Claiming and Reporting User Guide

2023/24 R&D Experience Student Grants

Investment Management System (IMS)

Version 1
Document Owner: Operations Team – Funding and Contract Management

Table of contents

Purpose of this document

The intended audience is an external client gaining an understanding of the Callaghan Innovation's Investment Management System (IMS) without getting into technical details.

Acknowledging the system is in continuous enhancement, the reader should be aware that this is a high level document to be used to assist in completing an online client report and claim.

IMS was developed to support the end-to-end process required to invest and manage funds and was designed to be as flexible as can be to meet the needs of the various funding models.

The content of a project is variable depending on the investment process your project is in. The content of your project may differ from those displayed.

.

Who to contact for help with the system?

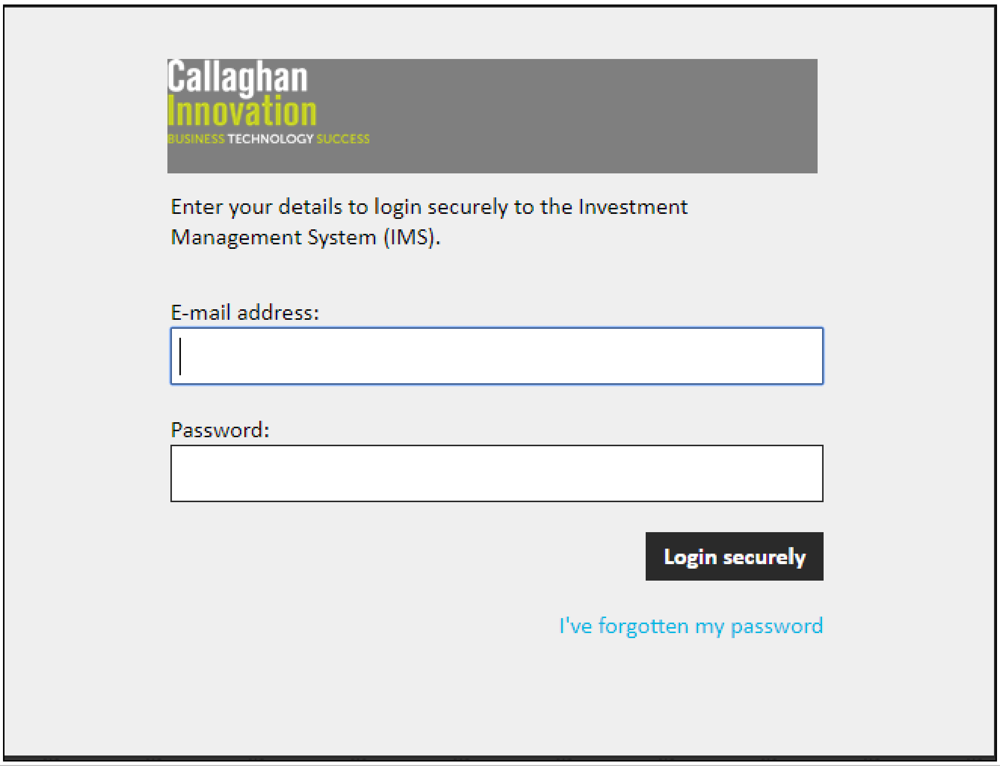
Operations Team – Funding and Contract Management
Phone: 0800 477 8326
Email: fcmoperations@callaghaninnovation.govt.nz

Document information

Version	Change description	Date
1.0	Version for 2023/24 R&D Experience reporting	July 2023

