

Research funding, budgets, and infrastructure support

PURPOSE

This work instruction identifies requirements pertaining to the:

- management of internal and external funding, budgets and infrastructure support;
- implementation of the Metro South Health (MSH) Research Policy Framework to meet financial management requirements which includes financial and contract management; and
- application of a consistent and enforceable process for the budgeting of research being conducted in or in collaboration with MSH.

OUTCOME

- Ensure all research conducted within MSH or undertaken in collaboration with external entities/institutions, has appropriate fiscal management strategies in place to enable the conduct of the research within relevant legislation, standards and guidelines.
- Ensure that there is MSH-wide process in the management of funding investment for all research and research infrastructure MSH supports by:
 - assessing funding proposals against guidelines specific to a funding program (where applicable).
 - exploring all possible funding options and ensuring that when support is provided it is time limited.
 - using research funding contracts which are time limited and include clear exit points for MSH and include information about intellectual property, research outcomes, timeframes, progress reports, agreed funding amounts, financial reporting, payment methods, performance indicators and evaluation criteria.
 - liaising with Business Managers and/or Cost Centre Managers for matters relating to infrastructure planning and development.
 - ensuring all matters are compliant with the MSH Finance Management Practice Manual (FMPM) and that the relevant Business Manager and/or Cost Centre Manager is involved in the financial management of the research funds.
 - utilising the Queensland Government Office of the Chief Scientist R.E.D.S. Decision Rules (Real future impact, External commitment, Distinctive angle and Scaling toward critical mass) to assess and guide all decisions to fund and support research projects/infrastructure.
- Ensure MSH invests in research and development and partners with Queensland's universities and research institutions to deliver practical research that benefits the community.

This work instruction outlines processes described in MSH procedure PR2023-412 Research support and management and upholds principles outlined within the Research Support and Management Handbook.

SCOPE

This work instruction applies to:

- All MSH employees and collaborators who conduct human research within or in association with MSH, or through access to MSH participants, health records or data.
- Persons involved in the preparation of external research grant applications within or in association with MSH facilities/services, or through access to MSH participants and/or clinical data.
- All employees involved in the governance or financial management of research grants.

WORK INSTRUCTION

1. STEP 1: DETERMINE RESEARCH PROJECT FUNDING, BUDGETS AND INFRASTRUCTURE REQUIREMENTS

- Principal investigators must identify and document the support needed for their research project. It is the responsibility of the principal investigator to identify the items associated with their research project that could incur costs. All costs of running the research project must be included with the project. If you are unsure, please liaise with your business manager. All costs, including in-kind must be documented.
- Any research project that requires financial support (from any source) must be supported by a research project costing and budget – see Department of Health – [Budget templates and forms](#) or Attachment 1: Budget Tool Template.
- Refer to the Research Support and Management Handbook for more information.

2. STEP 2: RAPID REVIEW PROCESS

- The MSH SERTA Committee may consider requests for support in the instance where an external research grant application has the requirement for the Recipient or Partner Organisation to match funding or commit a cash co-contribution. The principal investigator must submit an application to MSH SERTA according to the schedule of the MSH SERTA Committee meeting dates and have notification of approval prior to submitting an external grant application.
- Where external grant application deadlines and the MSH SERTA Committee schedule do not align, a request may be made for an expedited review to the Executive Director, MSH SERTA Committee. In deciding whether the application will be approved or not the MSH SERTA Committee will seek the recommendation of the MSH Research Committee, which may convene a Rapid Review Sub-Committee (if required).

3. STEP 3: SITE SPECIFIC ASSESSMENT (SSA) APPLICATION

- All research projects must be costed before a SSA application is submitted. Research projects may be either externally funded (via research grants, commercial contracts etc) or internally funded by MSH.
- Finance/Business Manager and/or Cost Centre Manager approval indicates that the research project final budget workup is accurate, costed appropriately and is supported. In the budget workup, the

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principal investigator must advise how project funding will be obtained (e.g., a lump sum grant payment or research payments on a participant recruitment basis).

- Refer to MSH procedure PR2023-413 Research administration and compliance for more information.

