary; and
- The Process tab.

2.1. Viewing all grants

These instructions expect that you are familiar with the RGMS User Guide – Introduction to RGMS (Research Community), and that you know how to logon to RGMS.

1. Navigate to the RGMS home page.
2. Select the Grantees tab.
3. Select the View an existing grant quicklink.
A list of your currently funded grants will be displayed.

You can access subcategories by selecting the **plus** symbol to expand the selection. You can close the selection at any time by selecting the **minus** symbol.

**IMPORTANT NOTE**

You can export data from many of the pages within the RAO Dashboard using the Export icons and Options dropdown menu, which appear at the top right of all RAO Dashboard tabs, and on certain other pages throughout the RGMS.

For further information refer to sections 3.10 Export Options and 3.11 The Options menu in the RGMS User Guide – Introduction to RGMS (Research Community) RGMS User Guide – Introduction to RGMS.
2.1.1. Filtering and sorting listed grants

You can modify which grants are displayed in this view by using search Filters at the top of the page. Your list of grants can be filtered by Initiative, Round, Grant ID, Simple Title, Scheme or Application Year.

Additionally, you can sort by clicking on the column headings. For example, you would select Grant ID to sort the list by that column in ascending or descending order.

For further information on how to apply, clear, save and manage filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

2.2. Viewing the details of individual grants

Once you have accessed the list of grants, the next step you need to take is opening the relevant grant.

1. Navigate to the Grantee Admin List page as outlined in section 2.1 Viewing all grants above.
2. Select the Properties icon to open the relevant grant.

2.2.1. Grantee Admin Tabs

Grant details are provided through a series of tabs:

- Properties;
- Grant Summary Information;
- Financial Summary;
- Conditions and Milestones;
- Variations Summary; and
- Processes.

The content of each tab is outlined below.
2.2.2. Grantee Administration Properties Tab

The **Properties** tab details general information about the grant, including:

- initiative name and round;
- grant title and ID;
- funding dates; and
- grant summary.
2.2.3. Grant Summary Information Tab

The Grant Summary Information page consists of three tables:

- **Grant Information** – This table displays the grant’s ID number, scientific and simple titles, application year, number of years of approved funding, the grant’s current funding period and the amount of approved funding.
- **Grant Institution History** – This table lists all Administrative and Actual Institutions listed against the grant for the duration of its approved funding period. This table is updated if a Transfer Administrative Institution Grantee Variation is approved by the NHMRC.
- **Grant Team** – This table lists all team members (CI and Non-CI) against the grant. This table displays each team member’s name, type and role, salary level, start and end date on the grant and percentage of time allocated to the Grant. This table is updated if an associated grantee variation is approved by the NHMRC.
2.2.4. Financial Summary Tab

The **Financial Summary** page consists of two tables:

- **Grant Budget** – This table displays the budget categorised into a yearly figure for each individual component of the awarded budget, for example: salary or Direct Research Costs. This table can be filtered by either year or component type.

- **Grant Payments** – This table displays the budget for the grant categorised into its yearly payment schedule. This table shows each component of the grant’s budget, including the type, amount, due date, status, GST and payment details. This table can be filtered by payment type, status and date due.
2.2.5. Conditions and Milestones Tab

The **Conditions and Milestones** page consists of two tables:

- **Grant Conditions** – This table displays all funding conditions imposed on the grant. This table displays a description of the condition (i.e. ethics clearance, revised schedule, etc.), the date the condition is due, as well as the date the condition was met. This table can be filtered by the due date and the days until due.

- **Grant Milestones** – This table displays all milestone and reporting requirements for the grant. This table displays the report type (i.e. annual financial statement, scientific progress report, etc.), the date the milestone is due as well as the date the milestone was met. This table can be filtered by the due date and the days until due.

![Conditions and Milestones Table Image](image_url)
2.2.6. Variations Summary

The Variations Summary page consists of a table which displays all created grantee variation requests associated with the grant. This table includes the grant’s title, the type of variation created, current status, variation code, budget, name of the variation, and progress indicators. The table also includes a hyperlink in the Variation Code column to access the variation request.

![Variations Summary Table]

2.2.7. The Processes Tab

The Processes Tab is irrelevant to RGMS research community users and should be disregarded.
3. RAO/Finance Officers Tab

IMPORTANT NOTE
The information covered in this section is for Research Administration Officers’ (RAOs) and Finance Officers’ (FOs) reference only. Grantees, Chief Investigators or CIAs, do not have access to the RAO Dashboard.

A range of grant administration functions can be accessed through the RAO/Finance Officers tab. These include:

- the RAO Dashboard;
- maintaining institution information;
- institutional compliance reporting;
- scientific reporting;
- financial reporting; and
- submitting variation requests.

Further detail about each of these functions is provided on the following pages.
3.1. RAO Dashboard

The RAO Dashboard brings together the key functions used by RAOs to administer grants. These include:

- monitoring the progress of all applications from your institution;
- viewing their current status in RGMS; and
- retrieving data on grant payments, milestones and conditions.

3.1.1. Accessing the RAO Dashboard

To access the RAO Dashboard:

1. From the RGMS Home page navigate to the RAO/Finance Officers tab.
2. Select the View My RAO Dashboard quicklink.

**IMPORTANT NOTE**

You can export data from many of the pages within the RAO Dashboard using the Export icons and Options dropdown menu, which appear at the top right of all RAO Dashboard tabs, and on certain other pages throughout RGMS.

For further information refer to sections 3.10 Export Options and 3.11 The Options menu in the RGMS User Guide – Introduction to RGMS (Research Community).
3.2. RAO Dashboard Tabs

The different functions within the dashboard are accessed through the tabs at the top of the page. These tabs include:

- Hints and Instructions;
- Application Process;
- Application Summary;
- Assessment Summary;
- Grants Summary;
- Documentation; and
- CI Applications and Awards.

3.2.1. Hints and Instructions Tab

The **Hints and Instructions** page is the first page displayed when you access the RAO Dashboard. This page contains brief definitions of the application status. These definitions are used throughout the RAO Dashboard, as well as elsewhere in RGMS.

3.2.2. The Application Progress & Application Summary Tabs

Further details about the Application Progress and Application Summary tabs can be found in Sections 2.5.1 and 2.5.2 in the [RGMS User Guide - Applying for Grants (Research Community)](#).

3.2.3. The Grants Summary Tab

This tab is divided into three subsections:

1. RAO Grants Payments
2. RAO Grant Milestones
3. RAO Grant Conditions
3.2.3.1. Grants Payments Subsection

The RAO Grants Payments subsection is designed to display payment information for all grants you have access to. You are able to filter the results by the following criteria:

- **Grant Name** – Enter the grant number or the CIA’s name to return data on a specific grant.
- **Institution** – This filter is not relevant to the research community, as they typically have only one institution of responsibility. (relevant to NHMRC staff only)
- **Budget Component** – Use the auto-lookup function by typing the name of the budget component directly into the field and select form options provided in dropdown list.
Or use the lookup field by selecting the binoculars icon to filter for a specific budget component.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

- **Payment Status** – Use the dropdown field menu to select a Payment Status category.
- **Date Due** – From the calendar, enter a range of dates on which the selection in the Payment Status field is due to occur.
- **Date Paid** – From the calendar, enter a range of dates on which the selection in the Payment Status field occurred.

