Preparing requestors to use the GEMS* online portal for the submission and ongoing management of Grant & Healthcare Funding requests

* Grants, External Studies and Managed Access System
Introduction

- GEMS is a global cloud-based system for the submission and ongoing management of all Grants and Healthcare Funding requests.
- All requests must be submitted via the GEMS online portal accessed from www.novartis.com.
- GEMS is making it easier for applicants to submit and manage their requests and for Novartis to review and potentially approve them more quickly.
- This deck provides external requestors with the information they need to submit their requests in GEMS.
Benefits of GEMS

- Easier submission of applications
- Ability to manage the application process in one place
- Quicker review and approval of applications by Novartis
- Application can be made from any device
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Section 1
Registering on the GEMS portal
Registering on the portal

Step 1
• Click on Create a Password at the top of the screen
Registering on the portal

Step 2

- Select your **Region** (ie country) from the drop-down box

- Organizations located outside of **Australia, Canada, England and Wales, United States**, please select **Other** to proceed with the account registration.
Registering on the portal

PLEASE NOTE: Any field marked with a * (red asterisk) is mandatory for completion

Step 3

- Please include your local country code with your telephone number
- Complete the remaining Registration Information
- Click Submit

- An activation email will be sent to the email address you have given. This can be either your organization email address or a personal email address. Click on the link contained in the email to proceed and confirm your registration details
- If you do not see an activation email in your inbox, please check your Junk / Spam or Trash folder for a message from donotreply@cybergrants.com
- If you still cannot locate the activation email, please click on the link given on the registration page: Click here to send a new activation email
Registering on the portal

Welcome, Khushboo Gupta

The organization you are currently associated with is XYZ corporation.

You can submit and manage your funding request(s) to Novartis via this portal. All submitted requests are immediately sent to Novartis for review and further consideration. Novartis will contact you for additional information as needed via impact report.

We recommend that you familiarize yourself with the funding request submission process before you begin.

If you submit requests on behalf of different organizations, make sure you have selected the correct profile. If you need to create an additional profile, click here to add a new organization to your account.

To begin a new request, click on the appropriate funding category type button below. You can save a partially completed application and return to it later by clicking on the “Continue” button next to the associated Program Title.

If you face any technical difficulties or have any questions during submission, use the “Need Support” link located at the bottom of every page to contact our support team:

| Welcome Page | Organization Information | Contact Information | Proposal Information | Requested Funding | Attachments | Attestation |

Click a button below to start a new application

- Grants and Healthcare Funding

Step 4

- Once registered, you have access to your own Welcome Page.

- If you have made requests in the past, these will show on the dashboard on your Welcome Page. If you have not submitted any past requests, the dashboard will be blank.

- You can use the dashboard to manage all ongoing requests and submit new ones.
Section 2

Submitting a new request
Submitting a new request

Welcome, Khushboo Gupta

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Click a button below to start a new application

Grants and Healthcare Funding

Step 1

- If you work with multiple organizations and you are making the first application for a new organization, please use the link “click here to add a new organization to your account.” You will be asked to select the organization’s region and complete basic registration information (refer to slide 7 & 8).
Submitting a new request

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| Welcome Page | Organization Information | Contact Information | Proposal Information | Requested Funding | Attachments | Attestation |

Click a button below to start a new application

Grants and Healthcare Funding

Step 2

- Click on the Grants and Healthcare Funding button at the bottom of your Welcome Page.

Grants and Healthcare Funding (HF)

Monetary or in-kind contribution to a reputable organization for supporting projects and initiatives related to medical/scientific research, healthcare education (e.g., Independent Medical Education/Continuous Medical Education), policy initiatives, patient engagement related activities, and healthcare system strengthening, where Novartis will not receive any improper benefit in exchange.
Submitting a new request

Step 3

• Review the auto-completed information (taken from the Registration Information) and edit or update any further information as required.

• Once complete, select **Save and Proceed** to move to the next tab. This will also ensure the content is saved should you need to return to the request.

