



## **CANCER INSTITUTE NSW**

# **GRANTS ADMINISTRATION POLICY**

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## GLOSSARY

Administering Institution:	<p>The institution that receives and administers the funds. For the purposes of GST arrangements, this institution is defined as the supplier.</p> <p>Applications should be lodged through the Administering Institution's Research/Grants Office or equivalent.</p> <p>The Administering Institution assumes the legal, financial and scientific responsibility and accountability for the awarded funds.</p>
Agreement(s):	<p>Agreements usually comprise Agreement and Schedules to Agreements. These Agreements set out the conditions under which the funds are provided and the responsibilities of the executing parties. Agreements are always between the Administering Institution and the Cancer Institute NSW.</p>
Grant:	<p>A financial assistance mechanism providing money to an eligible entity to carry out an approved project or activity.</p>
Individual Grantee:	<p>An individual designated by the Administering institution to direct the project or activity being supported by the grant eg Fellow, Scholar, Chief Investigator, Applicant. S/he is responsible and accountable to the Administering Institution for the proper conduct of the project/activity. The Administering Institution is in turn legally responsible and accountable to the Cancer Institute NSW for the performance and financial aspects of the grant-supported activity.</p>
Schedule:	<p>An attachment to and forming part of the Agreement that sets out the funding arrangements and any other conditions specific to the particular type of grant.</p>

## 1. INTRODUCTION

### 1.1. Background to Cancer Institute NSW

The Cancer Institute NSW is Australia's first state-wide, government supported cancer control agency. We are reducing the impact of cancer across the community by promoting the best cancer research, prevention, early-detection, and treatment and education initiatives. We are driving innovation by working in partnership with other leaders in our field to deliver the best cancer results for the people of New South Wales.

The Cancer Institute NSW has the statutory responsibility to substantially improve cancer control in NSW under its Act. The specific objectives of the Cancer Institute NSW are to:

1. Increase cancer survival.
2. Reduce cancer incidence.
3. Improve the quality of life of cancer patients and their carers.
4. Provide expert advice to patients, the public, health care professionals and the Government.

### 1.2 Purpose of this Document

The purpose of this document is to provide a general description of how a grant is awarded and administered. The grants processes and policies described are based on current national and international best practice<sup>1</sup>.

This document is intended to assist those who are considering applying for, and those who are holding, Cancer Institute NSW competitive grant support. It provides advice on eligibility and selection criteria, the application process, agreements, funding, monitoring and reporting and other specific policy issues including conflict of interest provisions.

This document should be read in conjunction with the document *Cancer Institute NSW Peer Review Policy* ([www.cancerinstitute.org.au](http://www.cancerinstitute.org.au)).

Together these documents describe the Cancer Institute NSW procedures that will:

- ensure a fair and robust system of review, and
- ensure the funds of the Cancer Institute NSW are directed towards achieving its goals.

Ongoing efforts to streamline the grants administration process at the Cancer Institute NSW such as future electronic submission and review, will continue to impact the manner in which grants awards are processed. However, the core principles described in this document are expected to remain unchanged.

### 1.3 Competitive Grant Program

The Cancer Institute NSW has implemented a range of competitive grants to promote and support research, clinical professional development and clinical service improvement. Each Division of the Cancer Institute NSW is responsible for developing the objectives of its competitive grants program. The Grants Secretariat then works with each Division to develop the detailed documentation and administration of those grants.

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<sup>1</sup> NSW Premier's Department Grants Management Guide  
[http://www.dpc.nsw.gov.au/publications/grants\\_administration/plan\\_and\\_design](http://www.dpc.nsw.gov.au/publications/grants_administration/plan_and_design)  
[http://www.dpc.nsw.gov.au/publications/grants\\_administration/monitor\\_and\\_acquit\\_grants](http://www.dpc.nsw.gov.au/publications/grants_administration/monitor_and_acquit_grants)

**Research Division:** The competitive grants planned by the Research Division are strategically designed to accelerate the translation of research discoveries directly into clinical practice and policy. They are intended to increase the capacity of NSW to be competitive and to bring increased international, federal and industry research funds devoted to such cancer research into the state. Applicants should refer to the document entitled *Overview of Cancer Institute NSW research programs guiding principles, priorities and criteria* prior to completing their application.

