

# Metro South Health Research Support Scheme (MSH RSS)

## PURPOSE

This work instruction outlines consistent, transparent, and equitable standards, practices and internal controls in place to provide effective administrative processes in the allocation, use and process for providing research grants as a component of the annual Metro South Health (MSH) Research Support Scheme (RSS).

## OUTCOME

The intended outcome of this work instruction is to:

- Outline key processes and internal controls in place to provide effective administrative processes and a reporting framework for the management of MSH research grants as part of the MSH RSS.
- Establish an effective framework to assist in streamlining funding guidelines and application forms with the aim of; reducing work for researchers, providing clearer instructions to reviewers, assisting in scoring and assessment of applications and facilitating the collection of data that demonstrates the benefits of the MSH RSS.
- Ensure MSH SERTA grants are only accessible to a MSH or Queensland Health (QH) employee whose usual reporting line is through a MSH facility or service.

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.
- All Principal Investigators, researchers and research student supervisors ('researchers'), who are awarded research grants as part of the MSH RSS.
- All personnel involved in management of the MSH RSS.

## WORK INSTRUCTION

### 1. STEP 1: PREPARING THE MSH RSS APPLICATION

#### 1.1 MSH RSS application planning

- The Metro South Research Support Coordinator (MSRSC) will undertake appropriate planning to prepare the MSH RSS with the aim to maximise value for the public, MSH and those who submit applications for research funding as part of the scheme.

- In planning for the upcoming year, the MSRSC must:
  - Give consideration of lessons learnt from previous MSH RSS research funding rounds.
  - Consider direction and feedback from the Executive Director, Metro South Research, MSH Research Council and other relevant stakeholders and groups.
  - Liaise with the MSH SERTA Committee when required.
  - Identify appropriate internal and external funding sources to support research funds in MSH
  - Identify resources required to manage the application, assessment, award and ongoing maintenance of the MSH RSS.
  - Give due consideration to ensuring the probity of the process - this may include (but is not limited to) the engagement of a Probity Advisor.

### **1.2 Confirmation of MSH RSS funds**

- The MSRSC must obtain appropriate delegate approval for the allocation of funds to the MSH RSS.
- Available funds from relevant funding sources will only be considered and subsequently confirmed when obtained in writing.

### **1.3 Development of MSH RSS funding guidelines**

- The MSRSC must review and develop MSH RSS funding guidelines on an annual basis. When developing the funding guidelines provisions contained within this procedure must be considered.
- Annual funding guidelines must include research grant categories, proposed number of research grants and updates to research funding arrangements for that particular year as endorsed by the MSH Research Grants Committee.
- The MSRSC must develop annual MSH RSS research grant categories in consultation with the MSH Research Grants Committee.

### **1.4 Endorsement and approval of MSH RSS funding guidelines**

- Final research grant categories must be endorsed by the MSH Research Grants Committee.
- Any changes to MSH RSS research funding arrangements must be endorsed by the MSH Research Grants Committee and require the approval of the following, prior to implementation:
  - SERTA funds — the Chair of the MSH SERTA Committee.
  - PA Research Foundation funds — PA Research Foundation CEO or Board Chair (when required).
  - Other sponsoring/funding entities/organisations — nominated delegate in accordance with funding agreements.
- The final MSH RSS Funding Guidelines must be endorsed by MSH Research Grants Committee and published on the Metro South Research website.

### **1.5 Conflicts of interest in the endorsement and approval of MSH RSS funding guidelines**

- If any person believes they may have a conflict of interest in relation to endorsement and approval of research funds as part of the MSH RSS, that conflict must be declared and managed in accordance with relevant MSH policy and procedures.
- Refer to MSH work instruction WI2023-287 Research integrity for more information.

### **1.6 Publish relevant MSH RSS information**

- All information pertaining to the annual MSH RSS must be easily accessible to potential applicants and published on the Metro South Research website.
- The website must include details regarding the MSH RSS funding guideline, research grant categories, funding period and application process and be updated when required or when the funding and/or application period is closed.

### **1.7 Invitations**

- The MSRSC is responsible for coordinating the annual MSH RSS application and assessment process and will ensure invitations to apply for MSH RSS research grants are sent to MSH researchers and partner institutions.
- The MSH RSS funding guidelines will be accessible through the invitation (e.g., as a link to the Metro South Research website).

