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# RESEARCH - GRANTS

## PROCEDURE<sup>®</sup>

### DOCUMENT SUMMARY/KEY POINTS

- The purpose of this procedure is to outline the process for pre- and post-award management of research grants, in compliance with NSW Health, SCHN, regulatory and Protocol requirements.
- The procedure must be followed by all personnel involved in the pre- and post-award management of research grants.

### CHANGE SUMMARY

- Document due for mandatory review.
- Updated Related Documents section and hyperlinked to appropriate forms.

### READ ACKNOWLEDGEMENT

- Read/Acknowledge Only – Personnel involved in the pre- and post-award management of research grants.

This document reflects what is currently regarded as safe practice. However, as in any clinical situation, there may be factors which cannot be covered by a single set of guidelines. This document does not replace the need for the application of clinical judgement to each individual presentation.

<b>Approved by:</b>	SCHN Policy, Procedure and Guideline Committee	
<b>Date Effective:</b>	1 <sup>st</sup> October 2021	<b>Review Period:</b> 3 years
<b>Team Leader:</b>	Clinical Trials Program Manager	<b>Area/Dept:</b> Kids Research

## Purpose/Scope

The purpose of this procedure is to outline the process for the pre- and post-award administration of research grants submitted by and/or awarded to, SCHN affiliated Investigators.

The administration of funding support for the conduct of commercially sponsored research, service provision, or from philanthropic trusts and foundations not related to research is outside the scope of this procedure.

Adherence to this procedure will:

- Enhance the competitiveness of submitted applications via review of content and verification of compliance with the funding agency rules and application guidelines;
- Ensure accurate and complete records of applications submitted by and/or awarded to SCHN to support the generation of performance metrics, and leverage capacity building opportunities and other funding opportunities; and
- Support the appropriate stewardship of public and other resources by ensuring that funding is used 'for purpose' and the receipt, investment and expenditure of funds complies with Funding Agency obligations, NSW Accounts and Audit Determinations for Public Health Organisations.

This procedure must be followed by all personnel involved in the pre- and post-award administration of research grants.

## Background

The active involvement of SCHN affiliated Investigators in research provides impetus towards SCHN's goals under the Strategic Plan 2017-22 to deliver truly child and family centered, value-focused care through working in partnership to empower children, young people and their families.

In order to seek support for project, program or other research-related initiatives, SCHN affiliated Investigators may apply for research grants from a variety of funding agencies.

The SCHN Research Office can provide both advice and support for the review and lodgement of research grants, and also the appropriate management of research grants, if awarded.

## Procedure

### Pre-Award

- Grant opportunities will be circulated periodically by the Research Office, university partners, funding agencies and other publically available sources;
- Internal review and selection of applications to be submitted may be required in circumstances where funding agencies have imposed a restriction on the number and/or type of applications that can be submitted by a funding agency;
- SCHN-affiliated Investigators must provide the Research Office (via email to SCHN-ResearchGrants@health.nsw.gov.au) with a copy of their application, at least 8 days prior to the submission deadline, and complete the [Grant Submission Notification form](#);
- If required, the Research Office will progress the application to the Director of Research and/or Chief Executive for endorsement;
- The Investigator is responsible for lodging the application, as required by the funding agency;
- The Investigator must notify the Research Office of the outcome of a funding application and provide any associated documentation (e.g. Letter of Outcome) to SCHN-ResearchGrants@health.nsw.gov.au, when available;
- The Research Office may use the data collected regarding submissions and application outcomes when considering eligibility for near-miss or other funding opportunities.

### Post-Award

- If a research grant is awarded, the following documents must be promptly provided to the Research Office to enable accurate records to be maintained:
  - Letter of Award and awarded Budget (including details of the SCHN portion of the budget where the project involves multiple organisations)
  - A copy of the Funding or other Agreement(s) to be signed on behalf of SCHN, noting that individuals may not sign agreements on behalf of the organisation.
- All Agreements will be subject to review by the Research Governance Office (RGO) and progressed for sign off by the Director of Research and/or Chief Executive;
- If SCHN is not the final signatory, a copy of the fully executed Agreement(s) must be returned to the RGO, once available;
- Investigators are required to be aware of the obligations that apply to them under the Agreement(s) including any requirements for management of Intellectual Property, use of funds, invoicing, submission of progress reports and preparation of financial acquittal statements;
- Where required, Research Office may provide support in administration of grants including preparation and submission of invoices and submission of financial acquittals.

- The data recorded by the Research Office may be used to allocate top-up and other awards from time to time.

## Appendices

### [Grant Submission Notification Form](#)

## Abbreviations and Definitions

ACGR	Australian Competitive Grants Register
ARC	Australian Research Council
MRSP	Medical Research Support Scheme
NHMRC	National Health and Medical Research Council
NSW	New South Wales
RGMS	Research Grants Management System
RGO	Research Governance Office
RIBG	Research Infrastructure Block Grant
SCHN	Sydney Children's Hospitals Network

## Related Documents

1. Australian Code for the Responsible Conduct of Research (2018) - <https://www.nhmrc.gov.au/guidelines-publications/r41>
2. National Statement on Ethical Conduct in Human Research (2007) - Updated 2018 - <https://www.nhmrc.gov.au/guidelines-publications/e72>
3. NSW Health - Accounts and Audit Determination for Public Health Organisations - <http://www.health.nsw.gov.au/policies/manuals/Documents/aad.pdf>
4. NSW Health PD2015\_049 - Code of Conduct - [https://www1.health.nsw.gov.au/pds/ActivePDS/Documents/PD2015\\_049.pdf](https://www1.health.nsw.gov.au/pds/ActivePDS/Documents/PD2015_049.pdf)
5. SCHN Policy – Clinical Research [DRAFT]
6. SCHN Policy 2011-9004 – Code of Conduct - <http://webapps.schn.health.nsw.gov.au/epolicy/policy/2568>
7. SCHN Procedure 2018-187 – Clinical Research - Financial Management - <http://webapps.schn.health.nsw.gov.au/epolicy/policy/4620>
8. SCHN Procedure 2019-027 – Clinical Research - Personnel Qualifications and Training Records – <http://webapps.schn.health.nsw.gov.au/epolicy/policy/4623>
9. SCHN Procedure 2019-028 - Clinical Research – Personnel Roles and Responsibilities - <http://webapps.schn.health.nsw.gov.au/epolicy/policy/4624>
10. SCHN Procedure 2019-145 – Clinical Research - Record Keeping - <http://webapps.schn.health.nsw.gov.au/epolicy/policy/4661>
11. SCHN Procedure 2009-8028 - Trusts and Foundations: Applying for Funding – CHW Policy and Procedure - <http://webapps.schn.health.nsw.gov.au/epolicy/policy/1795>
12. SCHN Strategic Plan 2017-2022 - <http://intranet.schn.health.nsw.gov.au/files/attachments/56/exc4092-schn-strategic-plan-2017-2022-fa3-lr.pdf>
13. TGA - Note for Guidance on Good Clinical Practice (CPMP/ICH/135/95) - <https://www.tga.gov.au/sites/default/files/ich13595an.pdf>
14. NHMRC Administering Institutions List - <https://www.nhmrc.gov.au/funding/manage-your-funding/nhmrcs-administering-institutions>

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