

# GMO Guide: How do I manage my NHMRC grant?

## Part 1: What are my ongoing responsibilities?

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### ■ Research Funds

**Receipt of Funds** – NHMRC payment of funds will be made monthly in arrears (i.e. payment in February 2016 for January 2016 and so on), no invoicing is required.

**Ethics and Safety Approvals** - Payments do not commence until UNSW has confirmed to the NHMRC that all Ethics approvals and Safety clearances included in your proposal have been approved. Receipt of funding is therefore reliant on the Chief Investigator completing all approval and clearance requirements. You should include all approvals required for the project when completing your Acceptance Form.

**Data Completion at Award** – Payments do not commence until a plain English summary of the proposed research and Ethics details (if required) are provided in RGMS by the Chief Investigator and then submitted to the NHMRC by the GMO.

**UNSW Research Account** – will be opened once a completed Acceptance Form has been received by the GMO, the NHMRC and UNSW have signed the relevant Award Schedule to the Funding Agreement and a multi-institution agreement (MIA) has been entered into with each Collaborator participating in the research project activities (e.g. other Australian Institutions).

### *Allowable expenditure*

#### **Direct Research Cost (DRC) Guidelines:**

- The cost must be integral to achieving the objectives and outcomes detailed in your original Proposal.
- The cost must not be for facilities or administrative costs that would be provided by an institution in the normal course of undertaking and supporting health and medical research.

#### **Travel:**

- Travel costs must be directly related to the research objectives of your Project, such as field work, research collaborations or for use of facilities in other countries.
- Costs for travel, registration, accommodation, per diems, airport taxes and rent of any vehicle/taxi to a conference or venue are allowable travel costs. Expenditure on these should be reasonable, and where possible, budgeted in accordance with the UNSW/ATO Travel rates.
- No more than one overseas trip should be taken per year on any one grant (single traveller usually a Chief Investigator or an Associate Investigator), economy class, including conference travel. Exceptions are to be approved and documented by the Faculty Research Committee (or equivalent in a medical research institution) **prior** to the travel being undertaken.
- Non-allowable travel costs include visas and passports, costs for accompanying family members, airline club membership, health insurance, and travel insurance. There should not form part of your travel expenditure.

#### **Conferences:**

- Conference travel is only allowable where directly related to your approved research objectives and for the purpose of presenting Project outcomes. The above travel rules also apply to conference travel.

#### **Salaries and Salary On-Costs:**

- NHMRC contributes to the cost of employing research personnel. The NHMRC salary contribution is usually calculated using a Personnel Support Package (PSP) which is not designed to cover the full cost of employing the grant's research personnel.
- NHMRC funds provided for a Research Activity can be used for annual leave and long service leave entitlements that accrue in respect of research personnel during their employment on that Research Activity. However, severance and termination payments and extended leave payments (leave

entitlements accrued on non NHMRC Research Activities) are not DRCs and must not be paid for with NHMRC funding.

- Fringe Benefits Tax (FBT) is specifically excluded as a DRC and NHMRC funds are not to be used to fund this expense.
- It is recognised that because NHMRC does not fund the full cost of employing research personnel there is, in most cases, a gap between PSP rates and the UNSW salary rate. Where this occurs, there is flexibility to use NHMRC Funds provided for Research Support Schemes to cover the gap between the PSP and the researcher's part or total salary including on-costs. Such use of Funds, is to be the outcome of agreement between institutions and Chief Investigator A (CIA)

#### Publication Costs:

- Research funds can only be used for reasonable publication costs where the publication has occurred as the result of your approved Project. Where this is the case, expenditure is to be in accordance with the *Australian Code for the Responsible Conduct of Research 2007*.

#### **Further information on expenditure is also provided by the NHMRC:**

- [NHMCR Direct Research Cost Guidelines \(DRC\)](#)
- [NHMRC Funding Agreement and Deeds of Agreement](#)
- [Use of NHMRC Project Grants funds and other research support grant funds](#)

#### ■ **Administrative Obligations**

**RGMS Post award Management System** - you can access your grant record and submit most Progress Reports and Variation requests using the NHMRC online system [RGMS](#). You will have set up your account details when you applied for the grant, and you can also retrieve account details via the login page.

**Peer review and Assessment of funding application** - The NHMRC requires you to keep your Fields of Research and keywords updated in your RGMS CV and Profile to enable the appropriate allocation of applications for peer review assessments. Each Chief Investigator on a grant may be required to review at least 5 applications each calendar year.

**Use of Information by the NHMRC in Publicity and Reports**- the NHMRC may use information about awarded Projects in media releases, general announcements, on the NHMRC website and on the NHMRC annual report. This information may include the Administering and any Participating institutions, the funds, a title and description of the research activity (including its duration and location).

**Use of information in the NHMRC Annual Report** - The NHMRC may include the names of any named Personnel on an awarded grant along with details of their qualifications or expertise in its Annual Report. UNSW is required to advise Personnel that their personal information may be used in the Annual Report.

**Conflicts of Interest** – Project Personnel should declare any Conflict of Interest they have in carrying out a Project being funded by the NHMRC. UNSW is required to advise the NHMRC in a timely manner of any Conflict of Interest. UNSW has a Conflict of Interest policy, details of which can be found at <https://research.unsw.edu.au/research-integrity-policies-and-procedures>. Project Personnel should ensure Conflicts of Interest are reported to their supervisor via the Disclosure Statement with a completed copy provided to the Grants Management Office. UNSW is required to obtain written consent from the NHMRC to perform the Research Activity notwithstanding the Conflict of Interest.

**Information Privacy Principles** - Specified Personnel who have access to any Personal Information must observe the Information Privacy Principles in the Privacy Act 1988 (Cth). Investigators must not transfer Personal Information outside Australia, or allow parties outside Australia to have access to the information without the prior approval of the NHMRC.

