

Research grants administration

PURPOSE

This work instruction identifies a consistent administrative process for preparation of research grant applications and management of research grant funds within Metro South Health (MSH).

OUTCOME

The intended outcome of this work instruction is to:

- Ensure a consistent MSH-wide process for the administration of grant funding from internal and external sponsoring/funding entities/organisations for approved research projects.
- Guide Principal Investigators, researchers, and research student supervisors ('researchers') in the preparation of research grant applications and management of research grant funds in MSH.
- Maintain compliance with the sponsor/funding entity/organisation's regulations as well as MSH policies and procedures, including the Finance Management Practice Manual (FMPM) for all authorisations or expenditures for research.

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 MSH employees involved in the governance or financial management of research grants.

WORK INSTRUCTION

1. STEP 1: PREPARING A RESEARCH GRANT APPLICATION

1.1 Commencing the research grants process

- Researchers may identify and seek to secure research grant/s to support a research project.
- Researchers may consider submitting a Human Research Ethics Application (HREA) to a Human Research Ethics Committee (HREC) and a Site Specific Assessment (SSA) to Metro South Research at the same time as the research grant application process.

- However, it is important to note that some grants have a significant lag time between application and notification of grant outcome (i.e., success). In most cases, researchers would only start HREC and SSA application processes after securing the grant.

1.2 Planning for research grant applications

- Researchers must:
 - ensure appropriate planning is undertaken in relation to the development, review and endorsement of a research grant application;
 - read all eligibility rules and guidelines;
 - obtain appropriate statistical and other advice relevant to the research grant application; and
 - ensure that research grants are developed in accordance with the funding entity/organisation's requirements.
- MSH must be involved in the research grants application process if it is proposed for MSH to be identified as the grant administering institution, or a partner in a collaborative application.
- Researchers intending to nominate MSH as the administering institution on a research grant must advise Metro South Research as soon as practical, during the planning process, after the decision to prepare a research grant application is initiated.
- The notice of intent to submit a research grant application enables appropriate arrangements to be made for review and certification of research grant applications.

1.3 Collaborations

- For research grant applications submitted with another entity/organisation (e.g., MSH-affiliated university/institution) as the administering institution, researchers must consult with the research grants administration service for that entity/organisation.
- Researchers must consult with relevant department heads and other stakeholders before committing to a multi-institutional collaborative research grant application.
- Where a MSH facility/service is collaborating on a research project funded by entities such as the National Health and Medical Research Council (NHMRC), the involvement of the hospital and the other institution/s must be defined by an NHMRC Multi-Institutional Agreement.

1.4 Consultation

- During the planning and development of research grant applications, researchers must consult with relevant MSH delegates including:
 - Business manager and/or cost centre manager to develop the research grant application budget to ensure accurate identification of the financial costs associated with the proposed research project; and
 - Departmental head/s – to confirm the research activities can be performed within the relevant area/s and that appropriate resources are available for the duration of the research project.

- In consultation with the business manager and/or cost centre manager, in-kind support must be costed as far as possible and included in the budget.
- It is the responsibility of the Principal Investigator, researcher and research student supervisor to obtain all required authorisations prior to the submission of research grant applications.

1.5 Conflicts of interest

- If any person believes they may have a conflict of interest in relation to a research grant application, the conflict must be declared and detailed prior to submission of research grant application.
- If a potential conflict of interest is identified, the Principal Investigator, researcher or research student supervisor must escalate approval of the research grant application documents to a relevant line manager or delegate in accordance with MSH procedure PR2023-411 Research excellence.