1. Accessing IMS

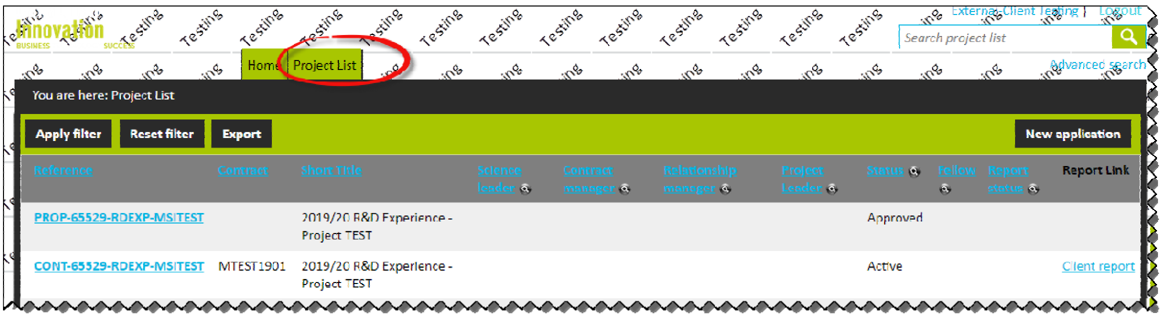
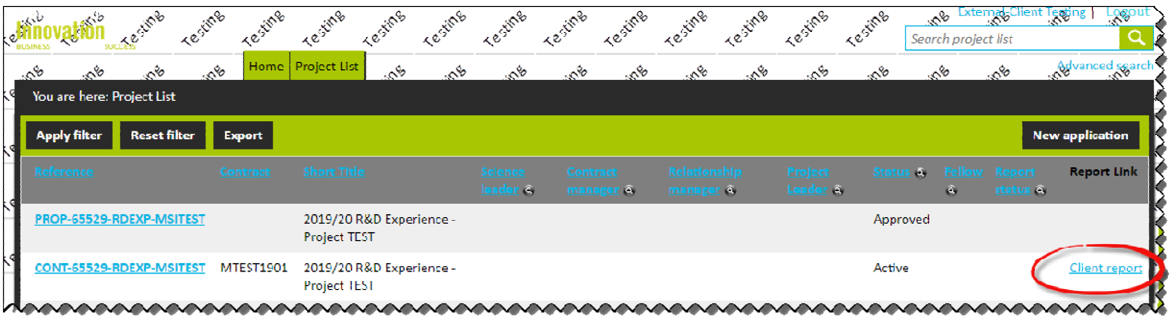
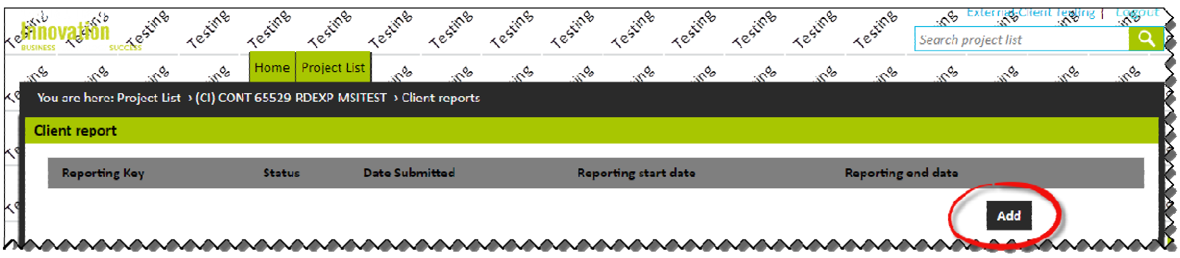
1.1. Where to go to log on to IMS

Step	Action
1	Go to Callaghan Innovation's website : https://ims.callaghaninnovation.govt.nz/MyFrst/
2	You will be presented with a log in screen. 