### 3.2.3.2. Grant Conditions Subsection

The RAO Grant Conditions subsection, within the Conditions and Milestones tab, allows RAOs to see what conditions apply to a grant, how they are described and, by what date these conditions must be met. The following filters are available to narrow your search:

- **Grant Name** – Enter the grant number or the Chief Investigator A’s (CIA) name to return data on a specific grant.
- **Institution** – You are able to filter the results by institution. Since the RGMS users in the research community only have access to one institution, this is typically only used by NHMRC staff.
- **Type** – Use the dropdown field menu to filter for different condition types.
• **Initiative** – The dropdown field menu enables you to select one of the available funding initiatives.

• **Days Due** – Enter the number of days until a condition is due.
• **Date Due** – From the calendar, enter a range of dates during which the Condition listed in the ‘Type’ column is due.
• **Date Met** – From the calendar, enter a range of dates during which the Condition listed in the ‘Type’ column was met.

**IMPORTANT NOTE**

All grant conditions stop payments if unmet, regardless of whether there is a green tick or a red cross in the **Stops Payments** column.

### 3.2.3.3. Grant Milestones Subsection

The **RAO Grant Milestones** subsection, within the Conditions and Milestones tab, displays all the Milestones associated with a grant. It gives the RAO the ability to see which Milestones are approaching, which Milestones have not been met, when deadlines occur and whether or not these Milestones can cause payments to be suspended.
You are able to filter the results by the following criteria:

- **Grant Name** – Enter the grant number or the CIA’s name to return data on a specific grant.
- **Institution** – Enter the name of the Administering Institution. The ‘Responsible Institution’ column refers to the institution responsible for providing the Milestone.
- **Type** – Use the dropdown field menu to filter for a Milestone type.
- **Initiative** – Use the dropdown field menu to select one of the available funding initiatives.
- **Days Due** – Enter the number of days until a Milestone is due.
- **Dates Due** – From the calendar, enter a range of dates during which the Milestone listed in the ‘Type’ column is due.
- **Date Met** – From the calendar, enter a range of dates during which the Milestone listed in the ‘Type’ column was met.

**IMPORTANT NOTE**

A grant Milestone which has a green tick ✓ in the **Stops Payments** column will prevent payments from the due date, if not met. A red cross ✗ indicates that the condition will not prevent payments if not met.

3.2.4. **The Documentation Tab**

The **Documentation** tab is not utilised and can be disregarded.
3.2.5. The CI Applications and Awards Tab

The CI Applications and Awards tab assists the RAO with determining Chief Investigator (CI) eligibility on grant applications and is divided into two subsections;

1. Applications and Awards – By Researcher
2. CI Applications and Awards – By Application

When determining eligibility, take particular note of:

- **Initiative** – This search returns every application on which the researcher is a named investigator. If you are gathering information for eligibility, some of these applications may not count. Consult the appropriate funding rules to verify which scheme application should be considered toward eligibility totals.

- **CI Role** – The researcher’s role on the application. If the field is blank, the researcher is listed in a Non-CI role on the application (e.g. – Associate Investigator).

- **Leave** – The date upon which the researcher will leave or has left the role listed on the grant.

**IMPORTANT NOTE**

Grant details displayed in this tab, do not reflect pending variation requests (e.g. Extend Grant Duration, Update CI Team Membership and Structure) and are subject to change. RAOs should accordingly confirm any planned/pending variation requests with CIs before relying on this data.
3.2.5.1. Applications and Awards – By Researcher

The Applications and Awards – By Researcher section within the CI Applications and Awards Tab, allows RAOs to view a researcher’s entire RGMS application and grant history in order to assist determining CI eligibility on grant applications.

You are able to filter the list by the following fields:

- **Researcher** – Use the auto lookup field by typing the researcher’s surname directly into the field, or alternatively by selecting the binoculars icon in the Researcher field to select the researcher’s name.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

- **Initiative** – The Initiative dropdown field menu is used to limit results to a particular initiative.

- **Round** – Use the auto lookup field by typing key words of the round title directly into the field, or alternatively by selecting the binoculars icon for the Round field to limit results to a particular round.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

3.2.5.2. CI Applications and Awards – By Application

The CI Applications and Awards – By Researcher section within the CI Applications and Awards Tab, allows RAOs to view the RGMS application and grant history for all CIs on a particular application in order to assist determining CI eligibility on grant applications.

You are able to filter the list by the following fields:

- **Application ID** – Use the free text field to enter the application ID you wish to view. Please note you are not able to use the wildcard (*) symbol when using this field, you need to enter the entire application ID e.g. APP1234567
・ **Initiative** – The Initiative dropdown field menu is used to limit results to a particular initiative
・ **Round** – Use the auto lookup field by typing key words of the round title directly into the field, or alternatively by selecting the binoculars icon for the Round field to limit results to a particular round.

For more information on lookup fields refer to section 3.8 Lookup in the [RGMS User Guide – Introduction to RGMS (Research Community)](#).

### 3.3. Institution Information

The Institution Information quicklink provides access to a range of information and reports related to, or used by, Administering Institutions.

#### 3.3.1. Accessing the Institution Information Page

To begin, access the Institution Information page. The instructions below outline how to navigate to the page.

1. From the RGMS Home page select the RAO/Finance Officer tab.
2. Select the Institution Information quicklink.
3. Access your institution’s details by selecting the institution name hyperlink in the **Institution** column. You can use the filters at the top of the page to search if necessary.

![Institutions List](image)

For further information on how to apply, clear, save and manage filters refer to section 3.5 Filtering in the **RGMS User Guide – Introduction to RGMS (Research Community)**.

From the **Properties** dropdown arrow ▼, you can access information and reporting for your institution.

![Properties](image)

This menu comprises:

- **General** – This includes top level information for the institution.
- **Location Details** – This is the address information for the institution.
- **Administering Institution** – This includes information about the contact officers for that institution.
- **Offer Acceptances** – This contains a list of all grants available for acceptance, and all grants accepted previously. This functionality is illustrated in detail in the **RGMS User Guide – Awarding Grants**
- **RO Approvals** – This contains a list of all Responsible Officer grant acceptance instances. This functionality is illustrated in detail in the **RGMS User Guide – Awarding Grants**
• **Deeds of Agreement** – This includes a list of any current Deeds of Agreement and the date of execution for each agreement with the NHMRC.

• **Financial Report Upload** – This section is used to review, edit and submit financial information to NHMRC. This functionality is illustrated in detail in section 4 Financial Reporting.

• **Data Exports** – This enables access to weekly application and grant reporting data.

• **Annual Compliance Reports** – this section is used to complete and submit Annual Compliance Reports to NHMRC. This functionality is illustrated in detail in section 3.5 Institutional Annual Compliance Reporting.

• **Generated Documents** – this section is used to access completed Annual Compliance Reports.

3.4. **Data Exports**

This functionality enables the RAO to access weekly application and grant data. This data includes:

- General information
- Budget data
- Team information
- Grant Milestones and Conditions

1. Navigate to the Institutional Information page; refer to section 3.3.1 Accessing the Institution information page

2. Select the Properties dropdown menu

3. Select the Data Exports link as shown in the figure below.

4. Check the Include in Next Data Export check box and enter a value into the Months field.
IMPORTANT NOTE

The value in the ‘Months’ field is used to calculate which data to include in the export. It is used to calculate the Export Date, such that:

\[(\text{current date}) - (\text{‘Months’}) = \text{export date}\]

E.g. Months = 15 \((23-\text{Aug}-2013) - (15 \text{ months}) = 23-\text{May}-2012\)

The export date is then applied to the application data and grant data, but in different ways.