3.1 Research cost centre creation

- Following SSA authorisation, the Metro South Research Governance Office (MSRGO) will forward relevant information to the identified Business Manager and/or Cost Centre Manager. The Business Manager and/or Cost Centre Manager will review the following prior to establishing an Internal Order Number (ION). If this is externally funded research (i.e., not via Queensland Health) then a research ION can be created against a research cost centre. If funded via internal means, or via Queensland Health, then a non-research ION can be created.
 - SSA authorisation from the MSH delegate via the MSRGO.
 - Copy of the research contract (if applicable).
 - Detailed budget workup including MSH contributions for expenses and where research revenue is to be spent.
 - Copy of the research protocol.
- If funds have been received from the Metro South Health Research Support Scheme (MSH RSS), see 3.2 below; otherwise proceed to Step 4.

3.2 MSH RSS requirements (if applicable)

- Recipients of research funds from the MSH RSS must request a direct journal request for the transfer of funds from MSH SERTA into an appropriate MSH ION. The following documents must be provided by the recipient to their Business Manager to support the request:
 - completed Grant Payment Request Form
 - Letter of Offer (signed by the Executive Director, Metro South Research and/or a representative of the funding body).
- Recipients must check relevant details provided on the Grant Payment Request Form match those stated in the Letter of Offer. For Metro South SERTA funded awards, a direct journal request should be prepared using information provided in the Grant Payment Form and Letter of Award. Once a MSH SERTA payment has been transferred into a MSH research ION, the funds may be used to purchase services.
- SERTA funds must not be transferred to be administered by another organisation. Payments for services associated with SERTA grants should only be made in arrears and upon receipt of a detailed itemised invoice from an external organisation. MSH purchasing rules apply.
- For PA Research Foundation (PARF) grants, a tax invoice request should be prepared using information provided in the Grant Payment Form and Letter of Award. Invoices are to be directed to the PA Research Foundation (Ground Floor, Building 1, 199 Ipswich Road, Woolloongabba, QLD, 4102).
- Enquiries regarding payment of invoices should be directed as follows:

- MSH SERTA funded awards – MSH finance department
- PARF funded awards – PA Research Foundation Bookkeeper/Accounts Manager

3.3 Open access journal publication costs

- The Metro South SERTA Committee may provide funds for the reimbursement of reasonable article processing charges/fees for articles authored or co-authored by MSH researchers published in eligible open-access journals for which no alternative funding is available (i.e., not grant, commercially or otherwise funded).
- Refer to MSH work instruction WI2022-226 Open access journal publications in research for more information regarding the reimbursement process.

4. STEP 4: BUDGET MANAGEMENT

- Throughout the duration of the research project Business Managers and/or Cost Centre Managers will:
 - assist with arranging a tax invoice to the relevant funding providers (where applicable).
 - assist in ensuring funds are deposited into the correct research ION.
 - assist with advice on Human Resources/Payroll Services requirements if any labour is to go to the research ION.
 - arrange for a research ION to be created in S4/HANA if needed.
 - advise purchasing of the delivery address setup for non-labour items.
 - advise the principal investigator in relation to requirements for business cases/other approvals for purchase of assets (there must be compliance with Health Service policies and procedures and the Finance Management Practice Manual (FMPM) for all financial transactions, including purchasing) - where information technology equipment is to be purchased this should occur in consultation with the relevant delegate of Clinical Informatics.
 - assist with the acquisition of supplied/equipment via S4/HANA requisitioning/ordering.
 - advise the principal investigator in relation to Human Resources/Payroll Services, position/support requirements including business cases and delegated approvals for positions.
 - All expenditure associated with the research program or staff undertaking the research needs to be correctly assigned to the ION, e.g., ehealth levies, telephone expenses, stationery, etc.

5. STEP 5: RESEARCH PROJECT TEAM RECRUITMENT

- Where relevant, the principal investigator is responsible for confirming with Human Resources/Payroll Services position/support recruitment requirements (if any) and follow-up delegated approvals for positions/advertising, etc.
- The principal investigator is responsible for ensuring the employment eligibility of the research team in accordance with funding guidelines.
- All human resource policies and legislation is to be complied with.