• You will be able to see your progress on the dashboard shown at the top of each page. You can use the headings on the dashboard to move around within the application by clicking on them and you do not have to complete one section before moving to another. However, to avoid losing any information you have inserted on a page, you must click **Save and Proceed** before leaving any page.

• **IMPORTANT NOTE**: GEMS does not automatically save data, so it is important to click **Save and Proceed** when you complete any page.
Submitting a new request

Step 4

• To create a new contact, click on Create New button.

• Provide contact information and save. Once saved, contact information will be displayed.

• Check/ Tick the box that relates to your Contact Details. There may be more than one box; in this case, ensure you select the correct box as these will become your primary contact details.

• Select Save and Proceed to move to the next tab.

Note: The contact information provided here can be used by Novartis to communicate with you if required. Therefore, provide the updated information for every request you submit.
Submitting a new request

Step 5

- Complete all required information on the Proposal Information tab, including Program Details and Event Details (if appropriate).

- A (?) to the right of any field title indicates that further explanation of the field requirement is available by clicking on the (?) icon.

- **Program start date** (US date format: MM/DD/YYYY): this is the planned “Day One” date when the activity for your program will start.

- **Program end date** (US date format: MM/DD/YYYY): this is the planned date you expect to close your program following completion.

* Countries may require different lead time after request submission; the exact requirement is noted in the application when a country is selected.
Submitting a new request

Proposal Information

- **Country of Request**: Please indicate the country where the request will be executed/fulfilled.

- **Division (7)**: Please select Novartis Division (organizational unit) to which you would like to submit this request.

- **Program Start Date**: Dates are displayed in Month / Day / Year format (MM/DD/YYYY)

- **Program End Date**: Dates are displayed in Month / Day / Year format (MM/DD/YYYY)

- **Source of Funding Support**:

- **Currency of Request**:

- **Amount of Request**:

- **Total Estimated Program Cost**: Provide the total estimated cost of the program.

- **Are there any Benefits provided to Novartis as a support of this request?**

**Step 5 (Continued)**

- In “Currency of Request,” select the local currency code and then enter “Amount of Request.”

- Enter **Total Cost of the Program**. Do not use any special character (for eg “,” “.”) when entering cost in this field.

- Select **Save and Proceed** to move to the next tab.
Submitting a new request

Step 5 (Continued)

- If the Grant and Healthcare Funding Request is for a medical education program, Select “Yes” for “Is this Request for an Independent Medical Education Program”.

- When “Yes” is selected, an additional Fields related to educational activity details will be displayed that needs to be completed

**Independent Medical Education Program:** An Independent Medical Education Program is generally defined as an educational program for health care professionals (HCPs) provided by an independent educational provider, such as a community hospital, academic center, society/association, or medical education and communication company.
Submitting a new request

Step 5 (Continued)

- If the program includes any Live Events, i.e., face-to-face meetings, summits, conferences, etc., select “Yes” for Does this program include any Live Events?

- When “Yes” is selected, an additional field will be displayed to provide additional information about the live event. Select the number of events and provide details such as Venue, Address, City, and Country for each event.

Please note, exclusive virtual events are not Live Event
Submitting a new request

Step 6

- The next screen for completion will ask you for further detail around the breakdown of the total program cost.
- For every category of the spend all fields need to be completed.
- Select from the drop-down list appropriate category of spend.
- Depending on which category is selected, a selection of sub-categories will be provided in a drop-down list.
- An open field box is provided for Description / Details of Spend.
- Fill in the Estimated Cost for each category. Grant total for estimated cost must be equal to the Total Program Cost under Program Details in the Proposal Information section. Do not use any special character (for eg ",", ".") when entering cost in this field.
- Should you wish to add a further line item, click Add Line Item.
- Click Save and Proceed.