- For application data, applications are included when their application round open date is after the export date.
- For grant data, grants are included when their grant end date is after the export date.

5. Select **Save** to save your request and remain on the page. Alternatively, select **Save and Return** to complete the process and return to the Institutions List page.

For more information about the differences between Save and Save and Return buttons refer to section 3.9 Save, Save and Return and Return in the RGMS User Guide – Introduction to RGMS (Research Community).
6. The process which generates the data exports runs weekly on a Sunday night. Each file is created and populated against the corresponding attachment field. 
   **Note:** The ‘Include in Next Data Export’ checkbox is automatically unchecked after each run, and the ‘Last Successful Export’ date is populated.

7. To open a file, click on the folder icon next to the appropriate file name.
8. To save, hover the computer pointer over the folder icon, right click and select “Save target As”, “Save Link As”, or “Download Linked File” (depending on web browser used).

### 3.4.1. File Data Content

The **Data Export** process creates the following text (.txt) files:

- Application Data
- Application Budget
- Application Team
- Grant Data
- Grant Budget
- Grant Team
- Grant Conditions/Milestones

The data contained within each file is presented in untitled columns separated using the delimiter “|”.
Below is an example of the layout:

Please refer to the following tables to determine the column headers for each of the generated reports:

<table>
<thead>
<tr>
<th>1. Application Data</th>
<th>2. Application Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Column</td>
<td>Column Name/Contents</td>
</tr>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Application Code</td>
</tr>
<tr>
<td>3</td>
<td>Application Initiative</td>
</tr>
<tr>
<td>4</td>
<td>Application Round</td>
</tr>
<tr>
<td>5</td>
<td>Application Status</td>
</tr>
<tr>
<td>6</td>
<td>CIA</td>
</tr>
<tr>
<td>7</td>
<td>CIA Email Address</td>
</tr>
<tr>
<td>8</td>
<td>CIA Alternate Email Address</td>
</tr>
<tr>
<td>9</td>
<td>Admin Institution</td>
</tr>
<tr>
<td>10</td>
<td>Application Title</td>
</tr>
<tr>
<td>11</td>
<td>Synopsis</td>
</tr>
<tr>
<td>12</td>
<td>Basic Research Area</td>
</tr>
<tr>
<td>13</td>
<td>Field of Research Category</td>
</tr>
<tr>
<td>14</td>
<td>Field of Research Subcategory</td>
</tr>
<tr>
<td>15</td>
<td>Research Keyword 1</td>
</tr>
<tr>
<td>16</td>
<td>Research Keyword 2</td>
</tr>
<tr>
<td>17</td>
<td>Research Keyword 3</td>
</tr>
<tr>
<td>18</td>
<td>Research Keyword 4</td>
</tr>
<tr>
<td>19</td>
<td>Research Keyword 5</td>
</tr>
<tr>
<td>20</td>
<td>Research Keyword 6</td>
</tr>
<tr>
<td>21</td>
<td>Research Keyword 7</td>
</tr>
<tr>
<td>22</td>
<td>Research Keyword 8</td>
</tr>
<tr>
<td>23</td>
<td>Research Keyword 9</td>
</tr>
<tr>
<td>24</td>
<td>Research Keyword 10</td>
</tr>
<tr>
<td>25</td>
<td>Requires Human Ethics</td>
</tr>
<tr>
<td>26</td>
<td>Requires Animal Ethics</td>
</tr>
<tr>
<td>27</td>
<td>Genetic Manipulation</td>
</tr>
<tr>
<td>28</td>
<td>Carcinogenic Toxic</td>
</tr>
<tr>
<td>29</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Application Team</th>
<th>4. Grant Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Column</td>
<td>Column Name/Contents</td>
</tr>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Application Code</td>
</tr>
</tbody>
</table>
### 5. Grant Budget

<table>
<thead>
<tr>
<th>Column</th>
<th>Column Name/Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Grant Code</td>
</tr>
<tr>
<td>3</td>
<td>Grant Initiative</td>
</tr>
<tr>
<td>4</td>
<td>Grant Round</td>
</tr>
<tr>
<td>5</td>
<td>Grant Status</td>
</tr>
<tr>
<td>6</td>
<td>CIA</td>
</tr>
<tr>
<td>7</td>
<td>Budget Year</td>
</tr>
<tr>
<td>8</td>
<td>Budget Component</td>
</tr>
<tr>
<td>9</td>
<td>Total Amount for Year</td>
</tr>
</tbody>
</table>

### Grant Conditions and Milestones

<table>
<thead>
<tr>
<th>Column</th>
<th>Column Name/Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Grant Code</td>
</tr>
<tr>
<td>3</td>
<td>Grant Initiative</td>
</tr>
<tr>
<td>4</td>
<td>Grant Round</td>
</tr>
<tr>
<td>5</td>
<td>Grant Status</td>
</tr>
<tr>
<td>6</td>
<td>Condition or Milestone</td>
</tr>
<tr>
<td>7</td>
<td>Condition/Milestone Type</td>
</tr>
<tr>
<td>8</td>
<td>Condition/Milestone Description</td>
</tr>
<tr>
<td>9</td>
<td>Condition/Milestone Due Date</td>
</tr>
<tr>
<td>10</td>
<td>Condition/Milestone Date Met: values: &quot;Not Yet Met&quot; or actual date met</td>
</tr>
<tr>
<td>11</td>
<td>Does this Condition/Milestone Stop Payments?</td>
</tr>
</tbody>
</table>

### 6. Grant Team

<table>
<thead>
<tr>
<th>Column</th>
<th>Column Name/Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Grant Code</td>
</tr>
<tr>
<td>3</td>
<td>Grant Initiative</td>
</tr>
<tr>
<td>4</td>
<td>Grant Round</td>
</tr>
<tr>
<td>5</td>
<td>Grant Status</td>
</tr>
<tr>
<td>6</td>
<td>Team Member</td>
</tr>
<tr>
<td>7</td>
<td>Person Identifier – A seven digit unique identifier (RGMS account holders only)</td>
</tr>
<tr>
<td>8</td>
<td>Is Team Member Active</td>
</tr>
<tr>
<td>9</td>
<td>Email Address</td>
</tr>
<tr>
<td>10</td>
<td>Alternate Email Address</td>
</tr>
<tr>
<td>11</td>
<td>Affiliated Institution</td>
</tr>
<tr>
<td>12</td>
<td>Member Role</td>
</tr>
<tr>
<td>13</td>
<td>Member Type</td>
</tr>
<tr>
<td>14</td>
<td>Start Date – format: dd-Mon-yyyy</td>
</tr>
<tr>
<td>15</td>
<td>Finish Date – format: dd-Mon-yyyy</td>
</tr>
<tr>
<td>16</td>
<td>Salary Level</td>
</tr>
<tr>
<td>17</td>
<td>Salary Level Code</td>
</tr>
<tr>
<td>18</td>
<td>Other Items Total</td>
</tr>
</tbody>
</table>