**Cancer Services and Education Division:** The competitive grants planned by the Cancer Services and Education Division are strategically designed to support the professional development of cancer health professionals, to strengthen the depth of their clinical knowledge and skills and to promote evidence based clinical practice.

Details about specific grant rounds (application guidelines and forms, closing dates etc) are available at [www.cancerinstitute.org.au](http://www.cancerinstitute.org.au). This site provides an overview of the aims of each grant type and the professional group(s) they support. Potential applicants should ensure they apply for the most appropriate competitive grant type and should contact the Grants Secretariat about any queries.

#### **1.4 Competitive Grant Development**

The role of the Cancer Institute NSW is to save lives through promoting the best cancer research, prevention, early detection, and treatment and education initiatives. To deliver this, the Cancer Institute NSW works in partnership with the leaders in the field to build and support a high quality cancer research and clinical workforce and provide enabling infrastructure.

The competitive grant program of the Cancer Institute NSW is one of the prime means established to achieve these priorities.

Competitive grants link closely with the strategic directions of the Cancer Institute NSW and have been developed following consultation and input from various stakeholders including researchers, clinicians and the public. Robust evaluation methodologies have been developed to ensure individual grant holders meet the aims of their projects as well as higher level evaluation to ensure competitive grants as a whole meet their overall goals (refer to section 9).

The Cancer Institute NSW announces its competitive grants schedule in January each year, with a detailed Grants Calendar outlining available grants, applications and guidelines soon after. This calendar of competitive grants is subject to modification.

#### **1.5 Grants Secretariat**

The Grants Secretariat is the focal point for all business related activities associated with the administration of grants, agreements and financial management within the Cancer Institute NSW.

The Grants Secretariat works with program staff of the various Divisions of the Cancer Institute NSW and with the Grant Review Committees to ensure the effective stewardship of state government funds and uniform administration of the various grant programs.

The Grants Secretariat is the first point of contact for any queries about the objectives, eligibility, administration and any other aspects of grants management. The contact details are:

Email: [grants.secretariat@cancerinstitute.org.au](mailto:grants.secretariat@cancerinstitute.org.au)

The Grants Secretariat works with a set of well defined Standard Operating Procedures that support the principles of this policy document.

## **2. ELIGIBILITY AND SELECTION CRITERIA FOR COMPETITIVE GRANTS**

### **2.1 Eligibility Criteria**

Cancer Institute NSW competitive grants are available only to eligible applicants. Continued funding is dependent on the grantee's maintaining eligibility (and sustaining a satisfactory level of progress as judged by the relevant Grant Review Committee).

Specific eligibility criteria requirements are detailed in the guidelines for each grant type. However the following criteria are generally applicable across all grant types:

#### ***Administering Institutions:***

- 2.1.1 Must be located within NSW.
- 2.1.2 Must have in place policies and procedures for the management of public funds and the management of Intellectual Property.
- 2.1.3 Must administer the grant and ensure all responsibilities outlined in the Agreement are met, from the perspective of all those named in the grant application.
- 2.1.4 Must ensure appropriate infrastructure is in place to support the grant.

#### ***Individuals (chief investigators/named applicants):***

- 2.1.5 Must meet applicable educational standards and professional qualifications and experience as outlined in the specific grant guidelines.
- 2.1.6 Must be domiciled and/or work in NSW for the duration of the grant (except for travel related grants).
- 2.1.7 Non Australian Citizens/Non Permanent Residents are eligible to apply. However, you will need to provide certified evidence of residency status and the right to remain in Australia for the duration of the funding period to the Cancer Institute NSW if the application is successful before the grant can commence.
- 2.1.8 All obligations regarding previously funded projects involving the applicants must have been fulfilled to the satisfaction of the Cancer Institute NSW. Such obligations include the provision of satisfactory progress, final and financial reports.
- 2.1.9 The Individual Grantee must be an employee/student of either the Administering Institution or the Clinical Training/Research Institution both at the time of commencement and for the duration of the grant.
- 2.1.10 Employees of the Cancer Institute NSW are ineligible to apply for CINSW competitive grants.
- 2.1.11 Board members, conjoint appointees and contractors of the Cancer Institute NSW are eligible to apply for competitive grants subject to full compliance with the Cancer Institute's Conflict of Interest (Col) policy. Potential Col's and/or competing interests must be declared and strict adherence to the policy must be maintained and documented. Once a Col has been identified by a board member, conjoint appointee or contractor they will be precluded from taking part in any CINSW