2. STEP 2: METRO SOUTH RESEARCH – EXTERNAL RESEARCH GRANTS SUBMISSION PROCESS

2.1 Determination of administering institution

- When developing a research grant application, researchers are encouraged to identify a suitable partner (e.g., MSH-affiliated university/institution) as the administering institution for research grants.
- Unless there is a direction to the contrary from the relevant MSH executive director, MSH will **only** accept administering institution responsibilities in cases where the following criteria are met:
 1. The research grant applicant is a current employee of MSH; **and**
 2. The research grant applicant:
 - a) would otherwise be ineligible for the research grant (e.g., the research grant is only available to a hospital/health service or public-sector agency); **or**
 - b) has no affiliation with a university/institution or higher education/research entity/organisation.
- **Researchers who do not meet these criteria need not read further and should consult the Research Grants Administration Office of the suitable partner chosen as the administering institution for the research grant (i.e., MSH-affiliated university/institution).**

2.2 Advise Metro South Research

- Once a researcher has determined that they meet the criteria outlined above, the Metro South Research Support Coordinator (MSRSC) must be advised as soon as practical. Contact with the MSRSC may be made via email: MSH-RSS@health.qld.gov.au.
- The MSRSC will advise the researcher if MSH accepts administration institution responsibilities. If accepted by Metro South Research, the research grants submission process outlined below applies.
- If not accepted, the researcher must select a suitable partner as the chosen administering institution and follow the specified entity/organisation's research grants administration process.

2.3 Submit the research grant application to MSRSC

- Submit the research grant application form and all required supporting documents to the MSRSC via email: MSH-RSS@health.qld.gov.au for review at least **two (2) weeks** prior to the intended/required submission date to the relevant application platform.
- Failure to provide the research grant application for review in a timely manner may result in the research grant not being certified for submission.

2.4 MSH review and authorisation process

- Upon receipt, the MSRSC will review research grants documentation to ensure appropriate departmental and financial authorisation has been obtained. The review and authorisation process may include:
 - Assurance that research funding and legal agreements have been authorised by appropriate MSH delegates including:
 - Financial - the relevant business manager and/or cost centre manager
 - Clinical/operational - departmental head/s
 - Legal - MSRSC will advise and facilitate engagement of a legal contractor if required.
- If required, the MSRSC will arrange MSH delegate authorisation as part of the review and authorisation process and in accordance with the Metro South Financial Delegation Schedule and Framework.
- Further research support including assessment of legal opinions, insurance indemnity for research contracts (i.e., funding agreements and conditions of award) may also be provided by Metro South Research. This review and authorisation process is aimed at ensuring compliance with MSH corporate requirements (i.e., it is not a review of the quality of the research or application).

2.5 Certification

- Following review and authorisation, the MSRSC will certify the research grant application prior to formal submission to the sponsoring/funding entity/organisation. Researchers will be formally notified of MSH research grant certification by the MSRSC in written correspondence. The certification letter will be sent in a pdf form via email to the Principal Investigator and/or nominated contact person.

2.6 Submit completed research grant application

- The final research grant application and collated supporting documents (if required) must be submitted in accordance with the sponsoring/funding entity/organisation's requirements.
- Researchers must ensure all relevant and involved parties have a copy of the submitted final research grant application.
 - Note: NHMRC research grants are submitted through the NHMRC Research Grants Management System and can only be actioned/submitted by the nominated research grants administration officer.

3. STEP 3: RESEARCH GRANT APPROVAL

3.1 Notice of funding offer and research funding agreement/s

- Researchers must advise the MSRSC if they are successful or unsuccessful in being awarded a research grant.
- On advice of a research grant funding offer, for research grants where MSH has accepted administration institution responsibilities, the Principal Investigator, researcher or student research supervisor must submit electronic copies of the following to the MSRSC via email MSH-RSS@health.qld.gov.au:
 - Formal notice of funding offer; and
 - Research funding agreement/s.
- If a research grant application is unsuccessful, the Principal Investigator, researcher or research student supervisor is encouraged to retain all relevant documentation with the aim to apply to future research grant application processes.

3.2 Execution

- Upon receipt of the notice of funding offer and research funding agreement/s the MSRSC will:
 - Arrange for execution of the research funding agreement in accordance with the Metro South Financial Delegation Schedule and Framework;
 - Arrange execution by the sponsoring/funding entity/organisation; and
 - Provide a copy of the fully executed research funding agreement to the Principal Investigator, business manager and/or cost centre manager and Metro South Research Governance Office (MSRGO).

