

ResearchMaster Project Module Data Entry Checklist

List of Contents

1. Grant Application / Agreement Negotiation Stage (<i>Pre-award Officer</i>)	1
2. Application Letter to Funding Body (<i>Pre-award Officer</i>)	2
3. Application Submitted (<i>Pre-award Officer</i>)	2
4. Withdrawn Application (<i>Pre-award Officer</i>)	2
5. Grant Announcement Stage (<i>Pre-award Officer</i>)	2
6. Agreement Executed (<i>Post-award Officer</i>) – both DVC R&I and Funding Org signatures obtained	3
7. Research Account Created (<i>Research Data Officer</i>)	4
8. Funding to Other Organisations (<i>Post-award Officer</i>)	4
9. Significant Date Item Received (<i>Post-award Officer</i>)	4
10. Overdue Reports/Milestone (<i>Post-award Officer</i>)	4
11. Invoices Due (<i>Accounts Receivable</i>)	4
12. Invoices Raised (<i>Accounts Receivable</i>)	5
13. Variations (<i>Post-award Officer</i>)	5
14. Discontinued Project (<i>Post-award Officer</i>)	5
15. Completed Project (<i>Post-award Officer</i>)	5
16. Change of Finance Officers (<i>Post-award Officer</i>)	6

This is a checklist for data-entry of externally funded research project details on ResearchMaster (RM). The data are used to raise R030 Research Accounts in SAP, budget for research activities, send reminders on milestones and invoices, monitor the progress of the projects, and generate reports for internal management and statutory reporting to the government. The data are also audited by an external auditor annually for the Higher Education Research Data Collection (HERDC). It is essential to maintain a high level of data accuracy. Please refer to *RM Guide - Field Description - Projects Module* for future details.

1. Grant Application / Agreement Negotiation Stage (*Pre-award Officer*)

- **Title** (as shown on application/agreement)
- **Primary Contact** (Primary CI at RMIT or Primary Supervisor of a student project)
- **File** (ID from the Funding Organisation, e.g. DP110101304)
- **Government Category** (the highest of all fund schemes - CAT0, CAT1, CAT2, CAT3 or CAT4)
- **Project Type** ('Competitive Research' or 'Contract Research')
- **Date Received** (Date grant application or draft agreement received by Research and Innovation)
- **Start Date** (proposed project commencement date)
- **End Date** (proposed project completion date)
- **Project Status** (one of the following as appropriate)
 - Application Received – Research Services at Research and Innovation first receives an application for a Competitive Research project.
 - Agreement Negotiation – project at agreement negotiation stage
- **Funding Type** (e.g. R3900 – Local Government)
- **Project Description** (as on the research proposal or agreement)
- **Research %** (total must equal to 100%)
- **Classifications** (FOR and SEO Codes)
- **Documents** (attach 'Application' and 'Coversheet' – the file name must contain the keyword, while the Short Description on RM must only use the keyword)
- **Linked Funding** (Original funding scheme, may or may not be from the party to be invoice, and applied amounts by calendar year)
- **Linked Project** (Link to related project records, if any)
- **Personnel** (Chief Investigators as shown on the agreement or requested by the Primary CI; Mark ARC APAI students as 'APAI student' and other students as 'Student'; Contract Manager as specified.)

- **Budget Financials** (awarded RMIT Internal Funding amounts by calendar year and CI; must be entered after Linked Funding and Personnel items have been created)
- **Personnel Module/Finance Officer Position Records** (names and emails if there is change of staff – see Item 14 below)

2. Application Letter to Funding Body (**Pre-award Officer**)

To generate an application letter to a funding body, use the following file:

I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\Grant Submission Query.xls

First, select the scheme. Then, click the “Click here to create submission letter” button. The password is “readonly”. This will open a word document. Click ‘yes’ when prompted to enable data from the SQL to populate the document. After this has occurred, select macros from the tools menu in the word document and select macros/MergeLetters. This will create a new document (titled “Letters1.doc”). This document should be populated with the required information. You should delete the rows in Letters1.doc in the table which have not been populated and create a *.pdf of the document with a meaningful filename (e.g. “NHMRC Application 2012.doc”). Close the Document in Grant Submission Query.xls Word file and close the Grant Submission Query.xls file **without** saving it.