internal discussions about, and having access to, grants related documentation and guidelines prior to their formal general release to the research community. In the absence of a CoI or competing interests, board members, conjoint appointees and contractors may contribute to such discussions, however, in doing so they forego their eligibility to apply under the respective funding opportunity they have contributed to.

Once a person indicates that they have a CoI, and indicate that they will not be applying for the grant, this is binding and cannot be reversed under any circumstances.

***Supervisors:***

2.1.12 Must hold a relevant senior position in the Administering Institution or placement institution.

2.1.13 Must have experience in mentoring/supervision of the relevant grantee profession or be eligible within the institution to undertake such supervision.

If unsure about eligibility, applicants are encouraged to discuss this matter with the Grants Secretariat prior to submission to ensure compliance.

## **2.2 Exemption Requests**

In cases where an applicant believes they should/could be exempt from any of the criteria they must submit an Eligibility Exemption Ruling Request (max 1 x A4 page) to the Grants secretariat as part of the funding application process. An Eligibility Exemption Ruling Request must be submitted through the Administering Institution 4 weeks prior to the due date specified in the relevant funding rules.

## **2.3 Selection Criteria**

Selection criteria are the criteria against which the relevant Grants Review Committees score each application. The selection criteria reflect the attributes required by the applicants and associated institutions to attain the goals and objectives of the particular grant type. Application forms are developed to ensure the appropriate information is documented by applicants therefore enabling robust review against the selection criteria.

## **2.4 Ineligible Applications**

The Grants Secretariat may also withdraw applications from further review. The Grants secretariat will vet applications for adherence to eligibility criteria. Ineligible applications will be withdrawn from the review process and Administering Institutions will be notified at the end of the grant review process.

Ineligible applications, and the reasons for their ineligibility, will be tabled at the next meeting of the Grant Review Committee.

## **3. RESPONSIBILITIES AND STANDARDS OF CONDUCT**

### **3.1 Administering Institution**

The Administering Institution is responsible for administering the grant in accordance with the Agreement /Schedules established with the Cancer Institute NSW. Acceptance of an award and its special associated terms and conditions imposes upon the Administering Institution and the individual grantee the responsibility for conducting the grant while using grant funds prudently and in accordance with cost principles for the purposes set

forth in the approved application. The Administering Institution is legally responsible and accountable to the Cancer Institute NSW for the performance and financial aspects of the grant-supported activity.

All applications for competitive grant funding must be submitted to the Cancer Institute NSW via the designated Administering Institution Contact within the Administering Institution.

### **3.2 Administering Institution Contact (AIC)**

To ensure the timely and efficient receipt, assessment, awarding and management of grants Cancer Institute NSW has established a register of Administering Institution Contacts (AIC). It is intended that all communications regarding grants will be directed through the AIC's.

All applications submitted to the Cancer Institute NSW will require the AIC Identification Numbers entered and all correspondence regarding the application will be directed to the AIC.

It is intended that each administering institution will have only one AIC but we do realise that due to size and organisational structure some Institutions may require two.

The name and contact details of the AIC for each institution as well as the application form for AIC registration can be found on the [Cancer Institute NSW website](#).

### **3.3 Individual Grantee**

Competitive grants name an individual as the person responsible for the execution of the project described in the application eg Chief Investigator/Applicant, Fellow, Scholar, Health Care Professional etc. This is the person designated by and accountable to the Administering Institution for the proper conduct of the project. This person will also normally lead the development of the grant application. However, submission of the application must be through the Research Office, or equivalent, of the Administering Institution. It is the responsibility of the individual to ensure he/she meets any earlier application deadlines as imposed by the Administering Institution.

