

PROCEDURE

Research Management - Research Grants Administration

PR2017/119
Version No. 1.0

PURPOSE

To achieve Metro South Health's Research Management Values as outlined in the Research Management Policy, the Metro South Hospital and Health Service (Metro South Health) is committed to the highest standards and practices in the management, administration and use of research grant funds. This Procedure identifies a consistent administrative process for preparation of research grant applications and management of research grant funds within Metro South Health.

OUTCOME

Adherence to this Procedure will ensure all research conducted within Metro South Health or in collaboration with external entities/organisations, is of the highest ethical and scientific standard and is compliant with relevant legislation, standards and guidelines.

This Procedure applies to:

- Principal Investigators, researchers and research student supervisors who have nominated Metro South Health as the administering institution as part of a research grant application; and
- All personnel (including researchers and students) involved in management of research grant funds in Metro South Health.

Failure to comply with this Procedure may amount to research misconduct on the part of the responsible individual. This Procedure must be read in conjunction with other Metro South Health Research Management Procedures.

KEY PRINCIPLES

The following key principles guide Principal Investigators, researchers and research student supervisors in the preparation of research grant applications and management of research grant funds in Metro South Health.

- Research expenditure represents a critical measure of Metro South Health's ability to remain internationally recognised as a leader in biomedical and clinical research. Furthermore, research represents one of the most important avenues to increase its knowledge base.
- Research grant funding is awarded to researchers working on individual research projects for the purpose of advancing research in their particular field of expertise.

- Metro South Health must be involved in the research grants administration process if it is proposed for Metro South Health to be identified as the grant administering institution.
- Principal Investigators, researchers and research student supervisors intending to nominate Metro South Health as the administering institution on a research grant must advise the Metro South Health Research Grants Administration Office/r 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.
- 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 obtain relevant approvals from departmental and other authorised delegates.
- All authorisations or expenditures for research must comply with the sponsoring/funding entity/organisation's regulations as well as Metro South Health Policies and Procedures, including the [Finance Management Practice Manual \(FMPM\)](#), if required.
- Where a Metro South Health facility/service, such as the Princess Alexandra Hospital, is collaborating on a research project funded by entities such as the NHMRC, the involvement of the Hospital and the other institution/s must be defined by a NHMRC Multi-Institutional Agreement.
- Principal Investigators, researchers and research student supervisors who do not intend to list Metro South Health as the administering institution, are not required to follow provisions outlined within this Procedure.

LEGISLATION OR OTHER AUTHORITY

Legislation

- *Financial Accountability Act 2009 (Qld)*
- *Hospital and Health Boards Act 2011 (Qld)*
- *Hospitals Foundations Act 1982 (Qld)*
- *Information Privacy Act 2009 (Qld)*
- *Statutory Bodies Financial Arrangements Act 1982 (Qld)*

Regulations and Standards

- Financial Accountability Regulation 2009 (Qld)
- Financial and Performance Management Standard 2009 (Qld)
- Hospital and Health Boards Regulation 2012 (Qld)
- Hospitals Foundation Regulation 2015 (Qld)
- Information Privacy Regulation 2009
- Statutory Bodies Financial Arrangements Regulation 2007 (Qld)

Statements, Papers and Guidelines

- National Health and Medical Research Council (NHMRC): [National Statement on Ethical Conduct in Human Research \(2007\) - Updated May 2015](#)

Metro South Health Policies, Procedures, Manuals, Frameworks etc.

- [Metro South Health - Study, Education and Research Trust Account \(SERTA\) Committee Business Rules](#)
- [Finance Management Practice Manual \(FMPPM\)](#)
- [Risk Management Policy \(PL2013-06\)](#)
- [Integrated Risk Management Framework](#)
- [Risk Assessment Guide \(V12 6-11-2013\)](#)
- [Management of Conflict of Interest Policy \(PL 2014/0038\)](#)
- [Management of Conflict of Interest - All Staff Procedure \(PR2016-66\)](#)

RESPONSIBILITIES

Executive Management Team

Ensure collaborative, harmonised, clear and detailed publicly available Policies and Procedures are in place to ensure compliance with legislation, audit and financial management requirements for research grants.