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6. STEP 6: REPORTING

- Principal investigators and/or research project contacts must meet with their respective Business Manager and/or Cost Centre Manager at least quarterly to monitor research ION expenditure.
- If the report is not received, the research officer must contact their respective Business Manager and/or Cost Centre Manager to request a report and ensure all appropriate items have been correctly assigned to the ION.
- Any incorrect or missing transactions needs to be reviewed and clarified.
- It is advisable to meet in April and May of each year applicable to allow effective planning for the new financial year if appropriate.

7. STEP 7: REQUESTS FOR INCREASED BUDGETS

- Research projects are required to be completed within the agreed budget, in exceptional cases the relevant MSH delegate may approve an increase in the budget for a research project where a strong justification made, this cannot be added into the same ION and needs to be recorded separately to ensure visibility of the additional funding via a separate funding source.
- For research projects that require agreements with third party entities, a contract variation will need to be submitted to the MSRGO for authorisation and execution prior to funds being transferred. The relevant contract framework needs to be undertaken and approved via the Metro South Contracts Register.

8. STEP 8: CONCLUSION OF A RESEARCH PROJECT AND UNUSED FUNDS

- At the end of a research project, surplus funds may be retained by MSH for use in approved research activities, unless the funding body business rules specifically state that any excess funds be returned. MSH SERTA requires unspent funds to be returned.
- Following discussions between the principal investigator and the Business Manager and/or Cost Centre Manager, funds retained by the MSH will be allocated for that financial year within the department/division of the individual principal investigator to be used for the following purposes:
 - further research or
 - training and development of research staff (additional to require training) or
 - publication or presentation of the research results or
 - other research purposes agreed to by the principal investigator and Business Manager and/or Cost Centre Manager.

RESPONSIBILITIES

Position	Responsibility	Audit criteria
Executive Director, Metro South Research	<ul style="list-style-type: none">• Provides authorisation for research applications/contracts up to the value of	<ul style="list-style-type: none">• N/A

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	<p>\$200,000 (refer to the Financial Delegations Framework for research applications/contracts valued over \$200,000). The total contract value indicates the appropriate restricted delegation sign off in accordance with the FMPM.</p> <ul style="list-style-type: none"> • Ensures Metro South Research maintains research office records and databases, and generates data for use in internal reports, governmental surveys as required by key stakeholders and government bodies. • Ensures the MSH Research and Development Expenditure Report is submitted to the Queensland Chief Scientist Office on an annual basis or as requested. 	
MSH SERTA Committee	<ul style="list-style-type: none"> • May approve an annual capped amount from the MSH SERTA, to support external research grant applications that have a cash (Recipient or Partner Organisation) co-contribution as a requirement for submission. • Considers recommendations from the MSH Research Committee and/or Rapid Review Sub-Committee (if convened) and provides outcome advice to the Metro South Research Support Coordinator. 	<ul style="list-style-type: none"> • N/A
MSH Research Committee	<ul style="list-style-type: none"> • Undertakes an assessment process and/or convenes a Rapid Review Sub-Committee to rapidly review external research grant applications seeking a cash (Recipient or Partner Organisation) co-contribution from MSH SERTA. • Determines if the proposal aligns with MSH objectives, assess the scientific merit and feasibility of the proposed research against the Criteria for Investment and provides a recommendation to the MSH SERTA Committee. 	<ul style="list-style-type: none"> • N/A
Metro South Research Support Coordinator	<ul style="list-style-type: none"> • Accountable and responsible for coordinating and administering research grants, in accordance with WI2023-R05 Research Grants Administration Work Instruction, in 	<ul style="list-style-type: none"> • N/A