<table>
<thead>
<tr>
<th>Line Item</th>
<th>Category</th>
<th>Description/Details of Spend</th>
<th>Estimated Total Program Cost</th>
<th>Currency</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Management Fees</td>
<td></td>
<td></td>
<td>USD</td>
</tr>
</tbody>
</table>

Grand Total: 0
Submitting a new request

Step 7

- For Grant and Healthcare Funding request, mandatory upload of a **Formal Letter of Request (LOR)** as well as a **Full Program Proposal** is required.

- To upload a document, click the blue **Upload File** button. A pop-up window will appear with instructions on locating the correct file.

- Once located, click the **Upload File** instruction in the pop-up window to upload the selected file.

- Following upload, click **Close Window**.

- Any additional documents can be uploaded under **Other Supporting Documents**. If you would like to provide any additional information, use **Additional Comments**.
Submitting a new request

Step 8

- The final page is for the Attestation.
- An open field dialogue box is available for the declaration of any conflicts of interest.
- Click Save and Proceed.
Submitting a new request

Step 9

• The final page requests a review of the application information.

• If there are no changes to be made, click **Submit**. Please note that once submitted, no further changes can be made to the request.

• The information submitted can be viewed by selecting **View** for the relevant request on the **Welcome Page**.

• Once the request is submitted, you will see a confirmation message on screen.

• Your funding request is successfully submitted to Novartis. You will be notified in due course about Novartis decision on your request.

• To print a copy of this request, press **Ctrl + P** on the keyboard and select the appropriate printer.
Section 3

Managing a request
Introduction

- This section covers:
  - Reviewing and approving your request
  - Providing further information
  - Reconciling your request
Reviewing and approving your request

- After the request is submitted, it will appear in the **Submitted Requests** section on your Welcome Page while it undergoes a formal review process.

- The status will show in the Status column with and include one of the following:
  - **Submitted** meaning it has been received by Novartis but has not yet been assigned to a Novartis Request Owner
  - **Under review** meaning it has been assigned to a Novartis Request Owner and the internal review is ongoing
  - **Approved** meaning it has been approved
  - **Declined** meaning it has been rejected

- System will share auto notification at the time of request submission as well as once request is Approved and/or Declined.
Providing further information

- During the review process, the Novartis Request Owner may require further information from you.

- There are two ways in which this might happen:
  - By using the Return to Applicant functionality and requesting further information.
  - By triggering a Grants Additional Information Impact Report.

- We explain the process for both in the following slides.
Return to Applicant

Click a button below to start a new application

- If the Novartis Request Owner uses the Return to Applicant functionality, you will receive an automated email and the request will move to the In-progress Requests section. It will also include a comment explaining why it has been returned to you.

- To provide the information, click on the blue Revise link and follow the on-screen instructions.
If the Request Owner triggers a Grants Additional Information Impact Report, it will appear in this section along with the date by which it needs to be completed.

To access the report, click on the relevant blue Due link.

Once completed, the Impact Report will no longer appear on this list.
When you click on the blue **Due** link, you will be taken to the **Request Information** tab, which includes the program title, and start and end dates per your original request.

- Click **Save and Proceed** to continue.
This takes you to the **Impact Information** tab.

- Provide information as requested by Novartis.
- Additional supporting documents can be uploaded by selecting **Upload File**.
- Select **Save and Proceed** to continue.
• This takes you to the **Review Your Impact Report** tab.

• Review the information you have submitted carefully before submitting.

• If any changes are to be made, click on **Impact Information** link and update as necessary.