### Application

<table>
<thead>
<tr>
<th>Column</th>
<th>Column Name/Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Row Number</td>
</tr>
<tr>
<td>2</td>
<td>Grant Code</td>
</tr>
<tr>
<td>3</td>
<td>Grant Initiative</td>
</tr>
<tr>
<td>4</td>
<td>Grant Round</td>
</tr>
<tr>
<td>5</td>
<td>Grant Status</td>
</tr>
<tr>
<td>6</td>
<td>CIA</td>
</tr>
<tr>
<td>7</td>
<td>CIA Email Address</td>
</tr>
<tr>
<td>8</td>
<td>CIA Alternate Email Address</td>
</tr>
<tr>
<td>9</td>
<td>Admin Institution</td>
</tr>
<tr>
<td>10</td>
<td>Grant Title</td>
</tr>
<tr>
<td>11</td>
<td>Application Year</td>
</tr>
<tr>
<td>12</td>
<td>Number Years Approved</td>
</tr>
<tr>
<td>13</td>
<td>Start Date – format: dd-Mon-yyyy</td>
</tr>
<tr>
<td>14</td>
<td>Finish Date – format: dd-Mon-yyyy</td>
</tr>
<tr>
<td>15</td>
<td>Number Outstanding Conditions</td>
</tr>
<tr>
<td>16</td>
<td>Is Co-funded?</td>
</tr>
<tr>
<td>17</td>
<td>Salary Total</td>
</tr>
<tr>
<td>18</td>
<td>DRC Total</td>
</tr>
<tr>
<td>19</td>
<td>Equip Total</td>
</tr>
<tr>
<td>20</td>
<td>Other Items Total</td>
</tr>
<tr>
<td>21</td>
<td>Total Amount</td>
</tr>
</tbody>
</table>
### 3.4.2. Transferring Data Content to Excel and separating into columns

The file(s) exported from RGMS are in delimited .txt format without columns or column headers, therefore it can be difficult to sort and analyse the data easily.

The following steps will show you how to transfer the data into an Excel spreadsheet and separate the data into columns.

1. Navigate to the **Institutional Information** page; refer to section 3.3.15 *Accessing the Institution Information Page*.
2. Select the **Data Exports** subpage.
3. To open a file, click on the *folder icon* next to the appropriate file name.

Below is an example of the layout;

4. Select and copy all of the data within the text file.
5. Open a blank workbook in Microsoft Excel.
6. Click in cell A1 and **paste** the data you had copied from the original export.  

*The data will be copied into Column A of the spreadsheet.*

7. Ensure that **Column A** is highlighted and select the **Data** tab from the ribbon at the top of your screen.

8. Click on the **Text to Columns** button.
9. Select the **Delimited** option under **Original Data Type** and click **Next**.

![Delimiters Wizard](image)

10. Under the **Delimiters** heading, unselect the **Tab** option and select **Other**.
11. In the **Other** free text field enter ^ (shift + 6) and click **Next**.

![Other Delimiter](image)

12. Ensure that **General** is selected under **Column Data Format** and click **Finish**.
The data should now be separated into columns.

**IMPORTANT NOTE**

To add a header row you will need to insert a new row at the top of the table and then enter the header names above the corresponding columns.

For details on header rows please refer to the tables in section 3.4.1 *File Data Content*.

### 3.5. Institutional Annual Compliance Reporting

**IMPORTANT NOTE**

The information covered in this section is for Research Administration Officers (RAOs) reference only.

Administering Institutions are required to submit an annual report that details compliance with the NHMRC Funding Agreement and other relevant policies for the previous calendar year. This report is known as the Institutional Annual Compliance Report.
The steps below outline how to complete and submit this report.

1. From the RGMS Home page, select the **RAO/Finance Officers** tab.

2. Select the **Institutional Annual Compliance Reports** quicklink.

3. Select the hyperlink of your Institution’s name from the **Institution** column.
This will then take you to the Institution Properties page:

4. Click on the Properties dropdown menu and select the Annual Compliance Report.

Any previously submitted annual compliance reports will be listed here:

5. Select New to create a new report.
6. Select the relevant year for the report from the **Report Year** dropdown field menu.

7. Select **Save** and you will see the following screen.

8. Select **Yes** or **No** to the question ‘Did your Institution administer NHMRC funds during the reporting period as the Administering Institution?’. Select **Save**.
   a. If **Yes**, proceed to Step 9 (next step).
   b. If **No**, proceed to the RAO Certification page (Step 11).
9. Navigate to the Properties tab and select Part A from the Properties dropdown menu, complete all mandatory fields, and select Save.

10. Click on the Properties Tab to select the dropdown menu. Select each of Parts B-E in turn and complete the questions on each page. Ensure you Save before moving to the next page each time.

When all parts of the report are complete you are ready to submit the report.
11. Navigate to the **Properties** tab and select **RAO Certification** from the **Properties** dropdown menu and complete all mandatory fields. (Note: If you answered ‘No’ to the question ‘Did your Institution administer NHMRC funds during the reporting period?’ in Step 8, you will not see **Part A-E** in the dropdown menu as shown below).

![Properties tab screenshot](image)

12. Select **Save and Return** to complete your report and submit it to NHMRC. This will take you back to the “Annual Compliance Report” main page. If your report status still shows “In Progress”, refresh your browser and the status should change over to “Received by NHMRC”.

13. To see a PDF copy of the completed document, go to the **Properties** dropdown menu and select **Generated Documents**.

![Generated Documents screenshot](image)
14. To open the required report select the report name under the “Generated Document” column.
4. Financial Reporting

IMPORTANT NOTE

The information covered in this section is for Finance Officers’ (FOs) and Chief Finance Officers’ (CFOs) reference only. Grantees, Chief Investigators, or CIA and RAOs are not able to create or modify financial reports.

One requirement of accepting a NHMRC grant is that financial reports must be regularly submitted to NHMRC as stated in the relevant Deed of Agreement or Funding Agreement. This section outlines the process for uploading financial reports into RGMS.

This section will cover the following topics.

- Financial Reporting Process
- Financial Report Upload Template
- Uploading Financial Reports
  - Financial Report Upload File – Data Requirements
  - Uploading a Financial Report
  - Upload Error Handling
- Accessing Financial Reports
- How to attach supporting documentation into a Financial Report
- Cancelling a Financial Report
- Rejected Financial Reports
- Recertifying a Financial Report
  - Recertifying as the Finance Officer
  - Recertifying as the Chief Finance Officer
4.1. Financial Reporting Process

The two following diagrams provide an overview of the cycle of a financial report and details of the upload process. These diagrams are designed to help you understand the process of the Financial Report Upload.
4.2. Financial Report Upload Template

The most up-to-date Financial Report Upload Template can be located on the NHMRC website. Please ensure that the latest template is downloaded and used for uploading financial reports. Use of previous versions of the template will lead to upload failure or data imported into incorrect fields.

To access the template you can either:

Follow the steps below to navigate to the template.
2. Under the **Grants and Funding** dropdown menu, select **Administering Grants**.

3. Scroll down the page and select click on the **Learn more about financial reporting** hyperlink.

4. Select the **FRU_2014-01-01_3.xls (XLS, 24KB)** hyperlink to download the template.
Depending on your browser settings, you will be able to open and view the template or alternatively download the template for your use.

4.3. Uploading Financial Reports

Financial report upload allows an institution’s finance officer (FO) to submit multiple financial reports of the same type and multiple reporting years at the same time. The following section details the rules and outlines the steps on how to successfully upload financial reports in RGMS.

Please ensure that the latest template is used or the upload may result in failure or values imported into incorrect fields, the link is provided in section 4.2 Financial Report Upload Template.

Open the template and fill in the columns with the relevant information for each grant. You are able to leave fields blank if they do not apply.