2. Accessing Reporting Module

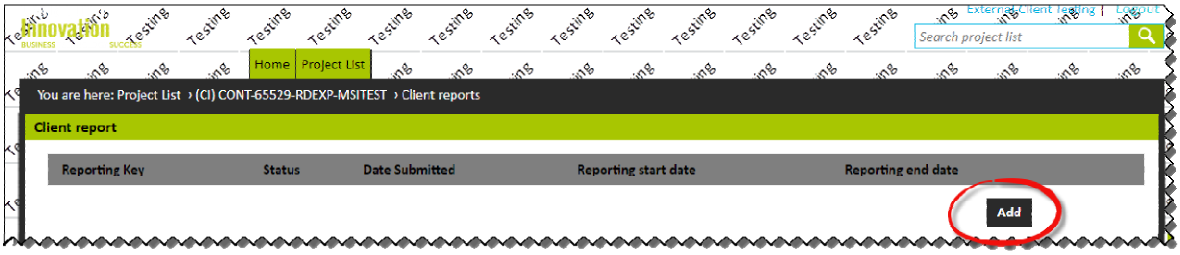
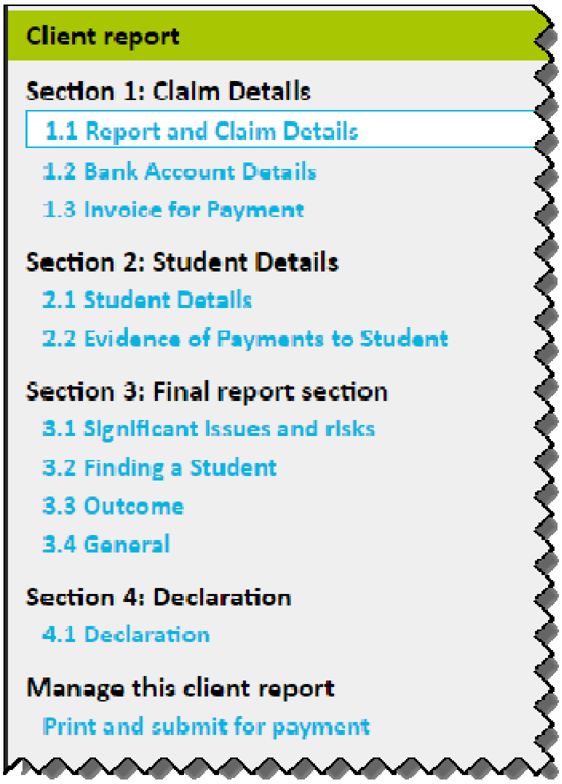
2.1. Accessing the Reporting Module

Use the steps below to help you access and create a client report, in order to submit your claim for funding.

Step	Action
1	When logging into IMS, you will be directed to the Home tab automatically. You will need to click on the PROJECT LIST tab to access all records. From this screen you will see any records that your business has within IMS. The screenshot below shows an application that has been approved and the contract that has been created from that application.  Click on the Client report link to the right of the contract record you wish to report against. 
2	You will be directed to the Reporting Module, where you can **Add** a report. 

2.2. Creating a Report

Use the steps below to help create a client report, in order to submit your claim for funding.

Step	Action
1	By clicking on **Add**, this will request a client report template to be created within the system. 
2	The report template will be created for you. The list of sections will be displayed for you to work through. 

2.3. Working through the Report Sections

Use the steps below to help you complete a client report, in order to submit your claim for funding.

<table>
<tr><th>Section</th><th>Action</th></tr>
<tr><td>Section 1</td><td>Section1: Claim Details
In the following sections you will be providing the claim information, checking bank account details and providing an invoice for payment.</td></tr>
<tr><td>Section 1.1</td><td>1.1 Report and claim details

In this section you are required to complete the following fields:
<table>
<tr><th>Field</th><th>Guidance</th></tr>
<tr><td>Report Type</td><td>Please select from the drop down “Final report and claim”. The R&D Experience fund is a one time payment at the end of the internship.</td></tr>
<tr><td>Invoice Number</td><td>From your invoice for payment, addressed to Callaghan Innovation – please enter the invoice reference number</td></tr>
<tr><td>Invoice date</td><td>From your invoice for payment, addressed to Callaghan Innovation - please enter the invoice date</td></tr>
<tr><td>Report and claim start date:</td><td rowspan="2">The start and end date will be the period that the student(s) were employed by you, and these dates should be within the contract period (as per your funding agreement) and the payslips provided as evidence should also be within these dates.</td></tr>
<tr><td>Report and claim end date:</td></tr>
<tr><td>Amount being claimed in this report:</td><td>Please enter the amount as per your invoice for payment, noting that the payslips provided as evidence should align with the GST exclusive amount. (The maximum amount that can be claimed is up to $10,400 (GST excl) per student)</td></tr>
</table>
</td></tr>
<tr><td>Section 1.2</td><td>1.2 Bank account details
The bank account that Callaghan Innovation has within the Finance system for your business is displayed.
You are required to review and ensure that this is correct. If changes are required, click on the record to open for edit.
If you have changed any of the details, then we require evidence of the bank account to be uploaded to confirm. (Upload document must <u>clearly show</u> the bank account name and number). The uploaded document must be one of the following file types, excel, word or pdf.

The bank account must for the business contracted and who employed the student.</td></tr>
<tr><td>Section 1.3</td><td>1.3 Invoice for payment
This is the section in which you upload your invoice for payment, addressed to Callaghan Innovation.