3.3 Commence research project

- The research project may only proceed upon receipt of advice/confirmation in writing from either the Metro South HREC Office (HREC approval) or another NHMRC Certified HREC, MSRGO (SSA authorisation) and MSRSC (research grant approval).

4. STEP4: RESEARCH GRANT ADMINISTRATION POST-APPROVAL

4.1 Utilisation of research grant funds

- Researchers and MSH employees involved in research activities are responsible for:
 - Ensuring research grant funds are used appropriately and in accordance with relevant legislation, policies, standards, guidelines and agreements.
 - Providing appropriate documentation to the financial delegate, to enable authorisation prior to the expenditure of research funds.

- Escalating any issues to the relevant Principal Investigator, researcher, research student supervisor, business manager and/or cost centre manager, or appropriate delegate for advice and resolution.
- Securing approval from relevant bodies before using grant funding for a purpose other than the aims and objectives and budget described in the grant application and funding agreement.

4.2 Research grant funds transactions

- Business managers and/or cost centre managers are responsible for a range of transactions in relation to research grant funds.
- Researchers must liaise with the business manager and/or cost centre manager to facilitate the preparation and issue of invoices in a timely manner to secure research grant funds in accordance with the relevant funding agreement.

4.3 Financial reports and acquittals

- Business managers and/or cost centre managers must provide researchers with appropriate reports of financial transactions and summaries of the financial status of individual research projects and financial acquittals, in accordance with the relevant research funding agreement, noting that the MSH standard process is to report on the basis of accrued expenditure.
- It is acknowledged that reporting on the basis of accruals will, at times, result in an adjustment to research funds carried forward in subsequent periods, once actual expenditure is confirmed.

4.4 Reporting on research grant funds

- Researchers have primary responsibility for ensuring reporting requirements are met in accordance with the research grant agreement and the external sponsoring/funding entity/organisation's requirements.
- Additionally, as part of MSH processes, researchers must:
 - Consult the relevant business manager and/or cost centre manager, to ensure accurate grant income and expenditure reporting and
 - Provide the MSRSC with an electronic copy of progress or final reports required by the funding entity for any research grants on which MSH is the administering institution.
- Failure to provide reports in accordance with the research grant agreement may amount to research misconduct on the part of the responsible individual and be addressed as a performance issue.
- Refer to MSH work instruction WI2023-291 Research complaints and misconduct for more information.

4.5 Finalising research grants

- At the conclusion of the research grant funding period, completion of the research project or termination of the research grant for any other reason, research grants must be finalised and closed in

accordance with the relevant funding agreement or sponsoring/funding entities/organisations requirements.

- The Principal Investigator, researcher and/or research student supervisor must submit the required final report to the funding body using the external sponsoring/funding entity/organisation’s required template by the due date.
- The business manager and/or cost centre manager will transfer unused grant funds to the relevant sponsoring/funding entity/organisation.
- The MSRSC will certify reports and the closure of the research grant in accordance with the relevant funding agreement or sponsoring/funding entity/organisation requirements.

RESPONSIBILITIES

Position	Responsibility	Audit criteria
Executive Management Team	<ul style="list-style-type: none"> • Ensure collaborative, harmonised, clear, detailed and publicly available policies and procedures are in place to ensure compliance with legislation, audit and financial management requirements for research grants. 	<ul style="list-style-type: none"> • N/A
MSH Research Grants Committee	<ul style="list-style-type: none"> • Review progress, annual (HREC/RGO Annual Progress/Final Report) and final reports that are provided by researchers as part of the MSH research grant administration process, as required. 	<ul style="list-style-type: none"> • N/A
Metro South Research – Metro South Research Support Coordinator (MSRSC)	<ul style="list-style-type: none"> • Facilitate the MSH research grants administration process and ensure compliance with rules and related processes. • Provide appropriate advice to Principal Investigators, researchers and research student supervisors, to enable adherence to post-award requirements and all relevant MSH policies and procedures. 	<ul style="list-style-type: none"> • N/A
Business managers and/or cost centre managers	<ul style="list-style-type: none"> • Ensure MSH research budgets are developed with appropriate rigour to provide costs associated with identified research resources. • Establish or identify an Internal Order Number (ION) from which research funds will be managed. 	<ul style="list-style-type: none"> • N/A