Metro South Health Research Committee

Review progress, annual ([HREC/RGO Annual Report Form](#)) and final reports that are provided by Principal Investigators, researchers and research student supervisors as part of the Metro South Health research grant administration process.

Centres for Health Research – Metro South Health Research Grants Administration Office/r

Facilitate the Metro South Health 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 all relevant Metro South Health Policies and Procedures when conducting research.

Business Managers/Financial Officers and/or Cost Centre Managers

Responsible for ensuring Metro South Health research budgets are developed with appropriate rigour and for providing costs associated with the identified research resources. Business Managers/Financial Officers and/or Cost Centre Managers are also responsible for:

- establishing or identifying a cost centre from which research funds will be managed;
- supporting and advising researchers in the establishment of positions, procurement of equipment and consumables and other activities associated with the research grant;
- preparing and issuing invoices for the research grant funds in accordance with the research funding agreement; and
- monitoring and reporting 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

Metro South Health Principal Investigators, researchers and research student supervisors are responsible for:

- ensuring appropriate development and review of research grant applications;
- reading eligibility rules and guidelines and ensuring that research grants are submitted in accordance with the sponsoring/funding entity/organisation's requirements;
- consulting with the relevant Business Manager/Finance Officer and/or Cost Centre Manager to develop research grant application budgets;
- obtaining appropriate statistical and other advice relevant to the research grant application; and
- obtaining all required Metro South Health authorisations prior to submission of research grant applications

Principal Investigators, researchers and research student supervisors must also conduct research in accordance with relevant legislation, national guidelines and the [Metro South Health Research Management Policy](#) and its associated Procedures.

All Metro South Health Employees

Are required to be aware of and comply with this Procedure when undertaking research grant application processes.

SUPPORTING DOCUMENTS

Attachments

Attachment 1- [Application](#)

Forms

[HREC/RGO Annual Report Form](#)

NHRMC Multi-Institutional Agreement (MIA)

[Metro South Research Contracts Approval and Study Execution Form](#)

DEFINITIONS

See the [Metro South Health Research Management Glossary](#)

PREPARING A RESEARCH GRANT APPLICATION

STEP 1: Commencing the Research Grants Process

In addition to establishing a research question, developing a research protocol and compiling associated documents as part of the Human Research Ethics Committee (HREC) review and Site Specific Assessment (SSA) authorisation process, it is imperative for Principal Investigators, researchers and research student supervisors to identify if a research grant or research grants will be sought as part of the research project.

It is recommended that researchers consider commencing the research grant application process at the same time as the HREC and Site Specific Assessment (SSA) application process. Please see [Ethical and Scientific Review of Human Research Procedure \(PR2017/113\)](#) and [Research Governance \(Site Specific Assessment\) Procedure \(PR2017/116\)](#) for more information.

STEP 2: Planning for Research Grant Applications

Principal Investigators, researchers and research student supervisors must ensure appropriate planning is undertaken in relation to the development and review of a research grant application. Principal Investigators, researchers and research student supervisors must; 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.

STEP 3: Consultation

During the planning and development of research grant applications for research projects, Principal Investigators, researchers and research student supervisors must consult with relevant Metro South Health delegates including:

- Business Manager/Finance Officer and/or Cost Centre Manager - 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 and that appropriate resources are available for the duration of the research project.

In consultation with the Business Manager/Finance Officer 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.

STEP 4: 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 documentation.

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 Metro South Health [Management of Conflict of Interest Policy \(PL2014/0038\)](#) and [Management of Conflict of Interest - All Staff Procedure \(PR2016-66\)](#).

Step 5: Determination of Administering Institution

When developing a research grant application Principal Investigators, researchers and research student supervisors are encouraged to identify a suitable partner (e.g. Metro South Health-affiliated university/institution) as the administering institution for research grants.

