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## RESEACH GRANTS AND AWARDS POLICY

**Purpose:** To support implementation of the Lung Foundation Australia Research Grants & Awards Program in alignment with the with the objectives of the Hope Research Strategy and Lung Foundation Australia 2030 Corporate Plan

**Scope:** Applies to all activities of the Lung Foundation Australia Research Grants Program, its partnerships and affiliations.

**Definitions:**

"Annual Calendar" means a listing and schedule of Research Grants open to application in a calendar year.

"Applicant" means the individual applying to receive funding under the terms and conditions of a Research Grant

"Award" means the funds provided by Lung Foundation Australia under the terms and conditions of a Research Grant to support the direct costs of the Recipient's research.

"Award Recipient" and/or "Recipient" means the Researcher recommended by the Award Panel to receive the Award as the highest achieving Applicant as per the eligibility criteria and terms and conditions of the Research Grant.

"Bequest" means funds received from the Estate of deceased supporter of Lung Foundation Australia

"Direct costs" means costs which are integral to achieving the research objectives of a grant. The costs directly address the research objectives of the grant and relate to the research plan.

"Early and Mid-Career Researchers" means emerging researchers within their first eight years of academic or other research-related employment, following completion of postgraduate research training. There is no age limit on who can be an EMCR as the definition is dependent on where the researcher is in their career progression.

"Final Report" means the report submitted by the Award Recipient at the end of the Award period which provides information on the outcomes and publications arising from the research work funded by the Research Grant.

"Grant Application" means the application duly completed and submitted by an Applicant for a Research Grant funded by Lung Foundation Australia

"Indirect costs" are costs that that do not directly address the approved research objectives of a grant/ Indirect cost examples include but are not limited to:

- a) Operations and maintenance of buildings (e.g. libraries, labs, meeting venues, IT such as computer access, specialist software, databases, secure cloud storage)
- b) Insurance, legal and financial services
- c) Hazardous waste disposal, and
- d) Regulatory and research compliance and administration of research services

“Major gift” means any donation that is greater in value than \$10,000.00 AUD.

“Travel Grant” means an award of funds made by Lung Foundation Australia to support the Recipient’s travel, accommodation and registration expenses associated with attending a specific conference.

“Research Agreement” means the agreement between Lung Foundation Australia and the research institution detailing administration of Award funds.

“Research Ethics Committee” means a committee appointed by the Research Institution with authority to provide local site-specific assessment /research governance services.

“Research Grant” means any grant, fellowship, scholarship, or other form of research funding provided by Lung Foundation Australia.

“Research Impact” as defined by the Australian Research Council means the demonstrable contribution that research makes to the economy, society, culture, national security, public policy or services, health, the environment, or quality of life, beyond contributions to academia.

“Research Institution” means the institution that will be administering the research award during the life of the award on behalf of the Award Recipient.

“Research Program” means the Lung Foundation Australia Research Program; its activities, stakeholders and intellectual property.

Other relevant documents: This policy is supported by the Lung Foundation Australia Hope Starts with Research Strategy and 2030 Corporate Plan.

# 1. Research Grants

- 1.1. Lung Foundation Australia Research Grants (and their associated funding or 'Awards') are designed to achieve the strategic objectives of the Foundation's [Hope Research Fund](#) Strategy.
- 1.2. Lung Foundation Australia works in partnership with Thoracic Society of Australia and New Zealand in the promotion and assessment of its Grants and Awards.
- 1.3. Grants are targeted specifically at early and mid-career researchers to support their career development and answer complex research questions with the greatest potential to make substantial impact on the health and wellbeing of patients living with lung disease or lung cancer.
- 1.4. Travel Grants are targeted at clinicians and early and mid-career researchers to support attendance at international lung health education events and conferences. Attendance by Recipients is designed to support advancing their knowledge of the latest advancements in the diagnosis, treatment and care of lung conditions and lung cancer, and translation to the Australian health care context.
- 1.5. Once approved, available research and travel grants will be listed on the Lung Foundation Australia website [here](#).