• Once you are ready to submit, click **Submit**. After submitting, no further changes can be made.
Reconciling your request

- When your program is completed, you will need to reconcile your request by completing further **Impact Reports**.
- There are three in total and these are explained on the next slide.
- Your Welcome Page includes a section for **Pending Impact Reports** (see slide 28).
- When an Impact Report becomes due, it will appear in this section along with the date by which it needs to be completed.
- To access the report, click on the relevant blue **Due** link.
- You have 90 days from the date of notification to complete any Impact Report.
- Once completed, the Impact Report will no longer appear on this list.
## Impact Reports for Reconciliation

<table>
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<th>Name of report</th>
<th>Required for</th>
<th>Purpose</th>
<th>When triggered</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transparency Report</td>
<td>As per country’s requirements</td>
<td>To confirm how the funds were used and if funding was given to other individuals or organisations</td>
<td>Sent automatically by GEMS once the Program End Date is reached</td>
</tr>
<tr>
<td>Outcome Report</td>
<td>All Grant and Healthcare Funding requests</td>
<td>To confirm how much money has been spent and if any refund may be due</td>
<td>Sent automatically by GEMS once the Program End Date is reached</td>
</tr>
<tr>
<td>Program and Educational Outcomes Report</td>
<td>Grant and Healthcare Funding requests involving educational activities</td>
<td>To confirm whether the educational outcomes for the project were achieved</td>
<td>If applicable, sent automatically by GEMS once the Program End Date is reached</td>
</tr>
</tbody>
</table>
When you click on the blue Due link, you will be taken to the Request Information tab, which includes the Program title, and start and end dates per your original request.

- Click Save and Proceed to continue.
This takes you to the Impact Information tab.

Answer the question by selecting either No or Yes from the drop-down list.

If the answer is Yes, you are required to provide further information.

To do this, select Create New.

This brings up the Spend Detail Information Window. Complete all details and click Save.

This returns you to the Impact Information tab, where you click Save and Proceed to continue.
Transparency Report

- This takes you to the Review Your Impact Report tab.
- Review the information you have submitted carefully before submitting.
- If any changes are to be made, click on Impact Information link and update as necessary.
- Once you are ready to submit, click Submit. After submitting, no further changes can be made.
When you click on the blue Due link, you will be taken to the Request Information tab, which includes the project title, and start and end dates per your original request.

Click Save and Proceed to continue.
This takes you to the **Impact Information** tab.

Complete all fields marked with a red asterisk.

Depending on the answers given, additional details may be required. Complete these as necessary.

While not mandatory, you can upload additional supporting documents by selecting **Upload File**.

Click **Save and Proceed** to continue.
Outcome Report

- This takes you to the **Spend Details** tab.
- Enter the **Actual Cost** of the spend category in the field to the right-hand side.
- Once completed, select **Save and Proceed** to continue.
Outcome Report

- This takes you to the **Review Your Impact Report** tab.
- Review the information you have submitted carefully before submitting.
- If any changes are to be made, click on **Impact Information** link and update as necessary.
- Once you are ready to submit, click Submit. After submitting, no further changes can be made.
When you click on the blue **Due** link, you will be taken to the **Request Information** tab, which includes the project title, and start and end dates per your original request.

- **Click Save and Proceed** to continue.
This takes you to the **Impact Information** tab.

- Complete all fields marked with a red asterisk.
- Depending on the answers given, additional details may be required. Complete as necessary.
- While not mandatory, you can upload additional supporting documents by selecting **Upload File**.
- Click **Save and Proceed** to continue.
This takes you to the Review Your Impact Report tab.

Review the information you have submitted carefully before submitting.

If any changes are to be made, click on Impact Information link and update as necessary.

Once you are ready to submit, click Submit. After submitting, no further changes can be made.
Section 4
Additional information
Approval workflow

1. **Applicant** registers on portal
2. **Applicant** submits request and uploads supporting information where relevant
3. Request received and assigned to a **Request Owner**
   - Status: Pending
4. **Request Owner** assesses request and submits for review with three possible outcomes
   - Status: Pending

1. **Request Owner** informs **Applicant**
   - Status: Approved
   - **Applicant** signs Agreement and submits Impact Reports as required
     - Status: Approved
2. **Request Owner** requests information from **Applicant**
   - Status: Pending
3. **Applicant** provides information and **Request Owner** submits for review
   - Status: Pending
4. **Request Owner** notifies **Applicant**
   - Status: Declined
Thank you