The invoice must be raised by the business that was contracted under the funding agreement and must be the same business which employed the student.

The amount being claimed must align with the pay slips that are provided as evidence of payment to the student. (The maximum amount that can be claimed is up to $10,400 (GST excl) per student), based on an hourly rate of no less than $26.00 (gross/before deductions) up to a maximum of 400 hours.</td></tr>
</table>

<table>
<tr><th>Section</th><th>Action</th></tr>
<tr><td>Section 2</td><td>Section 2: Student Details
In the following sections, you will be providing information on the student(s) that were employed and evidence of the salary/wage payments made.</td></tr>
<tr><td>Section 2.1</td><td>2.1 Student Details and evidence of eligibility

In this section you are required to provide the details of the student(s) that was employed on your payroll (not contractors)as per the Funding Agreement and the student was eligible to be funded under the R&D Experience programme

Start by clicking on the Add new button.

<table>
<tr><th>Field</th><th>Guidance</th></tr>
<tr><td>First Name(s):</td><td>Enter the first name of the student</td></tr>
<tr><td>Surname:</td><td>Enter the surname of the student</td></tr>
<tr><td>Personal email address:</td><td>Enter the personal email address of the student, as this will be used for survey purposes.</td></tr>
<tr><td>Qualification Level:</td><td>From the selection available, choose one:
• Level 6 – Graduate Diploma
• Level 7 – Bachelors Degree/Graduate Diploma and Certificate
• Level 8 – Postgraduate Diploma and Certificate / Bachelor Honors Degree
• Level 9 – Masters Degree
• Level 10 – Doctoral Degree</td></tr>
<tr><td>New Zealand Tertiary Education Institution:</td><td>Enter the name of the University/Polytechnic that the student is studying</td></tr>
<tr><td>Study status</td><td>From the list provided, advise the student's enrolment status as at the time they were employed:
• Student is still studying towards qualification at a New Zealand tertiary education institute.
• Student has finished studying at a New Zealand tertiary education institute, but last date of semester was less than 12 months ago.</td></tr>
<tr><td>Area of Study:</td><td>From the dropdown list, select as appropriate:
• Science
• Technology
• Engineering
• Design
• Business</td></tr>
<tr><td>Course Name:</td><td>Enter the course name that the student is studying.</td></tr>
<tr><td>Evidence:</td><td>From the list provided, select the evidence you have to confirm the student's eligibility:
• Confirmation of enrolment
• Copy of Official Transcript
• Copy of Unofficial (Internal) Transcript
• Copy of fees invoice
• Weblink to my eQuals platform or university website
• Other (please specify)</td></tr>
<tr><td>Employment Start Date:</td><td>Enter the date that the student started their employment with your business.</td></tr>
<tr><td>Total number of hours worked:</td><td>Enter the total number of hours that the student worked for the business.
(NOTE: the number of hours should equate to the amount</td></tr>
</table>
</td></tr>
</table>

	being claimed, and evidence provided in the form of payslips).
Confirm all of the following:	As per the funding agreement, you are required to confirm that <u>all</u> of the following are true: • Hourly rate was no less than $26.00 per hour • Has not previously been employed by the business in a full-time position • Has not previously been employed as a summer intern more than twice by the business.

Upload the documentation as evidence of the student's eligibility.

Section 2.2

2.2 Evidence of Payments to Student

You must upload copies of all salary/wage slips as evidence of payment to the student(s).

The R&D Experience student grant is a contribution to the student's wage, to a maximum of $10,400 (GST exclusive) per student, based on no less than $26.00 per hour (gross/before deductions) for a maximum of 400 hours.

The funding is for the student's wages only and you are responsible for all taxation liabilities, payment for annual holidays, kiwi saver employer contributions, ACC, recruitment fees and other levies payable in relation to the funding or employment of the student.

Note: Public and statutory holidays are included under the funding agreement – the hours associated are expected to be within the 400 hours.

For you to receive payment, you must have employed the student on your business's payroll (and not as a contractor). Callaghan Innovation **<u>must</u>** have copies of the student's payslips which displays hours and hourly rate at the time of claiming, as per the terms and conditions of your Funding Agreement.

You can upload multiple documents, but to speed up the process you can also combine into a single PDF to upload.