PRINTED COPIES ARE UNCONTROLLED

	<ul style="list-style-type: none"> • Support and advise researchers in the establishment of positions, procurement of equipment and consumables and other activities associated with the research grant. • Prepare and issue invoices for the research grant funds in accordance with the research funding agreement. • Monitor and report on research expenditure relative to available research grant funds and informing Principal investigators and/or department heads when appropriate. 	
Principal Investigators, researchers and research student supervisors ('researchers')	<ul style="list-style-type: none"> • Ensure appropriate development and review of research grant applications. • Read eligibility rules and guidelines and ensuring that research grants are submitted in accordance with the sponsoring/funding entity/organisation's requirements. • Consult with the relevant business manager and/or cost centre manager to develop research grant application budgets. • Consult with relevant department heads and other stakeholders to establish the acceptability and feasibility of the proposal before committing to a multi-institutional collaborative research grant application. • Obtain appropriate statistical and other advice relevant to the research grant application and obtaining all required MSH authorisations prior to submission of research grant applications. • Conduct research in accordance with relevant legislation, national guidelines and PL2023-92 Research Policy and its associated procedures. • Be aware of and comply with this work instruction when undertaking research grant application processes. 	<ul style="list-style-type: none"> • N/A

DEFINITIONS

Term	Definition
Sponsor	An individual, organisation or group taking on responsibility for securing the arrangements to initiate, manage and finance a study.

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>Financial Accountability Act 2009</i> (Qld) • <i>Hospital and Health Boards Act 2011</i> (Qld) • <i>Hospitals Foundations Act 1982</i> (Qld) • <i>Human Rights Act 2019</i> (Qld) • <i>Information Privacy Act 2009</i> (Qld) • <i>Statutory Bodies Financial Arrangements Act 1982</i> (Qld) <p>Regulations</p> <ul style="list-style-type: none"> • Financial Accountability Regulation 2019 (Qld) • Financial and Performance Management Standard 2019 (Qld) • Hospital and Health Boards Regulation 2012 (Qld) • Hospitals Foundation Regulation 2015 (Qld) • Information Privacy Regulation 2009 (Qld) • Statutory Bodies Financial Arrangements Regulation 2019 (Qld) <p>Metro South Health</p> <ul style="list-style-type: none"> • Metro South Health Research Strategy • Finance Management Practice Manual (FMPM) • 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

PRINTED COPIES ARE UNCONTROLLED

Work Instructions

- WI2023-293 Research funding, budgets, and infrastructure support
- WI2022-226 Open access journal publications in research
- WI2023-295 Research letters of support
- WI2023-296 Metro South Health Research Support Scheme (MSHRSS)
- WI2023-297 Gift cards (for use as research incentives)
- WI2023-298 Scientists in the Clinic (MSH/TRI)

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 grants administration, 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

Work Instruction Name	Research grants administration
Work Instruction Number	WI2023-294
Current Version	V1.0
Keywords	Research, grants, administration, funding, budgets
Primary MSH or Directorate Procedure Reference	PR2023-412 Research support and management
Executive Sponsor	Executive Director, Metro South Research
Document Author	Manager, Research Development, Metro South Research
Next Review Date	December 2026

REVIEW HISTORY

Version	Approval date	Effective from	Authority	Comment
V1.0	7/12/2023	12/12/2023	Executive Director, Metro South Research	<ul style="list-style-type: none">• Supersedes PR2017-119 Research Grants Administration

PRINTED COPIES ARE UNCONTROLLED