There are only two columns in the template that are mandatory; these are the **NHMRC Grant Code** and **Reporting Year**. The mandatory columns are indicated in the template by an asterisk (*).

**IMPORTANT NOTE**

You must be logged in as the Finance Officer (FO) or Chief Finance Officer (CFO), to upload financial reports. These accounts have been provided to you by NHMRC. RAOs cannot upload financial reports. Contact the [Research Help Centre](#) if you require assistance with your RGMS account.
The columns on the template include:

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NHMRC Grant Code</strong></td>
<td>Enter the 10 character grant code, for example GNT1234567 when the grant number has 7 trailing digits or GNT0123456 when the grant has 6 trailing digits. Please ensure that no lower case letters are used (i.e. ‘gnt1234567’) and that there are no spaces between, before or after.</td>
</tr>
<tr>
<td><strong>Reporting Year</strong></td>
<td>You are able to enter the reporting year (4 digits: YYYY) for each row, which enables you to report on multiple years for multiple grants provided they are the same report type. This column improves the upload process efficiency in reducing the frequency of uploading financial reports by processing multiple reporting years. Note that if you wish you can continue to group all entries with the same reporting year.</td>
</tr>
<tr>
<td><strong>Grant Income</strong></td>
<td>Enter the grant income for the reporting year.</td>
</tr>
<tr>
<td><strong>Interest on Funding for Period</strong></td>
<td>From 1 January 2013 there is no longer a requirement for institutions to disclose interest earned on any grant. We have left this column for Institutions who wish to disclose interest. An upload will fail if negative interest is reported.</td>
</tr>
<tr>
<td><strong>Funds Received from Transferring Institution</strong></td>
<td>If applicable enter the amount of funds you have physically received from the previous Administering Institution for a grant that has transferred to your Institution.</td>
</tr>
<tr>
<td><strong>Balance Brought Forward</strong></td>
<td>If applicable enter the amount of funds brought forward from the previous annual financial statement. This figure must match the closing balance of the previous annual financial statement.</td>
</tr>
<tr>
<td><strong>Salary &amp; Allowances</strong></td>
<td>Enter the amount spent on salary and allowances. This includes maternity payments, maintenance and salary on-costs etc.</td>
</tr>
<tr>
<td><strong>Scholarships &amp; Stipends</strong></td>
<td>Enter the amount spent on scholarships and stipends.</td>
</tr>
<tr>
<td><strong>Research Supplies</strong></td>
<td>Enter the amount spent on research supplies.</td>
</tr>
<tr>
<td><strong>Travel &amp; Conferences</strong></td>
<td>Enter the amount spent on travel and conferences.</td>
</tr>
<tr>
<td><strong>Consultants &amp; Contractors</strong></td>
<td>Enter the amount spent on consultants and contractors.</td>
</tr>
<tr>
<td><strong>Expensed Assets (includes equipment items &gt;$10,000)</strong></td>
<td>Enter the amount spent on expensed assets.</td>
</tr>
<tr>
<td><strong>Other Direct Research Costs</strong></td>
<td>Enter the amount spent on other Direct Research Costs.</td>
</tr>
<tr>
<td><strong>Funds Transferred to</strong></td>
<td>For a transfer acquittal, enter the amount of funds that have already been or will be transferred to another Institution.</td>
</tr>
</tbody>
</table>
new Admin Institution | transferred to the new Administering Institution. Do not show this expenditure as a negative amount. NHMRC encourages direct institutional invoicing of unspent funds for transferring grants.
---|---
Participating Institution Expenditure | If applicable enter any expenditure by participating institutions.
Funds returned to NHMRC | If applicable enter any funds that have previously been or will be returned to NHMRC. Do not show this expenditure as a negative.
Carry Forward Amount $ | Enter the funds you wish to carry forward into the next year.
| For Transfer Acquittals, the carry forward amount should always have a balance of $0. Any unspent funds at the time of the transfer are to be transferred to the New Institution.
| An Acquittal that has a carry forward amount after being reconciled by NHMRC will result in the Administering Institution being invoiced by NHMRC to recover the unspent funds.
Supporting Comments | Enter any supporting comments.
CIA Name | Enter the CIA's full name.
CFO Comments | Enter any Chief Finance CFO comments.
FO Comments | Enter any Finance Officer comments.
Your Institution Reference Code | This column enables you to enter your Institution Reference Code for the grant. This reference code will populate on the Properties page of the financial report inside RGMS. This is an optional field.

It is important to refer to the Financial Report Upload file information in the next section, 4.3.1 Financial Report Upload File – Data Requirements, when entering your data in the template.

4.3.1. Financial Report Upload File – Data Requirements

The Financial Report Upload functionality requires the financial data to meet specific rules in order to upload successfully. The file that is to be uploaded must be a tab delimited text file and meet the following rules:

1. The upload file must not exceed 2Mb in size. NHMRC uses the commonly accepted definition (used in reference to computer memory) of 1Mb being equal to 1,048,576 bytes, therefore any file exceeding 2,097,152 bytes will not be accepted.
2. All fields can be empty except the NHMRC Grant Code and Report Year - the row will be skipped if these fields are empty.
3. NHMRC grant code must be exactly 10 characters long. If not, the row will be skipped.
4. Reporting year must be exactly 4 digits. If not, the row will be skipped.
5. No field may contain a tab character. Inclusion of tab characters will result in the data being inserted into the incorrect columns.
6. All monetary fields must not contain a comma separator. Failure to remove comma separators will cause non-calculation of carry forward percentages. The spreadsheet program may automatically add a comma. To avoid this format the cell as a General field.
7. If Microsoft Excel is used to prepare the file, all Income and Expenditure fields should be formatted to be in the General category. Choosing any other categories (i.e. Number) may result in an upload failure.
8. CIA name can have 100 characters. Anything longer will be truncated to 100 characters by the system.
9. All comments fields can have 2000 characters. Anything longer will be truncated to 2000 characters by the system.
10. Character lengths refer to all characters used and include hidden special characters including line feeds and carriage returns. The Microsoft Word character count does not include these characters.
11. Do not report every expenditure item as a negative figure.

**IMPORTANT NOTE**

Remember that an upload should be for one financial report type only, such as Acquittal Statements, Transfer Acquittals or Annual Financial Statements.

When you have entered your data in the template, select **Save As**, rename the file as you wish and select **Text (Tab delimited)** (*.txt) as the format in the **Save as type** field.
4.3.2. Uploading a Financial Report

To upload a financial report file:

1. From the RGMS Home page, click on the RAO/Finance Officers tab.
2. Select the Institution Information quicklink.
3. Select the Properties Icon or any of the blue hyperlinks to go into your institution.
4. Select the dropdown arrow on the Properties Tab.
5. Select the Financial Report Upload link from the Properties dropdown menu.
Any previous financial report uploads will be listed in the Financial Report Upload list.

6. To start a new financial report upload select the New button at bottom left of page.
7. RGMS will generate the Name field automatically. This value is used to reference a particular financial report upload. Select Save to continue.

8. RGMS navigates to the Financial Report Upload Properties: General page. Enter the required data and select Save once.
9. There are two options for Financial Report Stage dropdown menu:
   a. CFO Certified and Submitted – If this option is selected the report status becomes Submitted to NHMRC and an NHMRC Project Officer will receive email notification that this report is ready to be reviewed.
   b. Previous Statements Migrated – If this option is selected the report status automatically becomes Accepted by NHMRC. You are not able to upload Acquittal Statements with this financial report stage. This upload type is to be used to efficiently upload historic data that NHMRC has previously received (the milestone has already been met by a financial report which is not yet in RGMS).

