



# KHA Research Program Policies



2017-2018

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## Introduction

Kidney Health Australia (KHA) was established in 1968 as the Australian Kidney Foundation. At first it consisted of an affiliation of state and territory bodies: it is now a cohesive national body—a not-for-profit organisation dedicated to improving health outcomes and quality of life for people living with kidney disease, their families and carers. We do this through:

- **Education** – encompassing all aspects of education for both health professionals looking after those with kidney disease and the community at risk of, or with kidney disease.
- **Advocacy** – collaborating to seek solutions to the gaps in care for those with kidney disease in order to improve health outcomes.
- **Research** – Kidney Health Australia Research.
- **Support** – providing support programs for those with kidney disease.

### Our mission:

To promote good kidney health through education, advocacy, research and support.

### Our vision:

To save and improve the lives of those Australians affected by kidney disease.

## KHA Research

KHA has long tradition of supporting kidney research in Australia. Since 1968, KHA has raised funds and distributed more than \$30 million towards kidney research in Australia.

Up until 2015, KHA supported kidney research through the Kidney Research Foundation. The primary focus of research funding was:

- sponsoring investigator led clinical research projects
- PhD and Masters scholarships
- strategic data collection related projects

In 2016-2017 Kidney Health Australia conducted a review of the research grant system, during which we consulted widely with people affected by kidney disease, major kidney research groups, and others interested in kidney-related medical and scientific research.

At the beginning of this review process, KHA suspended support of investigator led clinical research projects and individual PhD and Masters scholarships, but continued its support for data collection and related projects and research prizes.

As a result of the review, KHA Research has undergone a transformation with a focus on **community participation**, a **research agenda** with structured programs of research endorsed by our community and **organisational collaboration**. Our long-standing commitment to research funding continues unchanged. This paradigm shift will support the mission of KHA Research program, which is:

***To reduce the impact of kidney disease on all Australians through the support of research.***

In line with KHA's focus on its community we have been looking to our community to tell us what they think are the important research topics we should be supporting. Therefore, rather than support a number of different research topics, in the future we are going to support a specific research agenda as prioritised by the Australian kidney community. Two consumer surveys were carried out during the KHA Research review process, the results of which have been used to inform the KHA Research agenda.

Starting in 2018 KHA Research will focus on three research streams, in line with identified consumer priorities.

Stream 1: Improving quality of life and duration of life for those living with CKD  
 Stream 2: Making kidney transplants last longer  
 Stream 3: Preventing the progression of chronic kidney disease

KHA Research will fund a **single stream each year**, rotating annually.

In 2018 KHA Research will be seeking applications for Research Stream 1 - **Improving quality of life and duration of life for those living with CKD.**

KHA Research will prioritise research in three areas

- basic science
- psychosocial
- clinical science/population health

### **Patient and service user engagement**

In line with its consumer focus, KHA Research's grant program will prioritise projects that clearly demonstrate a patient and service user engagement (PSUE) approach to conducting research. This may be during the preparatory, executional and/or translational phases of research. Examples of the different phases of PSUE include but are not limited to

- Preparatory - developing research priorities and research questions based on feedback from patients and other service users, such as carers.
- Executional - seeking input and feedback on study design, data collection and data analysis.
- Translational - involving patients and other service users in the dissemination and implementation of research findings.

## **Governance**

The KHA Research Advisory Group (RAG) is responsible for advising on the strategic direction for the KHA Research grants program. Grant assessments will be conducted by expert panels/external assessors for each stream.

## **Confidentiality**

Information contained in applications is regarded as in-confidence unless otherwise stated and will be received and treated as in-confidence by KHA. It is the responsibility of all KHA RAG members, and persons assisting this group, not to disclose to any person confidential information to which they become privy as a result of the exercise of their responsibilities to KHA.

Information comprising the names of successful grant applicants and their administering institutions, together with the title of the research project and the funding awarded, are published in KHA's Annual Report and are available through KHA's website. KHA may also release information about the areas of research of the grant and a brief description of the grant provided by the applicant in response to the question on the application form designated as Lay Summary.

## **Privacy**

Documents containing personal information are handled and protected in accordance with the provisions of the Privacy Act 1988, which sets standards for the collection, storage, use and disclosure of, and access to, personal information. Personal information is disclosed only with permission of the individual to whom it relates or where the Act allows.

## **Application Process**

### Application Forms

All applications must be made on the appropriate form provided by KHA. Application forms and Guides to Application can be found [here](#).