We must be able to clearly identify the hourly rate that the student was paid – which must be no less than $26.00 per hour (gross) as per the funding agreement.
If the payslips, you have uploaded do not show this please explain how the hourly rate has been calculated.

Section 3

Section 3: Final report section
In the following sections, you will be providing information on the impact of the student grant and the process.

Section 3.1

3.1 Significant issues and risks

Please identify significant issues and risks that may impact the R&D Experience Grant project(s) or student(s).

- Advise if the student or project was involved in a notifiable event as defined in the Health and Safety at Work Act 2015.
    - If yes, how were the risks eliminated or mitigated.

Section 3.2

3.2 Finding a Student

Field/Question	***Guidance***

How easy was it to find a suitable student?	Check box list
How long did it take to find a suitable student?	Check box list
How did you find the student?	Checkbox list
How suitable for the project were the students who applied or were put forward to you?	Checkbox list
Do you have any comments about finding a student?	Free text area

Section 3.3

3.3 Outcome

Field/Question	***Guidance***
Overall, how strongly do you agree that the student(s) had a positive impact on the results of your R&D project(s)?	Dropdown selection (scale)
How many Experience students are still employed at your business?	Dropdown selection
What is the main benefit that your business received from the R&D Experience grant?	Checkbox list

Section 3.4

Section 3.4 General

Field/Question	***Guidance***
How did you learn about the R&D Experience student grant?	Checkbox list
How likely are you to recommend this service to another organisation?	Dropdown selection (scale)
What changes would most improve the student work experience scheme for businesses?	Free text area

Section 4

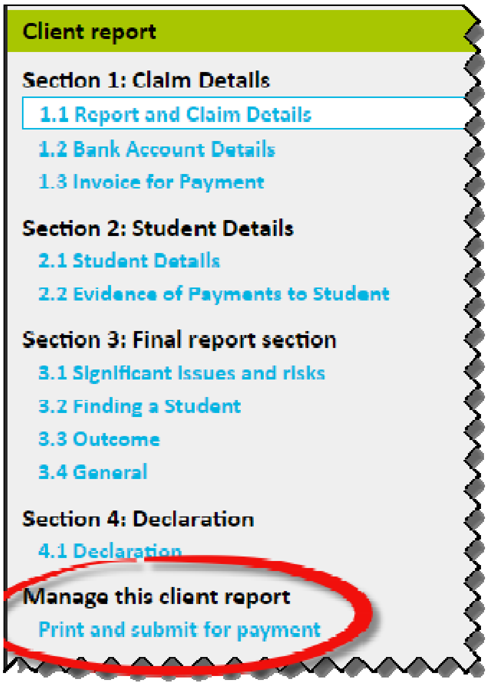
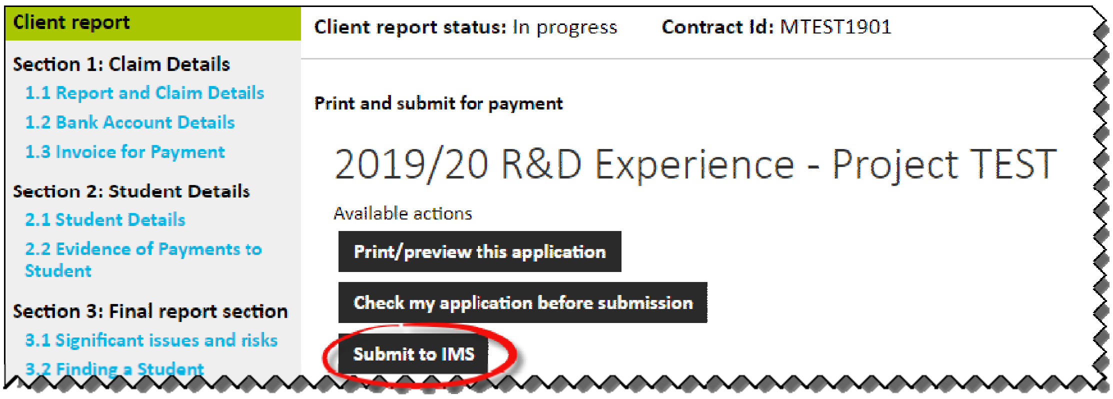
Section 4: Declaration

You are required to agree to the declaration displayed, to enable the submission of your client report.