3. Application Submitted (**Pre-award Officer**)

The following actions are required when Research Services at Research and Innovation has submitted the application for a Competitive Research project to the funding body:

- **Date Applied** (Date grant application submitted to the funding body)
- **Project Status** (‘Application Submitted’)
- **Documents** (update ‘Application’, if required)

4. Withdrawn Application (**Pre-award Officer**)

The following actions are required when a project application / draft contract is withdrawn:

- **Project Status** (‘Withdrawn’)
- **Documents** (attach ‘Withdrawal’ proof)
- **Current Project** (un-tick the box)
- **Date Closed Off** (date communication on the withdrawal received)
- **Closed Off Record** (tick the box)

5. Grant Announcement Stage (**Pre-award Officer**)

The following actions are required when Research and Innovation receives the outcome of an application to a competitive research grant:

If unsuccessful

- **Current Project** (un-tick the box)
- **Project Status** (‘Unsuccessful’)
- **Documents** (attach ‘Unsuccessful letter’)
- **Date Closed Off** (as shown on the Unsuccessful Letter)
- **Closed Off Record** (tick the box)

If successful

- **Date Approved** (date of award)
- **Project Status** (update to ‘Agreement Negotiation’ or ‘Pending Agreement Negotiation’)
- **Documents** (attach ‘Successful letter’ – do not attach ‘Agreement letter’ before signoff – follow ‘Agreement Signing Stage’ steps after the ‘Agreement letter’ is signed by both RMIT and the funding organisation)

6. Agreement Executed (**Post-award Officer**) – both DVC R&I and Funding Org signatures obtained

The following actions are required when all agreements required prior to project commencements have been executed:

- **Title** (as shown on agreement)

- **File** (as shown on agreement, if not already available at the application stage)
- **Funded Project** (tick the box)
- **Start Date** (as shown on agreement)
- **End Date** (a shown on agreement)
- **Date Approved** (for contract projects - date agreement executed)
- **Entry Status** ('Ready for IO' when all approvals have been obtained and entered on RM)
- **Project Status** ('Approved', 'Approved: not Administered by RMIT' or 'Transferred In', if not already selected.)
- **Project Progress Status** ('Pending ethics approval' if ethics clearance is required but not obtained)
- **TRIM Number** (as shown on the main agreement)
- **Keywords** (add the TRIM numbers of any related agreements in this field, e.g. variation agreement; extension agreement; linked scholarship agreement)
- **Primary Function** (Related Internal Order Number, e.g. 30% in Sub-IO 33.2989; 40% in Teaching and Learning IO 37.2598)
- **Project Details** (Processing status note for the project – e.g. emailed NAME for Coversheet on DATE)
- **Budget Financials** (Approved amounts by CI and calendar year)
- **Linked Funding** (Approved amounts by original fund scheme and calendar year – funding contracted out to a third-party must be recorded with negative figures)
- **Documents** (attach 'Agreement' or 'Agreement letter' and any 'Successful letter' from the shared 'Project Documents' folder; if the awarded amount is less than 80% of the amount applied for, also attach the re-signed 'Coversheet')
- **Significant Dates** with reminder emails attached as appropriate, using the relevant email templates listed in I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\RM Report - Email Templates.xls
 - **Ethics Clearance Due** ('Date of Action' should be a month before the 'Est. Completion Date')
 - **Milestone or Report Due** ('Date of Action' should be a month before the 'Est. Completion Date'; add specific Report/Milestone Title to 'Title')
 - **Final Report Due** ('Date of Action' should be a month before the 'Est. Completion Date')
 - **Invoice Due** ('Date of Action' should be seven days before the 'Est. Completion Date'; the 'Est. Completion Date' must be the same as the dependant report/milestone, if any; add dependant report/milestone title and Organisation Name for the invoice to 'Title': e.g. 'Invoice – Report 1.1 to Victoria University'; other comments can be made in the 'Further Details' field; add invoice amount, AUD dollar value only, in 'Completion Details'- e.g. \$1,000.00.
 - **Note 1:** An item still needs to be set up for funding directly deposited or in the form of a cheque and do not require an actual invoice, because management reports draw monthly income data from the \$ figures recorded in these items.
 - **Note 2:** Invoices from a third-party where part of the research work has been contracted out to also need to be recorded here with the relevant Title (e.g. Invoice from UQ - \$1000) and a negative \$ figure. E.g. -\$1,000.00.
 - **Note 3:** The total of all 'Invoice Due' items for each project record must add up to total net research income for the project as recorded in Linked Funding. This field is used for calculating actual and forecasted net monthly income, while the figures in Linked Funding are for reporting committed income.
 - **Financial Milestone** ('Date of Action' should be a month before the 'Est. Completion Date')
 - **Financial Acquittal** ('Date of Action' should be a month before the 'Est. Completion Date')
- **Personnel** (all CIs on the project)
 - An academic is only a CI if so named on the project agreement (i.e. academics with other roles specified in the project agreement are not recorded as CIs)
 - For retrospective contracts (i.e. contracts which have been finished) an academic will only be added as a CI on RM if the Primary CI on the project agrees in writing.