In terms of good research practice and ethical codes, the individual grantee is responsible for ensuring all applicable research/clinical guidelines/codes and legislation are complied with for the duration of the grant. In terms of contractual arrangements with the Cancer Institute NSW, the Administering Institution has the ultimate responsibility for this.

### **3.4 Clinical Training and/or Research Institution**

The Institution in which the individual grantee undertakes the clinical training and/or research may be different to the Administering Institution. Irrespective of whether it the same institution, this Institution is responsible for ensuring that appropriate infrastructure is in place to enable the training/research to be undertaken.

This institution must have procedures and policies in place to ensure all appropriate research and/or training guidelines/codes/legislation are adhered to by the grantee.

### **3.5 Supervisor**

Particular grant types require application to be made in conjunction with a supervisor. The role of the supervisor is usually supervisory and/or mentoring. The supervisor is responsible for the general oversight of the project (research/training as applicable) and guiding the applicant in preparation and execution of the application.

As applicable, successful individual grantees should liaise with their supervisor on a regular basis to advise him or her on the project status and receive any guidance.

## **4. APPLICATION PROCESSES**

### **4.1 Forms**

Specific guidelines and application forms are available for each grant type. These are available at [Cancer Institute NSW Grants webpage](#) from the date of the grant round opening. Applications must be submitted on the relevant application form, failure to do so will result in the application being withdrawn from the review process. Applicants should contact the Grants Secretariat if unsure about the applicable grant type.

### **4.2 Excess Information**

Applications forms clearly indicate the space limit for responding to each question. Any information in excess of the amount requested in the application form shall be removed before being seen by the Grants Review Committee (eg letters of support that have not been sought or if the proposal allows for 8 pages, all subsequent pages shall be removed).

### **4.3 Budgets**

The guidelines for each grant type clearly state the permitted purpose/use of the funds being awarded.

#### ***Grant funds may be used for:***

- Allowable direct costs specifically incurred in the conduct of the project and as stated in the relevant grant guidelines.
- On-costs (Covering payroll tax, workers' compensation insurance, employers' superannuation, and long service leave) associated with salaries must be detailed/justified up to a maximum of 21% for Area Health Services and 29% for all other administering institutions.

#### ***Grant funds may not be used for:***

- Facilities and administrative costs (overheads), including University levies and indirect costs associated with administrative and facilities support, resulting from an institution providing support services.

Funds are not intended to replace support already being furnished by the institution or for expenses previously incurred.

Cancer Institute NSW may at its absolute discretion determine whether any proposed cost meets this criteria.

Cancer Institute NSW reserves the right to award funds at a different level and for varying periods to that requested in the application.

### **4.4 Referee, Supervisor and/or Institutional Reports**

Different grant types may require the submission of reports under separate cover. These reports usually make comment ranging from the suitability of the individual grantee, his/her future prospects, the research and/or training plan etc.

To ensure the referee/supervisor/training or research institution is free to express considered and impersonal opinions, such reports are usually sent direct to the Grants

Secretariat by the referee/supervisor/institution, not via the individual grantee or Administering Institution. However, it is the responsibility of the applicant to ensure that such reports are received by the Grants Secretariat on or before the due date. Hardcopies and/or electronic copies of Referee, Supervisor and/or Institutional Reports with electronic signatures are acceptable.

An application will only be considered to be complete if the applicable application form and stated attachments and reports are all received by the stated deadline dates.

#### **4.5 CVs**

Separate applicant CVs will not be accepted. The application form captures the necessary data about the applicant's qualifications, work history, research and/or training experience.

#### **4.6 Submission**

Specific detail about the submission of applications is provided in the relevant guidelines. Generally speaking one electronic copy and a number of hard copies are required to be submitted by the closing date.

Over the next 12 months the Grants Secretariat will be working towards a fully electronic submission process. This policy document will be updated accordingly.

#### **4.7 Opening/Closing Dates**

Opening/Closing dates are provided in the guidelines for each grant type and are advertised on the Cancer Institute NSW's website [www.cancerinstitute.org.au](http://www.cancerinstitute.org.au).

Complete applications, addressing all the published requirements, must be **received by the Grants Secretariat before 5pm (both electronic and hard copies)** on the published closing date for the receipt of applications. No further application information will be accepted after that time. Incomplete applications will be removed from the selection process.