Unless there is a direction to the contrary from the relevant Metro South Health Executive Director, Metro South Health will **only** accept administering institution responsibilities in cases where the following criteria are met:

1. The research grant applicant is a current employee of Metro South Health; **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.

Principal investigators, researchers and research student supervisors who do not meet this criteria need not read further and should consult the Research Grants Administration Office/r of the suitable partner chosen as the administering institution for the research grant (i.e. Metro South Health-affiliated university/institution).

STEP 6: Advise the Centres for Health Research

Once a Principal Investigator, researcher or research student supervisor has determined that they meet the criteria outlined above, the Centres for Health Research Metro South Health Research Grants Administration Office/r must be advised as soon as practical. Contact with the Metro South Health Research Grants Administration Office/r may be made via email: CHR@health.qld.gov.au or phone: 3443 8057 (PAH Speed-dial *4 38057).

The Metro South Health Research Grants Administration Office/r will advise Principal Investigator, researcher or research student supervisor if Metro South Health accepts administration institution responsibilities. If accepted the Centres for Health Research - Research Grants Submission Process outlined below applies.

If not accepted the Principal Investigator, researcher or research student supervisor must select a suitable partner as the chosen administering institution and follow the specified entity/organisation's research grants administration process.

Note: where it is proposed for Metro South Health to be included as part a NHMRC Multi-Institutional Agreement (MIA) the completed NHMRC Multi-Institutional Agreement (MIA) must be submitted to the Metro South Health Research Governance Office/r prior to the Research Grants Submission process (see [Section 2.2 Multi-Institution Agreement \(MIA\)](#) outlined below for more information).

CENTRES FOR HEALTH RESEARCH - RESEARCH GRANTS SUBMISSION PROCESS

STEP 1: Submit the Research Grant Application to Metro South Health Research Grants Administration Office/r

Submit the research grant application form and collated supporting documents (if required) to the Metro South Health Research Grants Administration Office/r via email: CHR@health.qld.gov.au for review at least **two (2) weeks** prior to the intended/required submission date to the relevant institution.

Failure to provide the research grant application for review in a timely manner may result in the research grant not being certified for submission.

STEP 2: Metro South Health Review and Authorisation Process

Upon receipt, the Metro South Health Research Grants Administration Office/r will review research grants documentation to ensure appropriate departmental and financial authorisation has been obtained. The review and authorisation process may include:

- Confirmation that Human Research Ethics Committee (HREC) and Site Specific Assessment (SSA) approvals are related to the research described in the research grants application.
- Assurance that research funding and legal agreements have been authorised by appropriate Metro South Health delegates including:
 - Financial - the relevant Business Manager/Finance Officer and/or Cost Centre Manager;
 - Clinical/Operational - Departmental Head/s;
 - Legal - Metro South Health Research Governance Office/r will advise and facilitate engagement of a legal contractor if required.

If required the Metro South Health Research Grants Administration Office/r will arrange Metro South Health delegate authorisation as part of the review and authorisation process and in accordance with the Metro South Health [Finance Management Practice Manual \(FMPPM\)](#).

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 the Centres for Health Research. Please see Intellectual Property Procedure (TBA), Indemnity Procedure (TBA) and Research Contracts and Study Execution Procedure (PR2017/122) for more information.

This review and authorisation process is aimed at ensuring compliance with Metro South Health corporate requirements (i.e. it is not a review of the quality of the research or application).

STEP 3: Certification

Following completed review and authorisation, the Metro South Health Research Grants Administration Office/r will certify the research grant application prior to formal submission to the sponsoring/funding entity/organisation. Principal Investigators, researchers and research student supervisors will be formally notified of Metro South Health research grant certification by the Metro South Health Research Grants Administration Office/r in written correspondence. The Certification Letter will be sent in a pdf form via email to the Principal Investigator and/or nominated contact person.

STEP 4: 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.

Principal Investigators, researchers and research student supervisors 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 Metro South Health Research Grants Administration Office/r.