- For current projects with named CI's, a contract variation will be required in order to add an academic as a CI.
- For current contracts which are more generic and do not have named CIs, in order to add an academic as a CI the Primary CI will need to agree in writing.
- **Chief Investigator:** Researchers listed on the agreement or confirmed by the Primary CI
- **Contract Manager:** Contract manager dedicated to this project
- **Student:** Student of a scholarship
- **APAI Student:** APAI Student
- **Partner Investigator:** Researcher from partner organisation

7. Research Account Created (*Research Data Officer*)

- **Internal Order Number** (e.g. 33.2910)
- **Project WBS Number** (e.g. RE-00005)
- **Budget Financials** (if more than one Internal Order number (IO) is required for a project; enter the additional IOs in the 'Account Code' field of each relevant line item by CI and funding year)

To identify projects ready for an IO, use the following file:

I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\RM Report - All Projects.xls

8. Funding to Other Organisations (*Post-award Officer*)

The R&I Contract Team is responsible for informing Post-award of any funding to be transferred out of an R030 IO. Post-award will then update the relevant RM Project record.

- **Linked Funding** related item (add line items with negative figures)
- **Budget Financials** (add line items with negative figures)
- **Significant Dates** ('Funding to Other Organisation' - use email template FUNDOUT to inform school finance staff of the payment to go out against Cost Element 571200 – Grants to Other Institut./Org(non RMIT))

9. Significant Date Item Received (*Post-award Officer*)

The following details need to be updated/completed when a Significant Date Item is received by Research and Innovation:

- **Significant Date** ('Completion Date' - Enter the date you received the report or milestone /report completion confirmation email; 'Status' - mark as 'Completed')
- **Documents** (attach completion confirmation email from the CI)
- **Personnel** related item (add any eligible additional personnel)

10. Overdue Reports/Milestone (*Post-award Officer*)

Overdue reports/milestones must be chased up with the CI. If a new due date has been approved, follow the steps in '12. Variations' below. To identify projects with outstanding reports, use the following files:

- **Competitive projects:** I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\Grants\Overdue Grant Milestones.xls
- **Contract projects:** I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\Contracts\Overdue Contract Milestones.xls

11. Invoices Due (*Accounts Receivable*)

Invoices should be raised as soon as all dependant requirements are met. Invoice requests with any discrepancy from the ResearchMaster record, such as incomplete dependent reports/milestones, must be referred to postaward@rmit.edu.au. To identify invoices to be raised and those with outstanding associated milestones, use the following file:

I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\RM Report - Invoices to Pay.xls

Processing notes can be made in the **Further Details** field or the **Completion Notes** field of the relevant 'Invoice Due' Significant Date item in the Project Module of ResearchMaster. Any text can be entered in

the **Further Details** field. However, entry in the **Completion Notes** field must follow the following format: Sdd/mm/yyyy (query to school with date) or Pdd/mm/yyyy (query to Postaward with date).