Complete information must be provided in both electronic and hard copy formats as prescribed in the guidelines and application form for the specific grant type. The Grants Secretariat will not accept links to websites or other data sources as an acceptable method of providing application information.

#### **4.8 Withdrawal of Applications**

Applicants may withdraw an application at any stage. An email request from the Administering Institution will be required, indicating the reason(s) for withdrawal with evidence of first named chief investigator/applicant's knowledge of the withdrawal.

#### **4.9 Certifications**

Signatures on applications certify that the parties who sign will comply with all the assurances contained in the application. The signatories are also responsible for verifying the accuracy and validity of all information submitted.

The Administering Institution signatory is certifying that it will be responsible for the appropriate use of the funds awarded, for the performance of the grant supported project or activities resulting from the application, and all other items as dictated by the Agreement.

The Administering Institution signatory must have the appropriate authority to sign on behalf of that institution.

Electronic signatures on grant applications are acceptable. Agreements must have original signatures.

#### **4.10 Incomplete, False or Misleading Information**

Once submitted to the Cancer Institute NSW, an application will be considered final and no changes will be permitted. The application is the only source of information available for assessment. As such it must contain all the information necessary for assessment of the project without need for further written or oral explanation or reference to additional information. All details provided in the application must be current, particularly concerning any other successful grants, at the time of application.

It is an offence to provide false or misleading information to a public authority, such as the Cancer Institute NSW, in an application for a benefit. Furthermore, if an application is found to contain false or misleading information it may be excluded from any further consideration for funding.

#### **4.11 Applicant Non-Contact with Grants Review Committee**

Applicants, or persons acting on their behalf, must not contact Grants Review Committee members in relation to their application or the review process. If they do so, their application may be ruled ineligible and excluded from further assessment.

All queries about the grants management and peer review process should be directed to the Grants Secretariat at [grants.secretariat@cancerinstitute.org.au](mailto:grants.secretariat@cancerinstitute.org.au). Any queries that require further discussion should be directed to: Debbie Docherty - Manager, Grants and Research Development [debbie.docherty@cancerinstitute.org.au](mailto:debbie.docherty@cancerinstitute.org.au) Tel: 612 8374 3561

### **5. PEER REVIEW POLICY & GOVERNANCE**

Refer to the separate policy relating to [Grants Peer Review and Governance Policy](#).

### **6. OUTCOME OF APPLICATIONS**

#### **6.1 Advice Regarding Outcome of Applications/Letters of Notification**

The Cancer Institute NSW Grants Secretariat is responsible for advising Administering Institutions of the outcome of the application assessment process as early as possible following final approval by the CEO of the Cancer Institute NSW.

Administering Institutions will be sent notification of successful and unsuccessful applications with Letters of Notification for all first named Investigators/Applicants on the grant application. It is the responsibility of the Administering Institution to forward these letters appropriately. The Administering Institutions must notify the Cancer Institute NSW via an email to Grants Secretariat or letter of their intention not to accept the grants offered by the date stated in the notification.

The Grants Secretariat will prepare the standard CINSW Competitive Grant Agreement including an appropriate Schedule outlining the terms and conditions of the funding and send two copies to the Administering Institution for signing and return to CINSW for execution. The Agreement also outlines the level of funding awarded to the Administering Institution and the payment arrangements including relevant GST issues.

It is necessary to note that only the CE/VC or equivalent of the Administering Institution or his/her delegate with legal rights can sign the Agreement on behalf of the Administering Institution.

The Cancer Institute will only execute Agreements that have been signed by the appropriate authority at the Administering Institution.

Both signed copies must be returned to the Grants Secretariat for execution by the Cancer Institute NSW. A fully executed copy will then be returned to the Administering Institution for their records.

All unsuccessful Letters of Notification will contain information about the review of grants. This advice will be presented via a number of graphs, due to the very large number of applications that are submitted for peer review. This feedback is aimed at assisting applicants to develop subsequent applications. The Grants Secretariat is unable to provide any additional information about the reasons for being successful/unsuccessful beyond what is stated in the letter of notification.