### **1.8 Development of assessment process**

- The MSRSC must develop the MSH RSS assessment process in consultation with the Executive Director, Metro South Research.
- The final assessment process must be endorsed by the MSH Research Grants Committee and documented as part of the MSH RSS funding guidelines for the relevant year.
- If any person believes they may have a conflict of interest in relation to endorsement and approval of the assessment process as part of the MSH RSS, that conflict must be declared and detailed prior to confirmation.

### **1.9 MSH RSS awards event**

- The Metro South Research must organise and promote the MSH RSS grants announcement event in consultation with the MSH Events Manager, MSH media and communications team, Executive Director, Metro South Research and MSH Research Grants Committee.

## **2. STEP 2: APPLYING TO THE MSH RSS**

### **2.1 Prepare MSH RSS application form**

- Potential applicants may receive an invitation and/or review information contained on the Metro South Research website regarding the annual MSH RSS.

PRINTED COPIES ARE UNCONTROLLED

- Applicants must review the MSH RSS funding guidelines prior to preparing a MSH RSS grant application.
- Researchers are encouraged to consult with the MSRSC after the decision to prepare an application form is initiated via email or phone.

## **2.2 Conflicts of interest**

- If any person believes they may have a conflict of interest in relation to an application form, the conflict must be declared and detailed prior to submission of application form documentation.
- If a potential conflict of interest is identified, the Principal Investigator, researcher and/or research student supervisor must escalate approval of the application form documents to a relevant line manager or delegate.

## **2.3 Submit the MSH RSS application form**

- Researchers must submit the MSH RSS application form in accordance with instructions provided within the MSH RSS funding guidelines.

# **3. STEP 3: MSH RSS ASSESSMENT PROCESS**

## **3.1 Assessment of MSH RSS application forms**

- The assessment of MSH RSS application forms will be in accordance with provisions outlined within the MSH RSS funding guidelines for that year.
- Assessment and ranking of MSH RSS applications will be undertaken by the MSH RSS Sub-Committee, which reports to the MSH Research Grants Committee.
- The MSH RSS Sub-Committee will be chaired by an independent Chair. The MSH RSS Sub-Committee will give due consideration to ensuring the probity of the process - this may include (but is not limited to) the engagement of a Probity Advisor.

## **3.2 Conflicts of interest in assessment of application forms**

- The identification and management of perceived, potential and actual conflicts of interest will be in accordance with MSH work instruction WI2023-287 Research integrity.
- If the Executive Director, Metro South Research, the MSRSC, a member of the MSH Research Grants Committee or a nominated assessor believes they may have a conflict of interest in relation to any aspect of the MSH RSS, or in relation to a particular application, that conflict must be declared and detailed prior to any consideration of applications.
- Conflict of interest in this context may include a connection to an applicant or application which could bias the assessment of that application. The authorisation of an application as part of a member's administrative responsibility would not necessarily constitute a conflict.
- In the event of a conflict of interest a member/assessor will be required to absent themselves from consideration of relevant applications or grant categories.
- If necessary, an alternate member/assessor will be nominated.

PRINTED COPIES ARE UNCONTROLLED

### **3.3 Recommendations for funding and approval of research grants**

- At the conclusion of the MSH RSS assessment process, recommendations of the MSH RSS Sub-Committee will be presented to the delegate/s of the relevant funding group.
- The MSRSC will coordinate the recommendation process, confirmation and approval process on behalf of MSH.
- Responsibility for reviewing and approving research grant recipients rests with the delegate of the relevant funding group. Relevant delegates responsible for reviewing and approving the recommendations for funding:
  - SERTA funds — the Chair of the MSH SERTA Committee.
  - PA Research Foundation funds — PA Research Foundation Chief Executive Officer (CEO) (when required).
  - Other sponsoring/funding entities/organisations — nominated delegate in accordance with funding agreements.

### **3.4 Conflicts of interest in the confirmation of research funds**

- If any person believes they may have a conflict of interest in relation to confirmation of research funds as part of the MSH RSS, that conflict must be declared and detailed prior to confirmation.
- Conflict of interest in this context may include a connection to an applicant or application which could influence confirmation.
- In the event of a conflict of interest a member may be required to escalate confirmation to an appropriate delegate.