12. Invoices Raised (*Accounts Receivable*)

- **Significant Date** related item in the Project Module
 - **Completion Date** (enter Date the invoice was raised)
 - **Status** (mark as 'Completed')
 - **Further Details** (generic comments/notes)
 - **Completion Notes** (SAP Invoice ID - e.g. 10084871)
 - **Completion Details** (Update Invoice amount, if required - e.g. \$1,000.00)

Note: Credit Management is responsible for chasing after un-paid invoices with the relevant funding body and communicating to Postaward of any disputes.

13. Variations (*Post-award Officer*)

- Variations should be recorded as **Change History** items on RM with the following information. If a project is discontinued or transferred out, the **Project Status** on RM must also be updated.
 - **Event Type** (select 'Variation')
 - **Date of Action** (enter date the variation process commenced)
 - **Estimated Completion Date** (expected completion date of the variation)
 - **Completion Date** (Date variation signed off)
 - **Status** (mark as 'Completed' when variation is signed off)
 - **Completion Notes** (Enter a key word on the type of variation. e.g. CI, Funding Body, Schedule, Funding Value)
 - **Completion Details** (Enter details of the variation. e.g. change of industry partner from IBM to Apple; change of CI from Dr Smith to Dr Zaius; change of end date from 1st Jan 2009 to 1st Jan 2020; Project Discontinued - Milestone/Report/Invoice Due Significant Date items removed; etc.)
- The actual variation should also be stored on RM using the **Documents** related item. The file name should contain the key word 'Variation'.
- Any **Personnel** no longer involved should have the 'Active' box un-ticked and a 'Date Involved To' added in the Workload tab.

14. Discontinued Project (*Post-award Officer*)

The following actions are required when a project commenced but subsequently discontinues:

- **Project Status** ('Discontinued' or 'Transferred Out')
- **Documents** (attach 'Discontinuation' proof)
- **Significant Date** (Enter Variation – see Point 13 above; remove future Significant Dates)
- **Current Project** (un-tick the box)
- **Date Closed Off** (date communication on the discontinuation received)
- **Closed Off Record** (tick the box)

15. Completed Project (*Post-award Officer*)

A project record can be marked as Closed Off when all Significant Date items have been marked as completed and the End Date for the project has passed. The following items need to be updated on RM.

- **Current Project** (un-tick the box)
- **Date Closed Off** (enter the date all requirements were completed for the project)
- **Closed Off Record** (tick the box)

To identify projects to be marked as Closed Off, use the following file:

I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\RM Report - Projects to be Closed Off.xls

16. Change of Finance Officers (*Post-award Officer*)

When Finance Officers change, the relevant RM record must be updated. To extract the list of Finance Officers stored on RM, run the following report:

I:\RRD_SHAR\Res Support\Research Master\Procedural Reports\RM Report - Finance Officers.xls

You will then need to update any discrepancies on the record in the Personnel Module of RM. Enter in the new name, email and extension. Do NOT change any other details on the record. This will update the target email addresses in all existing Significant Date emails for the relevant Finance Officers.

General note on RM refreshable reports: Make sure the document is macro-enabled – click ‘Enable Content’ if a yellow bar appears under the tools ribbon. You may then run the embedded macro by pressing the button marked “Update Records”. You will be prompted to enter a password (‘readonly’). You may also be prompted to enter other specific criteria, such as date range, you wish to report for.