Under normal circumstances, both successful and unsuccessful Letters of Notification will be simultaneously sent to Administering Institutions.

## **6.2 Public Advice**

The Cancer Institute NSW will publish information about the outcome of each grant type.

This information may include:

- Grantee names and project location.
- Administering Institution.
- Grant type.
- Project title.
- Total funding awards and duration.
- Project summary/lay description as provided in the grant application.

## **6.3 Appeals**

The Cancer Institute NSW is responsible for allocating funds for competitive research grants. The Cancer Institute NSW therefore has in place a process whereby persons or organisations can appeal against a decision.

Appeals will be heard only against the procedural elements of the administration and review process. Appeals that challenge the professional judgments made by the Grants Review Committees will not be entertained.

Appeals must be lodged in writing through the Administering Institution's Research office or equivalent and be received within 28 days of the date noted on the letter notifying the outcome of the application. Appeals must be forwarded to the Grants Secretariat.

## **6.4 Complaints**

Complaints (expression of dissatisfaction with the review or grant policy, the procedure that is followed or the conduct of an individual involved in the review process) will be handled in accordance with the Cancer Institute NSW Complaints Management Policy and information can be found at [Cancer Institute NSW Guarantee of Service Feedback](#).

## 6.5 Government Information (Public Access) Act

The new *Government Information (Public Access) Act 2009 (GIPA Act)* will replace the *Freedom of Information Act 1989 (NSW)* from 1 July 2010

Information about your rights and the process involved can be found at <http://www.oic.nsw.gov.au/>

## 7. POST AWARD ADMINISTRATION

### 7.1 Agreements

Agreements detail the specific conditions for each grant type and each individual grantee. By signing the Agreement, the Administering Institution is agreeing to the conditions contained in that Agreement.

A grant may not commence, nor grant funds be expended, prior to:

- The Agreement between the Cancer Institute NSW and the Administering Institution has been signed by both parties.
- Appropriate clearances have been obtained relevant to the project e.g. ethics approval.

All parties involved in a grant should familiarise themselves with the [Standard Agreement](#) conditions, but only the Administering Institution and the Cancer Institute NSW will be parties to the document.

All parties involved in a funded project must abide by the terms of the Agreement.

Projects must commence as required by the Agreement. Failure to do so may result in termination of the grant.

Administering Institutions should note that the Agreement covers post-award management, including reporting requirements and financial management.

Requests to vary an Agreement must be forwarded in writing prior to the event by the Administering Institution to the Cancer Institute NSW. [Forms are available for most variation requests](#). Amendment of any clauses of the Agreement will be at the Cancer Institute NSW's absolute discretion.

### 7.2 Payments

Payment of funds will be made to the Administering Institution in regular installments, usually quarterly in advance. Specific payment details are included in Agreements. Funds must be used only for the purposes approved and detailed in the Agreements and associated Schedules.

### 7.3 Enforcement

If an Administering Institution fails to comply with the Terms and Conditions of an Award, the Cancer Institute NSW may undertake action, depending on the severity and duration of the non-compliance, to correct the non-compliance.

Generally grantees will be afforded an opportunity to correct any non-compliance issues, except in circumstances where deliberate unlawful actions are reasonably suspected.

Such action may involve:

- Modification of Agreement
- Suspension, withholding, termination of grant
- Recovery of funds

#### **7.4 Confidentiality and Privacy**

Information contained in applications is regarded as in-confidence unless otherwise stated and will be received and treated in confidence by the Cancer Institute NSW. It is the responsibility of the Grants Review Committee members and Cancer Institute NSW staff not to disclose to any person confidential information to which they become privy as a result of the exercise of their responsibilities.

Documents containing personal information are handled and protected in accordance with the provisions of the NSW Privacy and Personal Information Act 1998. Personal information is disclosed only with the permission of the individual to whom it relates or where the Act otherwise allows.

#### **7.5 Intellectual Property**

In most cases the Cancer Institute NSW makes no claim over the Intellectual Property generated as a result of the grant. However, the Administering Institution must comply with any Intellectual Property policy approved by its governing body that is congruent with the national Principles of Intellectual Property Management of Publicly Funded Research.