Completed forms, along with all other required documentation, must be submitted electronically by the advertised closing date.

### Withdrawal of Applications

Applicants may withdraw an application at any time through their Administering Institution's Research Office.

### Incomplete, false or misleading applications

Once submitted to KHA, the application will be considered final and no changes will be accepted. The application is the prime source of information available for assessment. As such it must contain all the information necessary for assessment of the project and the investigators without the need for further written or oral explanation, or reference to additional documentation, including the Internet. All details in the application, particularly all information about all active research grants and all current grant applications must be current at the time of application.

### Tobacco

KHA will not award a research grant to any researcher who:

- is an applicant for, or is in receipt of funds from, the tobacco industry or organisations deemed by KHA to be associated with the tobacco industry, regardless of whether the funds are received directly, through collaborators or by other means (for example, the Smoking and Health Research Foundation of Australia is deemed to be associated with the tobacco industry).
- is employed in a research institute or organisation or, in the case of universities, faculties or schools that allow applications or receive funds from the tobacco industry, whatever the use of those funds may be.
- is employed in a university that accepts funds from the tobacco industry for health-related research or services, wherever in the university that research may be done or those services supported.

KHA will terminate its support for a research project if the above provisions relating to support from the tobacco industry are breached or it believes that the integrity of the research is threatened by influence from tobacco interests.

### Initial Review of Applications

KHA Research reviews all applications submitted, and reserves the right to remove any applications that are clearly non-competitive or ineligible from further consideration in the peer review process.

Exclusion of ineligible applications may take place at any time during the selection process under the following circumstances:

- the application is inconsistent with the objectives of KHA
- the application contravenes or is inconsistent with KHA's Research Program Policies and the relevant guides for the completion of application forms
- the application does not address the selection criteria and/or the application includes incomplete or misleading information
- the application does not adhere to the guidelines for the relevant grant category.

### Peer Review

For full details of the peer review process please refer to each the Research Program pages of KHA's website.

## Funding

All grants will be funded at levels stated within the main announcement of each award. For example, a project will not be funded at levels above \$50,000 and not for a period of more than two years.

In 2018 KHA Research will be seeking applications that provide matching funding. Funding applications must meet KHA Research's eligibility requirements as outlined above.

The level of salary funding provided for personnel will generally adhere closely to current NHMRC guidelines.

## Ethics and other required approvals

When relevant approvals are available at the time of application, copies should be forwarded to KHA. If approvals will be sought after the grant is awarded, all relevant approvals must be forwarded to KHA within one year of the commencement of the award.

Continued funding for any funding mechanisms is dependent on all relevant ethical and other approvals and licences having been received from the appropriate bodies by the Administering Institute, with copies of these approvals forwarded to KHA.

## Outcome of Application

KHA will advise applicants directly of the outcome of the application as early as possible following approval by the Research Advisory Group. Outcomes of the funding round and starting date for any awarded grant will be announced on KHA's website.

KHA will publish the following information on its website for all successful grants:

- Application ID#
- Principal Investigator
- Administering Institution
- Type of Grant
- Title of Project
- Lay summary
- The Principal Investigator's photography and biography
- Any news regarding the progress of the project

## Administration of Grants

Offers will be made by KHA to the Principal Investigator and copied to the nominated Research Officer at the Administering Institution. The Principal Investigator is responsible for organising and managing the research collaboration and reporting to KHA however all correspondence must be sent from the Research Office at the Administering Institution.

The signed Certification Page, submitted at the time of the original grant application, is considered a binding agreement in which the applicant and the Administering Institution agree to abide by the policies of KHA's Research Program.

### Deferral

It is expected that awarded grants will commence on the start date indicated on the original application form. However, if this will not be possible, requests for a deferral of the start date must be provided in a letter addressed to the Project Officer KHA Research Programs within 21 working days of notification of a successful application, and sent to [research@kidney.org.au](mailto:research@kidney.org.au).

The letter must be on the letterhead of the Administering Institution and signed by either the Principal Investigator or an authorised representative from the Institution's Research Office. The letter should outline the reason/s for requesting a deferral and propose a new start date for the project.

Deferral requests will be assessed on a case by case basis. Please be aware that any approval for revision of the start date may also include amendment of the payment schedule and/or the reporting schedule.

### **Payments**

Payment of funds will be made to the Administering Institution, in response to an invoice, in instalments by electronic transfer after the end of each quarter. Funds should be used for the general purposes documented in the application and approved under KHA's Research Program.