Refer to *section 3 Portal Functions* that explains icons and system behaviours you will come across.

2.4. Submitting the Report and Claim

Using the steps below to submit the client report.

Section	Action
Manage this Client Report	When you have completed the sections 1 through 4, you are able to submit your client report for review. Click on the <u>Print and submit for payment</u> menu item 
	The section will open, and you will be presented with the action buttons as displayed below. Click on the **Submit to IMS** button to run the validation to ensure all the necessary fields have been completed and move the status of your report to Submitted. 
	If, when the validation runs there are any fields that have not been completed, you will be notified on screen. The screenshot below demonstrates this. Each item listed has a hyperlink to take to you to the applicable section.

Section	Action
	Client report validation result: Unsuccessful Please correct the errors below. **Section 1: Claim Details** **1.3 Invoice for Payment** Please select a file to upload **Section 2: Student Details** **2.2 Evidence of Payments to Student** Please select a file to upload **Section 4: Declaration** **4.1 Declaration** You must complete "Client report declaration:"

3. Portal Functions – Navigation Guidance

3.1. Quick Search Function

Description

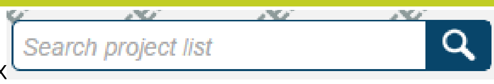
Quick search looks for matches in the *Reference* field. For example, if you enter the number 1234, quick search returns all records that have the characters "1234" in the *Reference* field.

Criteria you can use with Quick search

You may search by entering **criteria** into the quick search field:

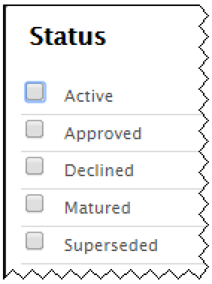
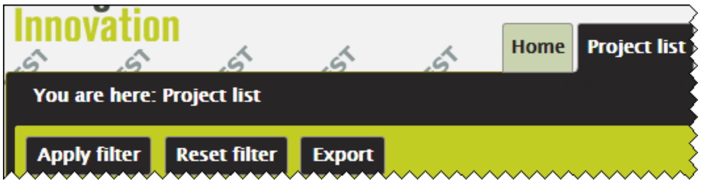
- **Reference:** Enter the reference number, e.g. 12345. The search will return records which contain the reference, like "PROP-12345-RDEXP-ABC" and "CONT-12345-RDEXP-ABC".
- **Proposals:** Enter "PROP". The search will return all proposals
- **Contracts:** Enter "CONT". The search will return all contracts.
- **Contract ID:** Enter XXXX1401. The search will return the contract.
- **Investment process shortcode:** Enter the shortcode for an investment process. For example if you enter "RDEXP" the search will return all RDEXP applications.
- **Organisation name:** Enter in part of the organisation name and the system will return all areas where this is within the organisation, or proposal title.

Use the steps in the following table to search for an application with Quick Search

Step	Action
1	Enter your criteria into the quick search box  and click the search action  button.

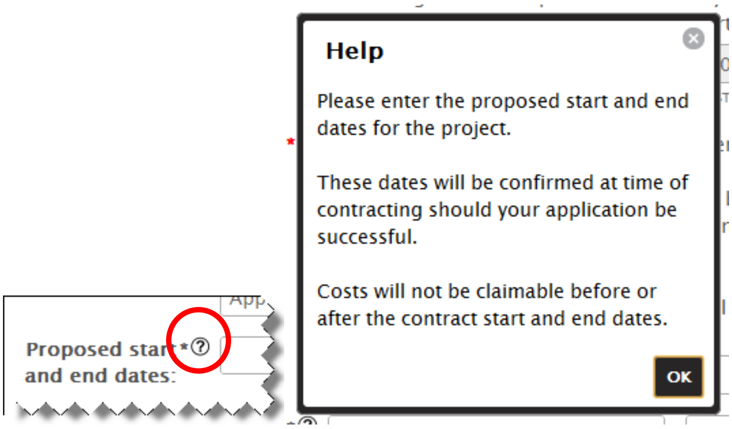
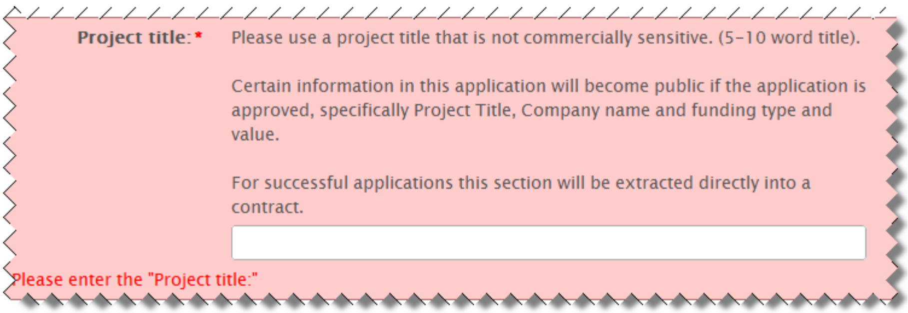
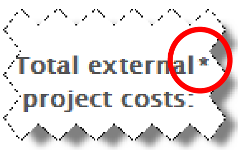
3.2. Filtering Project List Screen by Status