### **3.5 Notification of approved MSH RSS research grant recipients**

- The MSRSC will facilitate the notification of approved MSH RSS research grant recipients. Each grant recipient will be provided with a letter of offer, conditions of award, acceptance of award document.

### **3.6 MSH RSS awards event**

- MSH RSS research fund recipients and applicants will be invited to and are encouraged to attend the annual MSH RSS awards event coordinated by the MSRSC.

### **3.7 Acceptance of a MSH RSS research grant**

- Research grant recipients must formally confirm acceptance of the MSH RSS grant and conditions of award by the date prescribed in the letter of offer.
- Failure to confirm acceptance of the research grant and acceptance of the conditions of award by the prescribed date may result in withdrawal or reassignment of research funds.

### **3.8 Notification to relevant funding groups**

- At the conclusion of the MSH RSS assessment process the MSRSC must provide relevant MSH RSS funding groups with:

- a list of MSH RSS research grant recipients who have accepted the conditions of award.
- the amount to be allocated to each research grant recipient's Internal Order Number (ION).

## **4. STEP 4: MANAGEMENT AND USE OF MSH RSS RESEARCH FUNDS**

### **4.1 Setting up the MSH RSS research funds**

- Requirements relevant to the MSH RSS research grant will be detailed in the letter of offer, conditions of award and other supporting documents provided by the MSRSC.
- Recipients of research grants from the MSH SERTA should be particularly aware of specific restrictions relevant to expenditure of Trust Funds and discuss with their departmental/divisional business manager and/or cost centre manager.
- The MSRSC will provide advice if clarification is required.

### **4.2 Receipt of MSH RSS research funds**

- Grant recipients must request access to MSH RSS research funds through the process described in their letter of offer.
- For:
  - MSH SERTA Research Funds — a grant payment request form must be prepared.
  - PA Research Foundation Research Funds — an invoice must be raised.
- Business managers and/or cost centre managers are able to provide assistance in this process.

### **4.3 Requests for variations, suspension or termination**

#### **4.3.1 Variations**

- Variations to approved MSH RSS research grants must be requested in writing and must be submitted to the Executive Director, Metro South Research through the MSRSC.
- Research grant recipients who wish to make any variations relating to the use of the grant must write to the Executive Director, Metro South Research detailing and justifying the changes requested and submit via email.
- Research grant recipients who wish to apply for an extension of time must also write to the Executive Director, Metro South Research and submit via email and provide a summary of work to date, ERM project ID, the balance of the grant, a proposed new completion date, details and justification of the requested change and a revised timeline.
- Approval of any variation will be at the discretion of the Executive Director, Metro South Research and the delegate of the funding group.

#### **4.3.2 Suspension**

- MSH RSS research grants may be suspended in the event that ill health or other adverse circumstances prevent the research grant recipient from making progress on the research project, or in the event that the research grant recipient has failed to comply with the conditions of award.

PRINTED COPIES ARE UNCONTROLLED

- Researchers must contact the MSRSC to request a suspension of the research fund in writing via email.
- Approval of any suspension will be at the discretion of the Executive Director, Metro South Research and the delegate of the funding group.

#### 4.3.3 Termination

- A MSH RSS research grant may be terminated by MSH if:
  - there is evidence that the conditions of award have not been met.
  - circumstances have changed so that it is no longer possible for the objectives of the research project to be realised.
- If termination is deemed appropriate, the MSH RSS research grant must be formally terminated by the delegate of the funding group:
  - MSH SERTA funds — the Chair of the MSH SERTA Committee
  - PA Research Foundation funds — PA Research Foundation CEO
  - Other sponsoring/funding entities/organisations — nominated delegate in accordance with funding agreements.
- MSH Principal Investigators, researchers and/or research student supervisors will be notified formally in writing if the MSH RSS research fund has been terminated by the relevant delegate.