#### **7.6 Record Retention**

Records are managed in accordance with the Cancer Institute NSW Retention and Disposal Authority (DA204 – 2005), developed under the State Records Act 1998

Under the document lifecycle process, inactive records can live out their retention schedule as digital records or in offsite storage.

### **8 MONITORING AND REPORTING**

#### **8.1 Purpose**

Grantees are responsible for managing the day-to-day operations of grant supported activities using the established procedures and controls at their Administering Institution and the institution in which they are undertaking the grant (may be the same institution), provided they are consistent with the Cancer Institute NSW requirements. However, to fulfil its stewardship of the allocation of NSW Government funds, the Cancer Institute NSW monitors its grants with respect to progress and compliance with the Agreement and the objectives of the project, including appropriate disbursement of funds.

The information provided in reports is also essential in assisting the Cancer Institute NSW in evaluating its competitive funding programs to ensure funds are directed to those areas of greatest need and impact.

All such reports must be submitted to the Cancer Institute NSW Grants Secretariat through the Administering Institution. Specific report formats and due dates are available on the Cancer Institute NSW website. Due dates are set out in the relevant Agreement.

## 8.2 Performance Progress Reports

Performance Progress reports are usually completed by the individual grantee and submitted by the Administering Institution. These reports provide an assessment of progress in relation to the project objectives and milestones as presented in the grant application. Some grant types also require a performance progress report from the supervisor where applicable.

Progress reports are generally reviewed by the relevant Grants Review Committee (or sub committee). Administering Institutions will be notified of any unsatisfactory outcome of the review within 3 months of the due date.

Particular grant types, usually depending on the size (time, funding, number of grantees eg Translational Program Grants) of the grant, may involve site visits by members of the relevant Grants Review Committee.

Progress reports are generally required to be submitted by the 31<sup>st</sup> January each year for the term of the grant; however Administering Institutions should check the guidelines for the individual grant concerned. The report proforma is available from the [Cancer Institute NSW Grants webpage](#).

The Cancer Institute NSW reserves the right to suspend/terminate a grant if progress reports are not supplied by the due date or if progress is considered unsatisfactory by the relevant Grants Review Committee. Administering Institutions will be provided notice in writing of any Grant Review Committee concern(s) and given 28 days from receipt of notice by the Cancer Institute NSW to address the concern(s).

## 8.3 Financial Reports and Funds Carry Forward

Financial reports account for the expenditure of grant funds.

An annual Financial Statement must be submitted to the Grants secretariat by 15<sup>th</sup> August following each financial year or part thereof for each year of funding. Report proforma's are available from the [Cancer Institute NSW Grants webpage](#). All income and expenditure must be accounted for on this form for the stated period.

Where financial reports are not submitted by the due date, or if the Cancer Institute NSW determines expenditure of funds is not consistent with the Agreement, all or part of the grant must be repaid. In this case the Cancer Institute NSW may withhold the remainder of the grant payments or initiate recovery of grant money.

All unspent funds to a maximum of 25% of the budget for a given year will be treated as an automatic carry forward of funds into the following year. Where carry forward or unspent funds exceed the allowed 25% then a written justification is required. The Cancer Institute NSW will advise the institution of the outcome of their request to carry forward funds in excess of the 25% or seek further clarification if there is any doubt of the viability of the project.

Any funds not expended at the termination date of the grant must be returned to the Cancer Institute NSW.

Cancer Institute NSW reserves the right to carry out onsite audits of financial records related to the grant.

## 9. EVALUATION OF PROGRAMS

Evaluation of programs is distinct from monitoring the progress and compliance of individual grantees. The purpose of evaluation is to assess the inputs, outputs and outcomes from the grant programs against the intended aims and objectives of each Grant Type and the Research Program as a whole. This process is used to determine the relevance and relative success of grant programs and inform strategic decision making regarding current and future programs.

Evaluation of programs will generally include wider expert input than just the relevant Grants Review Committee and may include formation of a separate committee or working group with expert and stakeholder representation. For particular grant types with large dollar commitments an expert evaluation committee may be formed to undertake mid-term and final progress reviews of individual grants as well as provide an overall evaluation of the program.