You can only filter columns with icon next to the header.
Use the steps in the following table to filter your applications

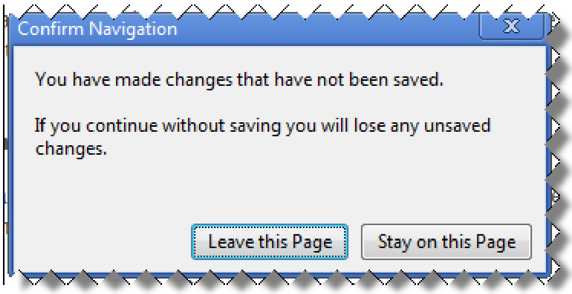
Step	Action
1	Click next to the header which you wish to filter. Status  ***Results:*** You will see a list of options in a new window.
2	In the new window, check the options you wish to select. Click Apply filter to perform the filter.
	Or click Reset filter to remove the filter. 

3.3. Helpful Information

Use these steps to complete a new application/client report.

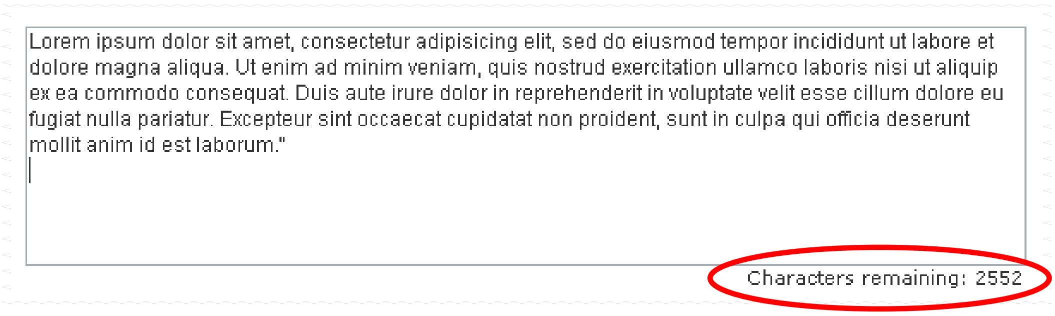
Step	Action
	Selecting the ? icon will display the help text. 
	The fields that are identified by a 'red asterix' * are required to be completed or you will not be able to save the section.  You will receive an error message if you try to save section without fields marked with * being completed.  The fields that are identified by a 'black asterix' * are required to be completed prior to submitting your application.  This means that you can click into and leave the section without entering any data, but the system will not allow you to submit your application without completing these fields.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>
If you have started to enter information into a section, then select another section without saving, you will receive the following message.



Selecting Leave this Page will allow you to move to the other section. Any information entered will be lost.