#### 4.4 Reporting

- Reporting requirements for MSH RSS research funds will be detailed in the letter of offer and associated documents. Refer to MSH work instruction WI2023-293 Research funding, budgets, and infrastructure support for more information.
- The MSRSC is responsible for accepting, reviewing and archiving MSH RSS final reports and variation request outcome letters.

#### 4.5 Non-compliant reports

- Any reports submitted as part of the MSH RSS deemed to be non-compliant with relevant research fund requirements will be returned to the Principal Investigator and/or research grant recipient, with details of the reason for non-compliance, and a request to rectify the report.
- The Principal Investigator and/or research grant recipient may rectify the report or provide grounds to support the acceptance of the report as 'deemed to comply'.
- If the perceived reported non-compliance issues are not addressed to the satisfaction of the MSRSC, the Principal Investigator and/or research grant recipient will be informed, and the matter escalated to:
  - the Executive Director, Metro South Research for matters relating to the scientific aspects of the report; and/or
  - the Director, Research Development for matters relating to financial or operational aspects of the report.

- The Executive Director, Metro South Research and/or the Director, Research Development may accept the report, or refer the non-compliance issue to the MSH Research Committee for consideration.
- The Principal Investigator and/or research grant recipient will be informed in either event.
- The MSH Research Grants Committee may recommend the report be accepted or recommend the issue be referred to the Principal Investigator and/or research grant recipient's line manager to be addressed as a performance issue.

#### 4.6 Research fund closure

- At the conclusion of the MSH RSS research grant funding period or completion of the research project or termination of the research project for any other reason, the Principal Investigator and/or research grant recipient must complete a final report through SmartyGrants by the due date.
- Upon receipt the MSH Research Support Coordinator and grants administration office will review the submitted final report and provide to the Executive Director, Metro South Research with a recommendation for approval or revision.
- The Executive Director, Metro South Research will review the final report and may decide to approve, request further revision, or refer to the MSH Research Grants Committee as noted in the steps above.
- The Principal Investigator and/or research grant recipient will be advised of the decision reached and any additional requirements by the MSRSC.
- Failure to submit a final report will be reported to the Principal Investigator's and/or research grant recipient's line manager and may disadvantage the Principal Investigator and/or research grant recipient in future MSH RSS application cycles.
- The business manager and/or cost centre manager will transfer unused research funds to the relevant funding body. The MSRSC will inform the delegate of the funding group of the closure of the MSH RSS research fund.

## RESPONSIBILITIES

Position	Responsibility	Audit criteria
Executive Management Team	<ul style="list-style-type: none"> <li>• 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 the MSH RSS.</li> </ul>	N/A
MSH Research Grants Committee	<ul style="list-style-type: none"> <li>• Establish MSH RSS research grant categories and review reports that are provided by the Principal Investigators, researchers and/or research student supervisors.</li> </ul>	N/A

PRINTED COPIES ARE UNCONTROLLED



Metro South Research/MSRSC	<ul style="list-style-type: none"> <li>• Facilitate the MSH RSS process and ensure compliance with rules and related processes.</li> <li>• Provide appropriate advice and support to MSH Principal Investigators, researchers and/or research student supervisors, to enable adherence to all relevant MSH policies and procedures when applying to the MSH RSS.</li> </ul>	N/A
Principal Investigators, researchers and/or research student supervisors	<ul style="list-style-type: none"> <li>• Ensure appropriate development and review of research grant applications for the MSH RSS and read eligibility rules and guidelines and ensure that grant applications are submitted in accordance with MSH requirements.</li> <li>• Consult with relevant Heads of Department to establish the acceptability and feasibility of the proposed project.</li> <li>• Consult with the relevant business manager and/or cost centre manager to develop application form budgets.</li> <li>• Obtain appropriate statistical and other advice relevant to the application form.</li> <li>• Obtain all required authorisation prior to submission of application forms.</li> <li>• Are required to be aware of and comply with this procedure when participating in the MSH RSS.</li> </ul>	N/A
Business managers/financial officers and/or cost centre managers	<ul style="list-style-type: none"> <li>• Responsible for ensuring research budgets are developed with appropriate rigour and for providing costs associated with the identified research resources.</li> <li>• Business managers and/or cost centre managers are also responsible for: <ul style="list-style-type: none"> <li>○ Establishing or identifying an ION from which MSH RSS research funds will be managed.</li> <li>○ Supporting and advising researchers in the establishment of positions, procurement of equipment and consumables, and</li> </ul> </li> </ul>	N/A