RESEARCH GRANT APPROVAL

STEP 1: Notice of Funding Offer and Research Funding Agreement/s

Principal Investigators, researchers and research student supervisors must advise the Metro South Health Research Grants Administration Office/r if they are successful or unsuccessful in being awarded a research grant.

On advice of a research grant funding offer, for research grants where Metro South Health has accepted administration institution responsibilities, the Principal Investigator, researcher or student research supervisor must submit electronic copies of the following to the Metro South Health Research Grants Administration Office/r via email: CHR@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 for future research grant application processes.

STEP 2: Execution

Upon receipt of the Notice of Funding Offer and Research Funding Agreement/s the Metro South Health Research Grants Administration Office/r will:

- arrange for execution of the research funding agreement in accordance with the [Finance Management Practice Manual \(FMPM\)](#);
- 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/Financial Officer and/or Cost Centre Manager and Metro South Health Research Governance Office/r.

STEP 3: Commence Research Project/Publish

The research project may only proceed upon receipt of advice/confirmation in writing from either Metro South Health HREC Office/r (HREC approval) or another NHMRC Certified HREC, Metro South Health Research Governance Office/r (Site Specific Assessment Authorisation) and Metro South Health Research Grants Administration Office/r (Research Grant Approval).

RESEARCH GRANT ADMINISTRATION POST-APPROVAL

STEP 1: Utilisation of Research Grant Funds

All Principal Investigators, researchers, research student supervisors and Metro South Health 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; and
- escalating any issues to the relevant Principal Investigator, researcher, research student supervisor, Business Manager/Financial Officer and/or Cost Centre Manager, or appropriate delegate for advice and resolution.

STEP 2: Research Grant Funds Transactions

Business Managers/Financial Officers and/or Cost Centre Managers are responsible for a range of transactions in relation to research grant funds. Principal Investigators, researchers, research student supervisors must liaise with the Business Manager/Financial Officer and/or Cost Centre Manager to facilitate the preparation and issuing of invoices in a timely manner to secure research grant funds in accordance with the relevant research project funding agreement.

STEP 3: Financial Reports and Acquittals

Business Managers/Financial Officers and/or Cost Centre Managers must provide Principal Investigators, researchers, research student supervisors 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 Metro South Health standard Procedure 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.

STEP 4: Reporting on Research Grant Funds

Principal Investigators, researchers and research student supervisors 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 Metro South Health processes, Principal Investigators, researchers and research student supervisors must:

- consult the relevant Business Manager/Financial Officer and/or Cost Centre Manager, to ensure accurate reporting on research financial matters; and
- provide the Metro South Health Research Grants Administration Office/r with an electronic copy of progress via the [HREC/RGO Annual Report Forms](#) for each research project and final reports, for any research grants on which Metro South Health is the administering institution.

Progress Reports must be submitted by the researcher to the Metro South Health Research Grants Administration Office/r on or before the 30th November each year.

Progress, [HREC/RGO Annual Report Forms](#) for each research project and final reports may be provided to the Research Committee upon request.

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. Please see Research Complaints and Misconduct Procedure (PR2017/124) for more information.

STEP 5: Finalising Research Grants

At the conclusion of the research grant 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. Additionally, the Principal Investigator, researcher or research student supervisor must submit the [HREC/RGO Annual Report Form](#) to the Metro South Health Research Grants Administration Office/r.

The Business Manager/Financial Officer and/or Cost Centre Manager will transfer unused grant funds to the relevant sponsoring/funding entity/organisation. The Metro South Health Research Grants Administration Office/r will certify reports and the closure of the research grant in accordance with the relevant funding agreement or sponsoring/funding entity/organisation requirements.