In the event that annual reporting requirements are not met, KHA will suspend payment of further instalments of any current grant until all of the appropriate reporting documents have been received and assessed as satisfactory.

### **Extensions**

In the event that a project cannot be completed within the grant period, an extension may be granted. Requests for an extension of the completion date must be provided in a letter addressed to the Project Officer KHA Research, and sent to [research@kidney.org.au](mailto:research@kidney.org.au).

The letter must be on the letterhead of the Administering Institution and signed by either the Principal Investigator or an authorised representative from the Institution's Research Office. The letter should explain in detail the reason/s for the requiring an extension and propose a revised completion date for the project.

Extension requests will be assessed on a case by case basis. Please be aware that any approval for revision of the completion date may also include amendment of the payment schedule and/or the reporting schedule.

### **Intellectual Property rights and commercialisation**

1. Any Intellectual Property arising from a Research Project shall vest with the Administering Institution.
2. The Administering Institution shall promptly notify KHA of any such Intellectual Property as soon as is reasonably practicable after it arises.
3. Subject to points 1 and 2 above, the Administering Institution shall be responsible for the protection, management, exploitation and commercialisation, of any such Intellectual Property. To the extent that the Administering Institution does not, within a reasonable time after it arises, protect such Intellectual Property, KHA shall have a right, exercisable in its sole discretion, to protect and exploit such Intellectual Property.
4. With respect to actions in connection with the protection, management, exploitation or commercialisation of Intellectual Property, the Administering Institution undertakes to consider whether such protection, management, exploitation or commercialisation is the most appropriate means of achieving benefit to men with prostate cancer.
5. The Administering Institution must inform KHA before commercially exploiting any Intellectual Property.

## **Reporting**

### **Knowledge Translation**

Knowledge translation (KT) is about raising awareness of research findings and facilitating the use of those findings.

To fulfil the KT requirements, at the completing of the grant period applicants are required to submit a plan for how they will translate their findings when the research is completed. In addition, the applicants are required to articulate their knowledge sharing/dissemination plan to demonstrate that the results achieved are relevant and useful to end users.

### Annual Progress Reports and Financial Reports

Annual progress and financial reports will be required within three months of the end of the first year's funding. The progress reports will include (but are not limited to):

- Completion and submission of KHA's Progress Report Form.
- An internally-audited financial report from the Administering Institution against the approved Grant budget (i.e. financial reports must be certified and signed by a senior accountant at the Administering Institute). All expenditure reported should be in accordance with the budget requested in the application.

Justification for funds unspent, to be carried over or returned. Carry-over of funds remaining up to 25% of the grant budget must be justified; funds remaining over 25% will automatically revert to KHA. KHA will suspend payment of further instalments of any current grant until the appropriate reports have been received and assessed as satisfactory. Where an institution fails to submit satisfactory reports, as required, the Research Advisory Group may terminate funding and determine that all or part of the funding must be repaid. In this case, KHA may withhold the remainder of the institution's payments under the scheme for the current year or initiate recovery of funding.

At the completion of the grant, a final report and financial acquittal will be required within three months of the end of the grant cycle. The final report should contain the same information as the annual reports. Funds remaining up to 25% of the final year's funding may be carried over for up to 6 months, with justification. The final grant payment, which shall represent 2% of the total funds available, will be payable when the final report is approved.

### Acknowledgement of Support

Research carried out on awards funded by KHA must be acknowledged as being supported by KHA Research. This includes any publication or presentation resulting from the research. Researchers are required to notify KHA in advance of any publication or presentation and researchers must provide KHA with an electronic copy of any such publication. KHA would also appreciate a pdf file of any posters presented (or an A4 or A3 hard copy if a pdf is not available). Grant recipients may be asked to participate in media or other publicity events relevant to the KHA Research.

KHA should be acknowledged in all publications. In the event that the award is funded from more than one source, KHA will provide details of the co-funder and the acknowledgment terms in the official letter of offer.

*Note:* In the event that the grant holder fails to appropriately acknowledge all funders in any publications related to the funded work, KHA will automatically and permanently stop further payments for the grant. In order to avoid inadvertent penalties, please be careful not to report to the research office via interim scientific progress and/or final scientific progress reports publications that are not related to research funded by KHA Research.

### Further information

Enquiries may be addressed to Project Officer KHA Research:

Phone: 03 9674 4300

Email: [research@kidney.org.au](mailto:research@kidney.org.au)

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