	<p>other activities associated with the research grant application.</p> <ul style="list-style-type: none"> <li>○ Preparing and issuing invoices for research funds in accordance with MSH RSS requirements.</li> <li>○ Monitoring and reporting on research expenditure relative to available research funds and informing principal investigators and/or department heads when appropriate.</li> </ul>	
--	---	--

## 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

<p><b>Legislation and other Authority</b></p>	<p><b>Legislation (as updated and replaced from time to time)</b></p> <ul style="list-style-type: none"> <li>• <i>Financial Accountability Act 2009</i> (Qld)</li> <li>• <i>Hospital and Health Boards Act 2011</i> (Qld)</li> <li>• <i>Hospitals Foundations Act 1982</i> (Qld)</li> <li>• <i>Human Rights Act 2019</i> (Qld)</li> <li>• <i>Information Privacy Act 2009</i> (Qld)</li> <li>• <i>Statutory Bodies Financial Arrangements Act 1982</i> (Qld)</li> </ul> <p><b>Regulations</b></p> <ul style="list-style-type: none"> <li>• Financial Accountability Regulation 2019 (Qld)</li> <li>• Financial and Performance Management Standard 2019 (Qld)</li> <li>• Hospital and Health Boards Regulation 2012 (Qld)</li> <li>• Hospitals Foundation Regulation 2015 (Qld)</li> <li>• Information Privacy Regulation 2009 (Qld)</li> <li>• Statutory Bodies Financial Arrangements Regulation 2019 (Qld)</li> </ul> <p><b>Metro South Health</b></p> <ul style="list-style-type: none"> <li>• Metro South Health Research Strategy</li> <li>• Finance Management Practice Manual (FMPM)</li> <li>• Human Resources (HR) Delegations Matrix and Schedule</li> <li>• Metro South Financial Delegation Schedule and Framework</li> </ul>
---	--

PRINTED COPIES ARE UNCONTROLLED

<b>Standards</b>	<ul style="list-style-type: none"> <li>• National Clinical Trials Governance Framework</li> <li>• National Safety and Quality Health Service (NSQHS) Standards 2<sup>nd</sup> Ed. <ul style="list-style-type: none"> <li>○ Standard 1 – Clinical Governance</li> <li>○ Standard 2 – Partnering with Consumers</li> </ul> </li> </ul>
<b>Supporting documents</b>	<p><b>Procedures</b></p> <ul style="list-style-type: none"> <li>• PR2023-411 Research excellence</li> <li>• PR2023-412 Research support and management</li> <li>• PR2023-413 Research administration and compliance</li> </ul> <p><b>Work instructions</b></p> <ul style="list-style-type: none"> <li>• WI2023-287 Research integrity</li> <li>• WI2023-293 Research funding, budgets, and infrastructure support</li> <li>• WI2022-226 Open access journal publications in research</li> <li>• WI2023-294 Research grants administration</li> <li>• WI2023-295 Research letters of support</li> <li>• WI2023-297 Gift cards (for use as research incentives)</li> </ul>

## 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, 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

<b>Work Instruction Name</b>	Metro South Health Research Support Scheme (MSH RSS)
<b>Work Instruction Number</b>	WI2023-296
<b>Current Version</b>	V1.0
<b>Keywords</b>	Research Support Scheme, MSH RSS, grants, administration, funding, budgets
<b>Primary MSH or Directorate Procedure Reference</b>	PR2023-412 Research support and management
<b>Executive Sponsor</b>	Executive Director, Metro South Research
<b>Document Author</b>	Manager, Research Development, Metro South Research
<b>Next Review Date</b>	December 2026

PRINTED COPIES ARE UNCONTROLLED

## REVIEW HISTORY

---

Version	Approval date	Effective from	Authority	Comment
1.0	7/12/2023	12/12/2023	Executive Director, Metro South Research	<ul style="list-style-type: none"><li>• New work instruction and supersedes PR2017-120 Metro South Research Support Scheme</li></ul>

PRINTED COPIES ARE UNCONTROLLED