## ■ Conducting and Publishing Research

**Acknowledgement** – an NHMRC grant must be properly acknowledged in any correspondence, public announcement, advertising material, research report or other material. The acknowledgement must also include the NHMRC Grant number and specify that *“the contents of the published material are solely the responsibility of the Administering Institution, a Participating Institution or individual authors and do not reflect the views of the NHMRC”*. Any use of the NHMRC logo must be approved by the NHMRC in writing for that specific use.

**Open access requirements** – the NHMRC requires that any publications arising from an NHMRC supported research project must be deposited into an open access institutional repository or be available via an open access journal or service such as PubMed Central within twelve months from the date of publication. The NHMRC’s Open Access Policy is available at <http://www.nhmrc.gov.au/grants/policy/nhmrc-open-access-policy>.

## Part 2: What are my reporting obligations?

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### ■ Progress Reports

- **All NHMRC grants with a Funding Period Greater than one year** (except scholarships and enabling grants- see below) require the submission of a Progress Report online through RGMS. Research Support grants require submission of annual progress reports due by 30 April each year. People Support grants require submission of a mid-term progress report by two months after the midpoint of the grant.
- Progress reports for **Enabling Grants** are due by 31 December for each year in which there were payments or a carry forward of funds. A template is available at [www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting](http://www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting)
- Progress reports for **Scholarships** are only required if satisfactory progress has not been achieved. If required, this will be due by 31 December each year. A template is available at [www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting](http://www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting)

### ■ Final Reports

- Final reports for all Schemes (except Scholarships- see below), are due to the NHMRC within 6 months of completion of the Project.
- There are two components to the Final Report.
  - The ‘NHMRC End of Grant Final Report’ – the template for the report is available at [www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting](http://www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting)
  - Updating any research outputs associated with the grant including publications and patents in RGMS. These must be recorded in the RGMS Profile and CV section and linked to the grant which the final report is for, prior to submission of the report.
- Scholarships are due to the NHMRC within 1 month of completion. The report should be written by the student’s Supervisor and describe the work performed and any publications arising. The report should be emailed to [postaward.management@nhmrc.gov.au](mailto:postaward.management@nhmrc.gov.au). There are no final reporting requirements for the Scholar.

### ■ Financial Reporting

**Carry forward – Projects in the Final Year** - Where it is estimated that there will be a carry forward in the final year of a project, the CIA must submit an Extend Grant Duration request through RGMS before the end date of the grant. As this request is routed through the GMO for approval before reaching the NHMRC, requests need to be made in RGMS by **no later than 1 December**. The GMO will communicate to CIAs who are required to submit a carry forward request in advance of the deadline.

It is important to note that the NHMRC expects all expenditure to have been completed by the documented Project end date, and an extension request should therefore be submitted if there is a likelihood of activity or expenditure extending into a new year.

**Carry Forward - Projects NOT in the Final Year** - Outstanding funds for grants not in the final year are automatically carried over. No separate request or justification is required.

## ■ Financial Statements

**Annual Financial Statement** - Annual Financial Statements are due to the NHMRC by 30 April each year, and report on income and expenditure for the previous calendar year. The GMO prepares and submits these statements. **Chief Investigators are required to login to RGMS and confirm the statement is correct and that no expenditure has been made on non-allowable items.** It is important that you arrange for all NHMRC research grant related expenditure to be submitted and processed by the end of calendar year deadlines set by UNSW Finance to ensure all expenditure incurred is accounted for in the NHMRC Financial Statement.

**Acquittal Statement** - Statements for all Schemes are due to the NHMRC within 6 months of Project completion. The acquittal statement reports on total income and expenditure for the Research Activity's funding period. The GMO prepares and submits these statements. It is important that you arrange for all NHMRC research grant related expenditure to be submitted and processed before the Period of Funding end date. The Acquittal Statement will be prepared after the GMO receives your Final report.

### Part 3: Variations to the original proposal

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#### **Variation Process**

The variation approval process is initiated by the CIA, who enters a variation request in RGMS, completes all requirements online and submits via the GMO for approval and submission to the NHMRC. Variation requests should be submitted at least a month before the proposed date of effect. The NHMRC will notify the GMO of their decision to approve or deny the request.

Further information on the process and documentation required for each variation type can be obtained from your Grants Officer, and information is also available on the NHMRC webpage at <http://www.nhmrc.gov.au/grants/administering-grants/grantee-variations>. A tutorial on how to submit a variation request in RGMS is available at: [http://www.nhmrc.gov.au/files/nhmrc/file/grants/rgms/GranteeVariations\\_CI\\_CIA\\_FEB2011.pdf](http://www.nhmrc.gov.au/files/nhmrc/file/grants/rgms/GranteeVariations_CI_CIA_FEB2011.pdf)

*Common variations requiring NHMRC approval include:*

**Change in the Research Plan**— any change to the Aims or experimental/trial conditions of the approved funding proposal or the approved budget must be approved by the NHMRC before the change occurs.

**Change in a Chief Investigator's Circumstances** - if a Chief Investigator is no longer able to participate or continue in the project or no longer meets the eligibility requirements for a Chief Investigator (e.g. leaves Australia), a variation request must be submitted to the NHMRC. The variation request must outline the proposed new Chief Investigator arrangements. If a Chief Investigator is going on extended leave (e.g. maternity leave, long service leave) these changes also must be approved by the NHMRC before the leave commences.

**Change of Administering Institution** – if a Chief Investigator transfers to another NHMRC Administering Institution and UNSW and the new institution agree to a transfer, this change must be approved by the NHMRC.