10. Select the Browse button to navigate to and attach the prepared financial report file.

IMPORTANT NOTE
Only attach one tab delimited text file (*.txt) per upload. No other file type will be recognised by RGMS for the purposes of uploading financial reports.

11. Enter the name and position title of the CFO (or Delegate). By providing this information NHMRC will deem the financial reports listed in the prepared financial report upload file as certified by the CFO (or Delegate).

12. Once you have completed all the fields, select Certified from the FO Certify dropdown menu and select Save. This will initiate the upload process. Do not select Save and then Save and Return as this will stop the background upload process from successfully uploading.
13. **Refresh** your browser until the **Results** link appears in the **Properties** dropdown menu and then select the **Results** link.

**IMPORTANT NOTE**

You must check the **Results** sub-page to ensure your upload has been successful. Clicking the **Open File** icon will only open the file in that field.
Any errors for individual records are reported on the **Results** page under **Properties** dropdown menu.

In the figure above, 118 of the financial reports were accepted and one was skipped. For the one that was skipped, refer to the error messages to amend the report. You will need to do a new upload to submit the skipped report.

14. If there are any errors refer to the **Troubleshooting** link by selecting the **Properties** dropdown menu. The **Troubleshooting** page contains an explanation of every possible error message.

**IMPORTANT NOTE**

There must only be one financial report upload instance active at a time. Before you create another upload, review the **Results** page of any existing financial report instances to ensure they have finished. If more than one instance is active at one time the details of the financial report upload page will be mixed and incorrect.

### 4.3.3. Upload Error Handling

The table below is a reference for you to identify the cause of an error when uploading a financial report. This table is located on the **Troubleshooting** page. Identify the error message in the **Error Message** column below, and refer to the **Description and Action** column for more details on the cause and how to resolve the error.

<table>
<thead>
<tr>
<th>Error Message</th>
<th>Description and Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>-- [Row: #] INPUT ERROR: Grant Code missing. Skipped</td>
<td>The first column is empty. Check column A. This column is used to retrieve the grant code</td>
</tr>
<tr>
<td>-- [Row: #] INPUT ERROR: Grant Code is not 10 characters. Skipped</td>
<td>There is incorrect formatting of the Grant Code in column A. Check the formatting and ensure that there are 10 characters and no spaces exist (example: GNT0123456)</td>
</tr>
<tr>
<td>Row: #</td>
<td>Input Error</td>
</tr>
<tr>
<td>--------</td>
<td>-------------</td>
</tr>
<tr>
<td>1</td>
<td>GNT########'s Reporting Year not 4 digits: YYYY.</td>
</tr>
<tr>
<td>2</td>
<td>Acquittal statement for GNT############ cannot be uploaded with Previous Statements Migrated.</td>
</tr>
<tr>
<td>3</td>
<td>Grant GNT############ does not exist in RGMS.</td>
</tr>
<tr>
<td>4</td>
<td>Final Acquittal Report for GNT############ is earlier than an existing report year.</td>
</tr>
<tr>
<td>5</td>
<td>GNT############'s YYYY report already exists in RGMS.</td>
</tr>
<tr>
<td>6</td>
<td>Institution does not own GNT############ in reporting year YYYY.</td>
</tr>
<tr>
<td>7</td>
<td>No associated Milestone exists for GNT############ in financial year: YYYY.</td>
</tr>
</tbody>
</table>
4.4. Accessing Financial Reports

There may be the need to refer to a financial report after it has been submitted. The instructions below illustrate how to access an uploaded financial report.

1. Navigate to the RGMS Home page.
2. Select the RAO/Finance Officers tab.

4. You are able to narrow the results displayed in the list by using the filters.

**IMPORTANT NOTE**

Select the Expand Filter to display the filter options to search for the relevant report (in Error! Reference source not found.81).

For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).
5. To access a grant select the **Properties** icon or click on the hyperlink in the **Grant ID – CIA Name** column.

Along the top of the page is a set of tabs to access information relevant to the financial report. These tabs include:

- **Properties** – Contains general report information along with the values retrieved from the uploaded file.
- **Grant Summary Information** – Provides access to a brief overview of the grant details.
- **Financial Summary Information** – Provides a breakdown of the grants financial information for each year reported.
- **Certification Status** – This tab provides an overview of the progress of the financial report.
- **Institution Admin** – This tab can be used to cancel a financial report.
- **NHMRC Admin** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this financial report.
- **Processes** – This tab is not utilised and should be disregarded.

### 4.5. How to attach supporting documentation into a Financial Report

It is necessary to attach supporting documentation into financial reports, such as acquittal statements and transfer acquittals, to ensure the entire funding period is reported on.

Once the report is uploaded into RGMS you will need to access each individual report to attach the relevant supporting documentation. **The field to attach documentation is only locked once the financial report has been accepted by NHMRC.**
1. Navigate to the financial report. For further information refer to section [6.4 Accessing Financial Reports](#).

2. Select the Properties tab and then the Financial Statement Detail link.

3. The Supporting Information section at the bottom of this page is where you upload supporting documents.

4. Select the Browse button to navigate to and attach the supporting documents.

5. Select Save once.

6. When the file has successfully uploaded, use the Browse button to attach additional files. You can attach up to five documents in total.

---

### 4.6. Cancelling a Financial Report

If a financial report needs to be cancelled, either the FO or the CFO can complete the following steps:

1. Navigate to the financial report. For further information refer to section [4.4 Accessing Financial Reports](#).

2. Select the Institution Admin tab.
3. Select the **Cancel Financial Report** link from the **Institution Admin** dropdown menu.

Select **Yes** from the **Cancel Financial Report** dropdown menu.

4. In the **Cancellation Reasons** field enter relevant comments, this field is mandatory.

5. Select **Save** to save your data and remain on the page (refresh your browser to update the **Cancellation History** field). Alternatively, select **Save and Return** to save your data and return back to the Financial Report List page.

For more information about the differences between save and save and return refer to section **3.9 Save, Save and Return and Return** in the **RGMS User Guide – Introduction to RGMS (Research Community)**.

The financial report status will update to **Cancelled** and the **Cancellation History** field will be populated when the background process is complete.

**IMPORTANT NOTE**

A financial report can be cancelled at any status prior to acceptance by NHMRC. If the financial report has been ‘Accepted’ by NHMRC and is required to be cancelled then please email [postaward.management@nhmrc.gov.au](mailto:postaward.management@nhmrc.gov.au) with your request and reason.
4.7. Rejected Financial Reports

If NHMRC rejects a financial report, the NHMRC’s comments are included in the automated email that is sent to the FO. These comments are also made available on the home page of the Institution Administration page under the NHMRC Comments section.

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If you have any questions regarding this information, please contact help@nhmrc.gov.au

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Please consider the environment before printing this email, thank you.

Regards,

NHMRC

If a financial report has been ‘Returned to Finance’ you may choose to cancel the report and, if required, submit a new report. Alternatively, you may amend the report, recertify and submit the report to NHMRC.

When a financial report is at the status ‘Returned to Finance’, the Income, Expenditure and Carry Forward fields on the Financial Statement Detail page are unlocked.

Refer to the comments provided by NHMRC to guide you in amending the financial report.

Once you have amended the financial report you may recertify the report as the FO. The CFO will be notified and will be required to certify the report.