An evaluation framework will be developed for all grant areas to guide the key evaluation indicators for each grant type and describe the data collection and evaluation methods.

## 10. RECOGNITION OF CANCER INSTITUTE NSW FUNDING

All publications, media releases or discussion of results emanating from a grant must acknowledge the support of the Cancer Institute NSW with the following wording *"This project was supported by a Cancer Institute NSW competitive grant. The views expressed herein are those of the authors and are not necessarily those of the Cancer Institute NSW"*

Individual grantees must indicate their status as recipients of a grant in their title eg *"Cancer Institute NSW Clinical Training Fellow"* in publications, presentations and any other public connection.

Use of the Cancer Institute NSW logo requires approval on a case by case basis and should be requested via an email to [grants.secretariat@cancerinstitute.org.au](mailto:grants.secretariat@cancerinstitute.org.au)

## 11. VARIATIONS TO THE AGREEMENT

Grant ownership is viewed by CINSW as belonging to the first named grantee. It is the responsibility of the first named grantee to drive the variation to agreement process via the AIC and to ensure that the completed request is submitted to CINSW in a timely manner.

### 11.1 Change of Administering Institution

A request to change the Administering Institution may be requested through a variation of funding – [Change of Administering Institution Form](#). This form must be submitted by the Administering Institution within one month of the necessity for the change becoming known. Approval must be granted in writing by the Cancer Institute NSW prior to changing the Administering Institution.

### 11.2 Change in First Named Individual Grantee

A change in the first named Individual Grantee (eg Chief Investigator) may be requested through a Variation of Funding – [Change of First Named Investigator/Applicant Form](#). This form must be submitted by the Administering Institution at least 1 month prior to wishing to make the change. Approval must be granted in writing by the Cancer Institute NSW

prior to changing the first named Individual Grantee. Such change would not normally happen with Scholarships/ Fellowships and other grants which are specific to a particular person. However, they may occur with other grants such as Innovation, Equipment, Program grants etc., depending on the progress of the grant, the suitability of the proposed new Individual Grantee etc. Such a Variation will be reviewed by the appropriate Grant Review Committee. Approval must be granted in writing by the Cancer Institute NSW prior to changing the first named Individual Grantee.

### **11.3 Relinquishment/Termination of Grant (post agreement execution)**

Termination of a Grant must be notified through a Variation of Funding – [Relinquishment/Termination of Grant Form](#) . This form must be submitted within one month of the intention to terminate/relinquish the Grant.

### **11.4 Deferred Start or Suspension of Fellowship**

Fellows are required to commence within 6 months of the Final date of Commencement as stated in the agreement of the Grant. Deferred start date or suspension of fellowships are only possible in extreme circumstances (excluding maternity leave) and will be determined by the Cancer Institute NSW on a case by case basis. A letter of request must be provided through the Administering Institution to the Cancer Institute NSW. The request will be reviewed by the Manager, Grants and Research Development in collaboration with the appropriate Grant Review Committee and/or Director. Written advice will be provided to the Administering Institution about the outcome of the request.

### **11.5 Fellowship FTE**

Fellowships are awarded on a fulltime basis and variations are not permitted. However, within a Fellowship, an allocation of up to 0.05 is permitted to be allocated to relevant supervision or teaching activities.

### **11.6 Maternity Leave**

**Fellow** - Up to 12 months maternity leave in total is allowed within the tenure of a fellowship, this includes up to 3 months paid maternity leave (paid leave to a maximum of three months in accordance with the administering institutions policies) . No additional funding will be provided to cover the period of maternity leave. Unpaid maternity leave may be accessed through suspension of the Fellowship. A request for paid/unpaid maternity leave may be made through a Variation of Funding – [Fellow Maternity Leave Form](#).

Following the period of maternity leave a Fellow may make a formal request to CINSW to continue their Fellowship at an FTE commitment of over 0.5. Each request will be decided on a case by case basis.

**Scholar** -Unpaid maternity leave may be accessed through suspension of the Grant for up to 12 months. A request for unpaid maternity leave may be access through the Variation of Funding – [Scholar Maternity Leave Form](#).

**Other** – grant funding cannot be used for maternity leave payments for project staff.