PROCEDURE DETAILS

Procedure Number

PR2017/119

Procedure Name

Metro South Health Research Management -
Research Grants Administration Procedure

Policy Reference

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Metro South Research Management Policy

Supersedes

Nil

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ATTACHMENT 1 - Application

1.0 Metro South Health Grants Administration Services

In Metro South Health research grants represent funding from internal and external sponsoring/funding entities/organisations for approved research projects. Major sponsoring/funding entities/organisations include:

- Metro South Health Study, Education and Research Trust Account (SERTA) Committee;
- Princess Alexandra Hospital Research Foundation (PARF);
- National Critical Care Trauma Response Centre (NCCTRC) TRauma And Disaster Management (TRADIM) Scheme;
- National Health and Medical Research Council (NHMRC);
- Australian Research Council (ARC);
- primary industry; and
- private industries via consultancy for research.

Metro South Health facilitates internal and external research grants administration services through its role as a NHMRC research administering institution. This includes providing advice and support in relation to:

- research grant application development and submission;
- accepting and managing grants;
- reporting requirements; and
- varying or transferring research grants.

1.1 External Sponsoring/Funding Entity/Organisation

Metro South Health employees, Principal Investigators and research student supervisors, may apply for research grants from internal and external sponsoring/funding entities/organisations for ethically approved research projects. If a research grant is sought from an entity/organisation external to Metro South Health, Principal Investigators and research student supervisors must ensure the relevant sponsoring/funding entity/organisation's processes are followed, in addition to, provisions outlined within this Procedure.

1.2 National Health and Medical Research Council (NHMRC)

Metro South Health employees, Principal Investigators and research student supervisors, may apply for various [NHMRC funding schemes](#) for ethically approved research projects. If a research grant is sought from the NHMRC, Principal Investigators, researchers and research student supervisors must follow [Policy, Procedures and Legislation](#) relevant to the research funding provided by the NHMRC.

1.3 TRauma And Disaster Management (TRADIM) Research Grant Scheme

The [National Critical Care Trauma Response Centre](#) (NCCTRC), based at Royal Darwin Hospital, provides medical response to incidents of national significance. Funding opportunities are available for research projects exploring trauma and disaster management, to staff employed by:

- the NCCTRC;
- Metro South Hospital and Health Service; and
- Royal Darwin Hospital.

This TRADIM scheme is funded by the NCCTRC Trust Fund as part of the formal partnership between the three (3) organisations. The scheme aims to:

- increase the evidence base of trauma clinical practice;
- develop research collaborations between the NCCTRC/Royal Darwin Hospital and Metro South Health/Princess Alexandra Hospital; and
- improve trauma patient outcomes through research.

Funding will be awarded in two (2) categories:

1. **Small Grants** provide seed funding for research projects that have the potential to build capacity.
2. **Research Project Grants** provide stand-alone support for defined research projects that demonstrate potential for the research to be translated into improved health outcomes through evidence based practice and/or result in future national or international research grants.

Principal Investigators and research student supervisors who wish to apply for the TRADIM Research Grant Scheme are encouraged to access the scheme's Internet Page for current, up to date information.

If Principal Investigators and research student supervisors would like to apply for a grant they must read the relevant year's Funding Guidelines and prepare a research grant application using the Application Form available on the [TRADIM Research Grant Scheme](#) internet site.

1.4 Metro South Health Research Support Scheme

If a research grant is sought internally from the Metro South Health Research Support Scheme please see [Metro South Health Research Support Scheme \(RSS\) Procedure \(PR2017/120\)](#) for more information.

2.0 Research Grant Applications

Principal investigators, researchers and research student supervisors are responsible for undertaking appropriate planning prior to developing research grant applications. It is imperative to focus on research significance, scientific quality and feasibility, including the accurate identification of resources and expertise required to enable research to be conducted in a safe, responsible, ethical and efficient manner.

Principal investigators and research student supervisors are responsible for:

- ensuring appropriate development and review of research grant applications;
- reading eligibility rules and guidelines and ensuring that research grants are submitted in accordance with the sponsoring/funding entity/organisation's requirements;
- consulting with the relevant Business Manager/Finance Officer and/or Cost Centre Manager to develop research grant application budget;
- obtaining appropriate statistical and other advice relevant to the research grant application; and
- obtaining all required authorisation prior to submission of research grant applications.