4.8.1. Recertifying as the Finance Officer

To recertify the report, the FO will need to:

1. Navigate to the Properties tab and select the Certify & Submit link.
2. Select Certify from the Report Submission dropdown field. If applicable enter any comments in the Submission Comment section.
4.8.2. Recertifying as the Chief Finance Officer

The CFO will receive an email notification to certify the financial report after the FO has certified.

If the CFO does not accept the report they are able to reject the report. If the CFO rejects the report, the FO will need to amend the information and recertify the report in order to progress it to the CFO.
To certify the report, the CFO will need to:

1. Navigate to the Institution Admin tab and select the CFO/Delegate Approval and Certification link.
2. Confirm that the details for the CFO in the Certifying Officer Details section are correct. Amend these details as required.
3. Select Certify from the CFO Approval dropdown field. If applicable enter any comments in the Certify/Reject CFO Comment section.
4. Select **Save and Return**. The financial report status will now change to ‘Submitted to NHMRC’ and NHMRC will be notified to review the report.

**IMPORTANT NOTE**

The **Certify and Submit** and **CFO/Delegate Approval and Certification** page links will only appear inside a financial report that has been **Returned to Finance**.
5. Final Report

Under the Funding Agreement, the Administering Institution must ensure that a final report for each grant is prepared by the Chief Investigator (CIA) and is submitted to NHMRC by the date specified in the relevant Funding Rules. This section outlines the steps required for a CIA to create, edit and submit a Final Report in RGMS.

5.1. Accessing the Final Reports Page

In order to be able to complete the required Final Report you need to be able to access the Final Reports page.

1. From the RGMS home page, select the Grantees tab.
2. Select the Final Reports Quicklink.
5.2. Creating a Final Report

To create a new Final Report:

1. From the Final Report Listing page select the New Final Report button.

2. Enter the Grant ID directly into the RGMS Grant ID lookup field using the auto lookup function or by selecting the binoculars icon to display a list of grants where you are listed as CIA.
For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

3. Use the fields and Filter button or select from the list of your Grants.

4. Select the radio button of the Grant for which you are creating a Final Report and click the Add button.
5. You are returned to the Create Final report page with the RGMS ID now populated. Click Save to continue.

6. On the screen that presents after saving your Grant ID in the previous step, select the Properties dropdown icon and then the Research Achievements Summary item.

7. Select Save and Return to save your data and remain on the page. Alternatively, select Save and Return to complete the process and return you to the Final Report page.

For more information about the differences between Save and, Save and Return refer to section 3.9 Save, Save and Return and Cancel in the RGMS User Guide – Introduction to RGMS (Research Community).
IMPORTANT NOTE
If you have Certified the Final Report in the CIA Certification section, you will lock the form and it will no longer be available for editing.

Your Final Report is now available to your RAO for RAO Certification.
5.3. Accessing a Final Report

When a new Final Report is created you may need to access it for future reference or to view the content. To open an existing final report:

1. Navigate to the Final Report page, for further information refer to section 5.1 Accessing the Final Reports Page.
2. To open a Final Report, select the hyperlink in either the RGMS ID or Report Type column.

If there are multiple reports on this page you can narrow the results by using the Filters. For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

Along the top of the page is a set of tabs to access information relevant to the Scientific Report. These tabs include:

- **Properties** – Provides access to the subpage Research Achievements Summary as well as providing an overview of the Final Report details.
- **Grant Summary Information** – Provides access to a brief overview of the grant details.
- **Institution Admin** – This is the page that provides the access for RAO to complete the institutional certification of the Final Report.
- **Certification Status** – This page provides an overview of the progress the Final Report has made.
- **Generated Documents** – This page can be used to extract a Portable Document Format file (PDF) of the final report. The PDF of the report is created at the point the Final Report is submitted to NHMRC by the RAO.
- **NHMRC Administration** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this Scientific Report.
- **Processes** – This tab is not utilised and should be disregarded.

5.4. Modifying a Final Report

Final Reports cannot be modified once they have been submitted for RAO Certification. At any stage prior to committing the report to the RAO for certification by ticking the CIA Certification checkbox, edits to the fields are available and selecting **Save** will save the changes.

The next step to submit a Final Report is to enter in the data for the report. This can be done by accessing the newly created Final Report and entering the data in the fields provided. These steps can also be used to modify a rejected report.

Navigate to the relevant Final Report. For further information on how to access a **Final Report** refer to section 5.3.
1. On the **Properties** tab for the Final Report is a dropdown menu. This menu is used to access the page that needs to be completed for the Final Report.

2. Complete each of the pages relevant to the Final Report and select **Save** to save your work and continue.

### 5.5. CIA Certification and Submission of Final Reports

After creating a new Final Report in RGMS and completing the relevant entries, follow the steps below:

1. Select the **CIA Certify** dropdown, select Yes and click **Save**.

2. If required, provide a comment in the **Certify CIA Comments** field.

3. Select **Save and Return** to save your work and return to the Final Report List page.

The status of the report should now change to **Submitted to RAO**. The Final Report has now been certified and is now locked. Your RAO will be notified by email that the Final Report is now ready for their review.
5.6. RAO Certification of Final Reports

**IMPORTANT NOTE**

This section is only relevant to Research Administration Officers (RAOs).

Once the information provided by the CIA has been reviewed, navigate to the relevant scientific report. For further information refer to section [5.1 on Accessing a Final Report](#) then follow the steps below:

1. Select the **Institution Admin** tab at the top of the page then click the dropdown ▼ icon.

2. From the dropdown menu ▼ on the **Institution Admin Tab** select the **RAO Certification** link.

3. Enter Certify RAO Comments if necessary, select either **Approve** or **Reject** from the dropdown selections. If **Reject** is selected, the fields are unlocked for the CIA to edit and the CIA is notified. Selecting **Approve** will lock the Certify RAO Comments field and the report is submitted to NHMRC when **Save and Return** is selected.

4. Select **Save and Return** to save the work and return to the **Final Report List**.

The Report status becomes **Submitted to NHMRC** and all data fields are locked 🗝️.

Rejecting the report causes RGMS to generate an email to the CIA giving notice of the rejection and instructing the CIA to log in to RGMS to edit the report. At the same time the report status changes to **Clarification Requested** and all data fields are unlocked.
6. Progress Reporting

From 1 April 2015, Progress Reports, as required under the Funding Agreement, are made in the form of an annual CV update in RGMS and grantee variation applications. There is no longer an obligation to complete a form for annual or mid-term progress reports. The ‘Progress Reports’ page contains a history of progress reports created in the format required prior to 1 April 2015.

6.1. Accessing the Progress Reports Page

1. From the RGMS home page, select the Main Menu tab.
2. Select the Progress Reports link.
3. To open a Scientific Report, select the hyperlink in either the RGMS ID or Report Type column.

If there are multiple reports on this page you can narrow the results by using the Filters. For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).
3. On the **Properties** tab for the Scientific Report is a dropdown menu. This menu is used to access **Progress Against Research Aims** and **Certify and Submit** links.
7. Grant Variations

When there is a need to change the original awarded funding proposal, a Grant Variation must be submitted. NHMRC has created a range of Grant Variation options within RGMS to assist the Chief Investigator (CIA) in submitting the required information.

The generic process for a CIA to submit a variation is shown in the diagram below.

Create a variation   Complete the variation   Certify and submit the variation   RAO certification of the variation

The following sections describe how to access, create, modify and submit a grant variation.