	<p>developing, managing and administering internal funding as well as providing advice and support to researchers in the preparation of funding applications.</p> <ul style="list-style-type: none"> • Liaises with researchers and Business Managers and/or Cost Centre Managers to facilitate the appropriate tracking of research grant funding and ensure the fulfilment of associated post-award requirements including the provision of progress and final reports. • Liaises with Metro South Research Committee to secure a rapid review and provides advice regarding the outcome from the MSH SERTA Committee. 	
Metro South Research Governance Office (MSRGO)	<ul style="list-style-type: none"> • Review and provide a recommendation for authorisation of research contracts/agreements and budget, when submitted in conjunction with an SSA, to undertake research within a MSH facility. 	<ul style="list-style-type: none"> • N/A
Principal Investigator	<ul style="list-style-type: none"> • In collaboration with the relevant Business Manager, is required to have identified an ION within MSH to manage the funds received as a result of conducting research. • Should be recognised stature in his/her clinical/scientific discipline and have the demonstrated ability to ensure quality control and adherence to relevant guidelines and legislation that underpin the conduct of research and to administer and integrate all components of the research project. • Complies with the Metro South FMPM and associated delegation frameworks. • Ensures: <ul style="list-style-type: none"> ○ the entire research team is eligible to undertake research and comply with all the relevant MSH policies and procedures. ○ approval is secured from the authorised delegate in respect to matched funding or cash co- 	<ul style="list-style-type: none"> • N/A

	<p>contribution requirements described in external grant application guidelines.</p> <ul style="list-style-type: none"> ○ expenditure of research funds is in accordance with the approved funding agreement and budget and within the timeframes outlined in the funding agreement or funding agreement variations approved by the funder. ○ expenditure, including salary related costs, is allocated to the correct research project account in a timely manner. ○ monitoring of research ION balances, expenditure, receipting and transfer of fund surpluses, in conjunction with the business manager. ○ support is provided by their line manager. ○ budget approval and research initiative endorsement is received from the relevant Business Manager and Head of Department via the Research Contract Approval and Study Execution Form. ○ appropriate documentation is obtained in support of the expenditure of research funds. 	
<p>Research Project Liaison Officer/s and Clinical Research Coordinators</p>	<ul style="list-style-type: none"> ● Responsible for liaising between the principal investigator, Metro South Research: Metro South Human Research Ethics Committee (MSHREC) Office, Research Support Coordinator and MSRGO. ● Facilitate arrangements for the research team to access MSH resources and support as agreed in the research contract (if applicable) and identified on the Site Specific Assessment (SSA) form, whilst liaising with the principal investigator and research sponsor (if applicable) regarding the 	<ul style="list-style-type: none"> ● N/A

	management, monitoring and financial reporting of the research project.	
Business Manager and/or Cost Centre Manager	<ul style="list-style-type: none"> • Work with the principal investigator around the intended purpose of research grant funds and be accountable and responsible for: <ul style="list-style-type: none"> ○ Creating the correct type of ION and maintaining and monitoring of research ION balances, expenditure, receipting and transfer of fund surpluses, in conjunction with the principal investigator. ○ Assisting in budget development and funding use identification, including in-kind expenses. ○ Identifying a lack of, or no activity in research ION within their division/department and overdrawn balances as well as implementing consistent GST treatments for research grant income received and paid to external parties. ○ Ensuring adequate supporting documentation is provided in relation to salary and wage costs. ○ Providing information to the Executive Director, Metro South Research, when required/requested, to assist in preparing MSH information for the Queensland Chief Scientist Office annual report. ○ Establishing separate research project account(s), for each new research agreement within the finance system if required. ○ Making research project reports available detailing all financial transactions and summarising the financial status of individual research projects. ○ Assisting with the preparation of invoices to Funding Bodies in accordance with funding agreements 	<ul style="list-style-type: none"> • N/A

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	<p>and prepare financial acquittals for Funding Bodies and other Funding Partners as required under funding agreements.</p> <ul style="list-style-type: none"> ○ Co-ordinating independent audits of research funds as required under funding agreements and assist in the conduct of internal audits of research funds as initiated under the Internal Audit Program. ○ Conducting audits as required and in accordance with MSH Risk Management. ○ Ensuring all research funds are linked to a research project that is authorised by the MSH delegate. ○ Complete audit requirements for submission to the Chief Scientist – Queensland Health via MSH Finance. ○ Final approval of all research budgets and research site approval but may delegate a budget approval level to the relevant department/division via the relevant Business Manager and/or Cost Centre Manager. <ul style="list-style-type: none"> ● Responsible for overseeing research budgets and accounts irrespective of the funding source and for authorising the allocation of MSH resources (such as laboratory space), approving internal budgets and the use of internal research funds. ● Ensuring compliance with the Metro South FMPM and associated delegation frameworks. 	
<p>Employees, researchers, research student supervisors and students</p>	<ul style="list-style-type: none"> ● Required to obtain appropriate clearances for the expenditure of any research project funds; and provide appropriate documentation in support of expenditure of research funds in a timely manner. 	<ul style="list-style-type: none"> ● N/A

DEFINITIONS

Term	Definition
Infrastructure	In MSH, infrastructure in research management refers to clinical research support such as facilities, resources and services used by the science community to conduct research and foster innovation.