2.2 Multi-Institution Agreement (MIA)

For multi-centre research projects, the NHMRC requires that all research grants with Chief Investigators (CIs) collaborating with CIs from other institutions or organisations (including international organisations), have a collaborative agreement in place, even if there are no funds being shared. This agreement is written as part of a NHMRC Multi-Institutional Agreement (MIA).

Principal Investigators and research student supervisors must consult with the Metro South Health Research Governance Office/r if it is intended for a NHMRC Multi-Institutional Agreement (MIA) to include Metro South Health.

Where it is proposed for Metro South Health to be included as part a NHMRC Multi-Institutional Agreement (MIA) the completed NHMRC Multi-Institutional Agreement (MIA) must be submitted to the Metro South Health Research Governance Office/r via email: PAH-Research@health.qld.gov.au.

Principal Investigators and research student supervisors are able to access the NHMRC Multi-Institutional Agreement (MIA) template from the NHMRC Internet Site.

The Metro South Health Research Governance Office/r will review the completed NHMRC Multi-Institutional Agreement (MIA) and will identify potential liabilities, such as institutional indemnity clauses, to Metro South Health. If identified, the Metro South Health Research Governance Office/r will register the NHMRC Multi-Institutional Agreement (MIA) on the Queensland Health Indemnity Register noting the relevant institutional indemnity clause if required.

The Metro South Health Research Governance Office/r will allocate a level of risk within in the Queensland Health Indemnity Register in accordance with specified Queensland Health risk ratings. The Queensland Health Finance Department will review the Queensland Health Indemnity Register and advise the Metro South Health Research Governance Office/r if further information is required.

The Metro South Health Research Governance Office/r will produce a [Metro South Research Contracts Approval and Study Execution Form](#) on behalf of the researcher, noting the existence of a NHMRC Multi-Institutional Agreement (MIA) on the form, and print the relevant record contained within the Queensland Health Indemnity Register.

The Metro South Health Research Governance Office/r will submit all documents to the Metro South Health indemnity delegate for approval and signature. Following indemnity delegate approval, the Metro South Health Research Governance Office/r will submit all documents to the Chair, Centres for Health Research for approval and signature. Once signed by all relevant delegates, the Metro South Health Research Governance Office/r will submit all signed documents to the Metro South Health Research Grants Administration Office/r with a copy to the nominated contact for the research project. The Metro South Health grants administration process may then proceed.

3.0 Metro South Health Review, Authorisation and Certification

The review, authorisation and certification process is aimed at ensuring compliance with Metro South Health corporate requirements and application guidelines (i.e. it is not a review of the quality of the research or application). On request from the researcher and with sufficient notice the Metro South Health Research Grants Administration Office/r may be able to facilitate a more detailed review of the application, aimed at improving the quality of the application.

3.1 Ethical and Scientific Review of Human Research and Research Governance (Site Specific Assessment)

Principal Investigators, researchers and student research supervisors must ensure all relevant requirements have been met, or are being met to enable the research project to commence noting in particular the [Ethical and Scientific Review of Human Research Procedure \(PR2017/113\)](#) and [Research Governance \(Site Specific Assessment\) Procedure \(PR2017/116\)](#).

It is important for researchers to note that research grant payments will not be made unless Ethics and Governance approval is in place and forwarded to the Metro South Health Research Grants Administration Office/r for record keeping purposes. It is responsibility of the researcher to ensure that the research project remains compliant with ethics and governance requirements and participates in monitoring when requested by the Metro South Health Research Monitoring Office/r. Please see the [Research Governance \(Site Specific Assessment\) Procedure \(PR2017/116\)](#) for more information.

3.2 Metro South Health Research Grants Administration Office/r Review

During the review process the Metro South Health Research Grants Administration Office/r will ensure:

- the HREC and SSA approval is related to the research described in the research grants application;
- research grant funds are only spent on sponsoring/funding entity/organisation approved items; and
- that expenditure only occurs in the research granting period.