7.1. Accessing the Grant Variation Page

The first step for Grant Variations is to access the Variation Request portlet page. The steps below show you how to access the page.

1. From the RGMS Home page, select the Grantees tab.

2. Select the Create/Edit a variation request quicklink.
7.2. Creating a Grantee Variation

To begin the Grantee Variation process you need to create a variation. This section outlines how to create and seek approval for a variation.

1. Navigate to the Grantee Variation page, as per previous step 7.1.
2. Select the New Grant Variations button at bottom of page.

3. Enter the Grant ID directly into the field or alternatively, Use the Grant ID lookup field by selecting the binoculars icon to find the relevant grant. Select Add when you have selected the relevant grant.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

4. Enter a brief description identifying the variation request in the Variation Description field.
5. Enter the **Variation Type** by typing directly in the field.
   a. Or, alternatively, select the binoculars icon beside the **Variation Type** lookup field to open a new window with a list of Grant Variation types. Select the relevant variation type and select the **Add** button.

Refer to section 7.3 **Types of Variations** for a list of the variation types.

6. Select **Save** to save your data and remain on the page. Additional grant details (the **Initiative**, **Grant ID**, **Created By**, and **Created Date** fields) will be retrieved and will be updated against the variation automatically upon refreshing the browser by pressing the **Refresh** icon.
   a. Alternatively, select **Save and Return** to complete the process and return you to the **Grantee Variation List**.

For more information about the differences between **Save and, Save and Return** refer to section 3.9 Save, Save and Return and Return in the **RGMS User Guide – Introduction to RGMS (Research Community)**.
This creates a Grantee Variation request with a status of In Progress and will be displayed on the Grant Variations Properties page.

7.3. Types of Variations

Variations requests fall into three broad categories: team, time and other. The types of specific variations are listed below:

- **Team Variations**
  - Add new Associate Investigator
  - Remove Associate investigator
  - Update CI Team Membership and Structure
  - Extended Leave Request

- **Timing Variations**
  - Defer Grant Start Date
  - Defer In-Progress Grant
  - Extend Grant Duration

- **Other Variations**
  - Change in Research Plan
  - Relinquish Grant
  - Transfer Administrative Institution
7.4. Accessing a Grant Variation

Accessing a new Grant Variation request may be required if the variation request form was not completed, or if you are reviewing a past variation.

1. Navigate to the Grantees tab, for further information refer to section 7.1 Accessing the Grant Variation Page.
2. Select the Create/Edit a variation request quicklink.
3. Use the Filters at the top of the page to narrow the listed results to the relevant grant. For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).
4. Open the relevant variation request by selecting the Grant ID & CIA hyperlink.
From this view you are able to view the grant and variation request details. The tabs at the top provide access to the following information and functionality:

- **Grant – Summary Information** – Provides access to a brief overview of the grant details.
- **Grant – Conditions and Milestones** – Provides a summary of the relevant dates applied to the grant.
- **Variation – Certification Status** – This page provides an overview of the progress of the variation request.
- **RAO Administration** – This is the page used by RAOs to approve and certify this variation. For further information refer to section 7.8 RAO Certification of Grant Variations.
- **NHMRC Administration** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this variation request.
- **Processes** – This tab is not utilised and should be disregarded.

### 7.5. Modifying a Variation

When a variation request has been created, the details for the variation request need to be entered into the newly created record and submitted.

1. Navigate to the **Grantees Variation** tab, for further information refer to section 7.1 Accessing the Grant Variation Page.
2. Open the relevant variation by selecting the **Grant ID & CIA** hyperlink.
3. Select the name of the variation link in the **Properties ▼** dropdown menu.

The examples below use **Change of Supervisor** variation.
4. This will display the page required to enter the details for the variation type selected. Populate the fields as required.

5. When all relevant data has been entered (including any attachments), select the CIA Entry Complete check box.

6. Select Save to save your work or Save and Return to complete the process and return you to the Grantee Variation List.

7. A Certify & Submit link will now appear in the Properties dropdown menu.
7.6. Certify and Submit a Variation

When all the details have been entered against the variation request, it needs to be certified and submitted.

1. Navigate to the Grantees Variation page, for further information refer to section 7.1 Accessing the Grant Variation Page.
2. Create a new variation request or modify the variation request, for further information refer to section 7.5 Modifying a Grant Variation.
3. Select the Certify & Submit link in the Properties dropdown menu.

4. If required, provide a comment in the Certify CIA Comment for RAO field.
5. Select Yes from the Certify CIA dropdown field.
6. Click on Save and Return to save your work and return to the Grantee Variations List page where the status of the variation has now changed to Submitted to RAO.

The variation request is then submitted to the RAO for final approval before being submitted for consideration by NHMRC.

7.7. Cancelling a Variation

If a created variation needs to be cancelled, then the CIA can complete the following steps.
1. Navigate to the **Grantees Variation** tab, for further information refer to section 7.1 **Accessing the Grant Variation** Page.

2. Open the relevant variation by selecting the **Grant ID & CIA** hyperlink.

3. Select **Yes** from the **Cancel Variation** dropdown field.

4. Click on **Save and Return** to save your work and return to the **Grantee Variations List** page where the status of the variation has now changed to **Cancelled**.

Once cancelled by the CIA, all fields are locked and no further changes can be made to the variation request.

**IMPORTANT NOTE**

Variation requests can only be cancelled by the CIA prior to CIA certification.
7.8. RAO Certification of Grant Variations

**IMPORTANT NOTE**

This section is only relevant to Research Administration Officers (RAOs).

The following instructions outline the RAOs steps for reviewing a variation request, making a decision to approve or cancel the request, and for certifying that decision against a variation in RGMS.

1. Navigate to the Grantee Variation page, for further information refer to section 7.1 Accessing the Grant Variation Page
2. Review the variation details.
3. Select the RAO Administration tab.

4. Depending on the type of variation, there will be links to pages that will need to be completed which can be found under the Properties dropdown menu. When these pages have been completed, select the RAO Administration tab and then the RAO Certification link.

5. If required, complete information in all mandatory fields. Use the RAO Decision tab dropdown menu to select Approved or Cancelled.

6. In the RAO Attachments section, add any required information in the space provided for free text.
7. Select **Browse** to add any documents you wish to attach in the **RAO Attachment Items** field (up to five files can be added).

8. From the **RAO Certification** dropdown field, select **Yes** or **Cancel**

9. To complete the RAO Certification of the Variation and notify NHMRC, select **Save and Return**.

Once submitted by the RAO, the status of the variation request in RGMS changes to **Submitted to NHMRC**. All fields are locked and no further changes can be made to the variation request.
7.9. RAO Rejection of Grant Variations

**IMPORTANT NOTE**

This section is only relevant to Research Administration Officers (RAOs).

The following instructions outline the RAO steps for rejecting a variation request, which will return the variation to the CIA and unlock the variation for action.

1. Navigate to the Grantee Variation page, for further information refer to section 7.1 Accessing the Grant Variation Page
2. Review the variation details.
3. Select the RAO Administration tab.
4. Select the **Reject Variation** link in the Properties dropdown menu.
5. If required, provide a comment in the **RAO Comments** field.
6. Select **Yes** from the **Reject** dropdown field.
5. Click on **Save and Return** to save your work and return to the **Grantee Variations List** page where the status of the variation has now changed to **In Progress**.

Once rejected by the RAO, all fields are unlocked to allow the CIA to make any necessary changes.
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