RELATED AND SUPPORTING DOCUMENTS

Legislation and other Authority	<p>Legislation (as updated and replaced from time to time)</p> <ul style="list-style-type: none">• <i>Australian Research Council Act 2001</i> (Cth)• <i>Hospital and Health Boards Act 2011</i> (Qld)• <i>Financial Accountability Act 2009</i> (Qld)• <i>National Health and Medical Research Council Act 1992</i> (Cth)• <i>Public Health Act 2005</i> (Qld)• <i>Public Sector Ethics Act 1994</i> (Qld)• <i>Research Involving Human Embryos Act 2002</i> (Cth)• <i>Therapeutic Goods Act 1989</i> (Cth) <p>Regulations</p> <ul style="list-style-type: none">• Financial Accountability Regulation 2009 (Qld)• Financial and Performance Management Standard 2009 (Qld)• Hospital and Health Boards Regulation 2012 (Qld)• Public Health Regulation 2018 (Qld)• Therapeutic Goods (Medical Devices) Regulations 2002 (Cth)• Therapeutic Goods Regulations 1990 (Cth) <p>National Health and Medical Research Council (NHMRC)</p> <ul style="list-style-type: none">• National Statement on Ethical Conduct in Human Research (2023) <p>Department of Health</p> <ul style="list-style-type: none">• Health Service Directive: Research Ethics and Governance Directive QH-HSD-035:2023• Research Management Guideline: external funding and infrastructure support QH-GDL-013-1:2022• Research Management Policy QH-POL-013:2022• Research Management Standard QH-IMP-013:1:2022 <p>Metro South Health</p> <ul style="list-style-type: none">• Metro South Health Research Strategy• Finance Management Practice Manual (FMPM)
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	<ul style="list-style-type: none"> • Human Resources (HR) Delegations Matrix and Schedule • Metro South Financial Delegation Schedule and Framework
Standards	<ul style="list-style-type: none"> • National Clinical Trials Governance Framework • National Safety and Quality Health Service (NSQHS) Standards 2nd Ed. <ul style="list-style-type: none"> ○ Standard 1 – Clinical Governance ○ Standard 2 – Partnering with Consumers
Supporting documents	<p>Procedures</p> <ul style="list-style-type: none"> • PR2023-411 Research excellence • PR2023-412 Research support and management • PR2023-413 Research administration and compliance <p>Work instructions</p> <ul style="list-style-type: none"> • WI2023-293 Research funding, budgets, and infrastructure support • WI2022-226 Open access journal publications in research • WI2023-294 Research grants administration • WI2023-295 Research letters of support • WI2023-296 Metro South Health Research Support Scheme (MSHRSS) • WI2023-297 Gift cards (for use as research incentives) <p>Attachments</p> <ul style="list-style-type: none"> • Attachment 1: Budget Tool Template

HUMAN RIGHTS ACT 2019

Metro South Hospital and Health Service is committed to respecting, protecting and promoting human rights. Under the *Human Rights Act 2019*, Metro South Health has an obligation to act and make decisions in a way that is compatible with human rights and, when making a decision, to give proper consideration to human rights. When making a decision about research funding support, decision-makers must comply with that obligation. Further information about the *Human Rights Act 2019* is available at:

<https://www.forgov.qld.gov.au/humanrights>.

WORK INSTRUCTION DETAILS

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Document Author	Manager, Research Development, Metro South Research
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1.0	7/12/2023	11/12/2023	Chief People, Engagement and Research Officer	<ul style="list-style-type: none"> Supersedes PR2017-121 Research Funding, Budgets and Infrastructure Support Procedure

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