3.3 Certification

Official research grants must be certified by Metro South Health. This certification is provided by the Metro South Health Research Grants Administration Office/r, supported by the signatures of the research grant recipient and the delegate.

Each individual research project grant is allocated a specific 'Research Project Grant Number' and a central records file is retained by Metro South Health Research Grants Administration Office/r. Research Project Grant records are set up to record initial revenue and expenditure budget, the net effect being zero. Amounts entered are in accordance with the original research grant agreement and amended for any subsequent official variations.

4.0 Financial Management of Research Funds

All sponsoring/funding entities/organisations have their own funding rules and conditions however there are four (4) key conditions which pertain to research grant administration:

- the research project must have appropriate approvals (including HREC and SSA approvals);
- research project funds can only be used for the research described in the research grant application and therefore spent on items listed in the approved budget;
- research funds can only be used during the research granting period; and
- if there are unspent funds at the end of the research granting period, they must be returned to the funding body.

4.1 Funding and Financial Management

Metro South Health and the Metro South Health Research Monitoring Office/r are responsible for ensuring:

- that research that is funded, regardless of source of funding, has an individual cost centre or other means of identification;
- that adequate funds per research project are maintained before expenses are approved;
- a review over all the current research project balances to ensure future obligations can be met is performed;
- where relevant, appropriate action is taken to remedy research projects with deficit balances;
- monitoring controls are enhanced to review research cost centre balances on a periodic basis for timely identification of dormant or overdrawn accounts;
- guidance on the treatment of surplus and the approval process is provided for transfer of funds to another research project;
- that amounts stated in the various monitoring reports (e.g. progress report and acquittal) are accurate and can be verified to accounting records

For details regarding payment for Metro South Health overheads, also known as infrastructure levy, consult the Research Funding, Budgets and Infrastructure Support Procedure (PR2017/121). For information regarding the Research Monitoring processes please see [Research Governance \(Monitoring\) Procedure \(PR2017/117\)](#) for more information.

4.2 Use of Research Grant Funds

Principal Investigators, researchers and research student supervisors have primary responsibility for ensuring all research grant funds are used appropriately. In particular, use of research grant funds must be in accordance with all legislation, standards and guidelines relevant to the research activities.

Additionally the use of research grant funds must be in compliance with:

- The Research Protocol approved by a HREC committee, please see [Ethical and Scientific Review of Human Research Procedure \(PR2017/113\)](#) for more information.
- The Site Specific Assessment (SSA) approved by the Metro South Health Research Governance Office/r, please see [Research Governance \(Site Specific Assessment\) Procedure \(PR2017/116\)](#) for more information.
- The relevant research funding agreement/s, please see the [Finance Management Practice Manual \(FMPM\)](#).
- Metro South Health Policies and Procedures pertaining to Conflicts of Interest, please see [Management of Conflict of Interest Policy \(PL2014/0038\)](#) and [Management of Conflict of Interest - All Staff Procedure \(PR2016-66\)](#).

Failure to comply with this Procedure and related Research Management Procedures may amount to research misconduct on the part of the responsible individual. Please see Research Complaints and Misconduct Procedure (PR2017/124) for more information.

4.3 Goods and Services Tax (GST)

Metro South Health must ensure that GST is consistently treated for research grant income received and paid to external parties and adequate supporting documentation is maintained in relation to salary and wages costs.

4.4 Financial Acquittals

The Metro South Health Business Manager/Financial Officer and/or Cost Centre Manager will also assist researchers in the preparation of financial acquittals for funding bodies and other funding partners in accordance with the relevant research funding agreement. Please see the [Finance Management Practice Manual \(FMPPM\)](#) for more information regarding the payments and acquittals process for research activities.

5.0 Reporting

On request from the researcher and with sufficient notice the Metro South Health Research Grants Administration Office/r may be able to facilitate a review of progress or final reports, aimed at improving the quality of the report. Progress and final reports will be stored as official records with research grant documents.