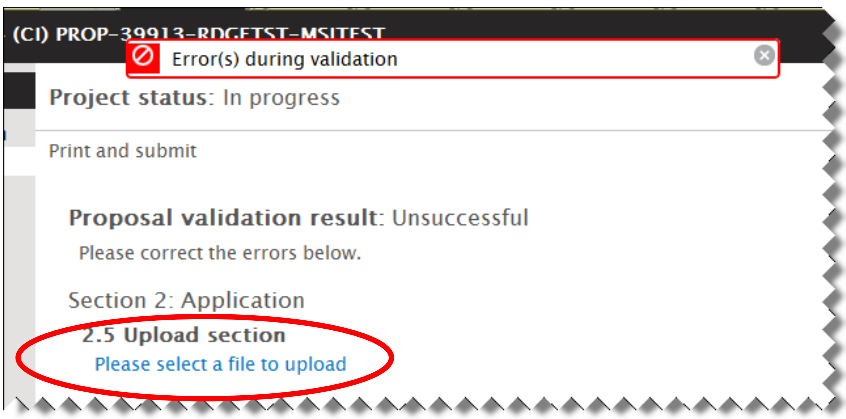
Selecting Stay on this Page will cancel your request to move to another section and allow you to continue entering information and save your progress.
</td></tr>
<tr><td></td><td>
Some text areas may contain character or word limits. These are stated in each section and there is a character count displayed at the bottom of these text areas, for example;



</td></tr>
<tr><td></td><td>
The portal allows for documents to be uploaded, for example, Excel, Word, PDF. If you are uploading a PDF, please ensure it is an unsecured PDF. The documents generated in portal are also PDFs, but it cannot print an uploaded PDF that is secure.

Remember to close the document you are going to upload – the portal cannot upload a document that is being edited (open) on screen.
</td></tr>
<tr><td></td><td>
As there are mandatory fields within the application, if you try to submit without completing these sections or field, the portal will advise you where there is information outstanding.

You can click on the hyperlink to go directly to the section where information is required.



</td></tr>
</table>

3.4. List of Application Statuses

Status	Description
In progress	The client has created an application and is still in the process of completing it.
Submitted for QA	Once the client has completed his/her application, he/she must push it to the super_user for QA. (This status is only available to those users who have access as a 'user'). OR if this status is not enabled, the 'user' will not see a Submit to IMS button.
Submitted to IMS	The client has submitted their application to Callaghan Innovation for consideration for funding.
Not progressing	The client has advised that they no longer wish to continue with the application for funding and the status has been updated by Callaghan Innovation or the application has been in progress for 90 days or more and is automatically moved to not progressing. The client will not be able to edit or submit this application.
Withdrawn	Up until submitting an application, the client can withdraw it at their discretion. After submission, the client must contact Callaghan Innovation to have it un-submitted before they can withdraw it. A withdrawn application cannot be edited or resubmitted to Callaghan Innovation, but it can be viewed and printed by the users. If the client chooses to delete an application prior to submission they will no longer be able to see it.
Not submitted	If a client misses the cut-off-date for submitting their application, Callaghan Innovation can make the application Not Submitted. Clients will be able to view the application and/or delete it. They will not be able to edit it or submit the application.
Ineligible	If an application does not meet the criteria for the investment process applied into, Callaghan Innovation can make the application Ineligible. The client will not be able to edit or resubmit this application.
Declined	Callaghan Innovation has declined an application for funding. The client will not be able to edit or resubmit this application.
Approved	Callaghan Innovation has approved an application to proceed to the next stage. The client will not be able to edit this application.

3.5. List of Contract Statuses

Status	Description
Sent for signing	The contract has been sent to the client for signing.
Not progressing	The application was approved for funding, but the client has declined the offer (Funding Agreement was not signed).
Active	The contract has been activated (paperwork completed) The reporting module is now available to create and submit client reports/claim for payment.
In variation – IMS	Callaghan Innovation has opened a variation, or the client has submitted the variation to Callaghan Innovation for review.
Variation sent for signing	A variation has been approved, and the paperwork has been sent for signing to the contracting organisation.
Terminated	The contract has been terminated by the client or Callaghan Innovation.
Superseded	If a contract has a signed variation, once it is active, the status of the preceding version changes to superseded.
Matured	A contract has reached its end date and no further payments are applicable.

3.6. List of Report Statuses

Status	Description
In progress	A client report has been started by the client and is still in the process of being completed.
Submitted for QA	Once the client has completed the application, it must be submitted to the super_user for QA. (This status is only available to those users who have access as a 'user'). OR if this status is not enabled, the 'user' will not see a Submit to IMS button
Submitted	The client report has been completed and has been submitted to Callaghan Innovation for review and approve for payment.
Approved	The client report has been approved and payment scheduled for the next available payment run.
Decline	The client report has been declined and no payment will be made.
Paid	The client report has been paid.