# 2. Research Funding

- 2.1. The Lung Foundation Australia Grants & Awards Program is funded by the Hope Research Fund which is generously supported by pledges and gifts from our passionate community, as well as investment by Lung Foundation Australia. Read more [here](#).
- 2.2. Donations to the Hope Research Fund arising from community fundraising/events, Major Gifts and Bequests are allocated by the Lung Foundation Australia Board to support research activity aligned with the priorities of the Hope Research Strategy.
- 2.3. Grant sponsorship arising from pharmaceutical companies is allocated and administered by Lung Foundation Australia in alignment with our Working with Industry Policy. Read more [here](#).
- 2.4. The Lung Foundation Australia Board may, at its discretion, allocate donations made to Lung Foundation Australia to approved research projects or partners, such as centres of research excellence.
- 2.5. Major gifts allocated (wholly or in part) to external research partners in the form of a Research Grant are subject to outcome reporting as outlined in clause 11.
- 2.6. Where a Lung Foundation Australia Research Grant is funded by donations promised by a third party, either in part or in full, Lung Foundation Australia is under no obligation to create or open the Award if the donation is not provided as promised.

### 3. Annual Grant Calendar and Advertising

- 3.1. An Annual Calendar of Lung Foundation Australia Research Grants is developed and maintained in partnership with Research Program stakeholders and donors. Grants open to application can be viewed online [here](#).
- 3.2. Lung Foundation will invite Grant applications via targeted email communications (EDMs) and online digital promotion via the website and social media channels. Grants are also promoted via Lung Foundation Australia's partnership with the Thoracic Society of Australia and New Zealand (TSANZ).
- 3.3. To receive email notifications regarding Grants, an individual must be registered to receive digital communications from Lung Foundation Australia. Register [here](#).

### 4. Applications

- 4.1. To be eligible to apply for a Grant, an Applicant must be a health professional member of Lung Foundation Australia. Become a health professional member [here](#). Some Grants additionally require that successful Applicants are prepared to become a professional member of the Thoracic Society of Australia and New Zealand (TSANZ) upon awarding of the Scholarship. Lung Foundation advises all potential Applicants to review the eligibility criteria within the Grant application documents carefully before submitting their application.
- 4.2. Grant Applicants must:
  - a) use the online application process and nominated application forms specific to the Grant being applied for,
  - b) address all relevant eligibility criteria, and;
  - c) be submit application documents by the closing date and time as advised by Lung Foundation Australia. Late submissions **will not** be accepted.
- 4.3. All Grant applications are assessed by an independent Awards Panel convened by Lung Foundation Australia and/or the Research Sub-Committee of TSANZ.
- 4.4. Applicants are asked to refer to the Application Document for information related to Preparation of Applications and Assessment of Applications.
- 4.5. For all Application enquiries, Applicants are directed to contact Lung Foundation Australia (to the Attention of the General Manager Clinical Programs Research & Innovation) [research@lungfoundation.com.au](mailto:research@lungfoundation.com.au).
- 4.6. For all submission / post-submission enquiries (including to confirm receipt of application via the TSANZ research portal), Applicants are directed to contact the TSANZ Awards Coordinator [TSANZawards@thoracic.org.au](mailto:TSANZawards@thoracic.org.au).

### 5. Decisions

- 5.1. All decisions in relation to any aspect of the Grants and Awards Program are made at the sole discretion of Lung Foundation Australia.

- 5.2. The Lung Foundation Australia Board may request at its discretion to review the recommendation provided by the Award Panel and/or the Research Sub-Committee of TSANZ, including application and assessment documents. The final decision rests with the Lung Foundation Australia Board.
- 5.3. Decisions made in relation to any aspect of the Awards or this Policy are not subject to reconsideration, review, or appeal by third parties.
- 5.4. Correspondence will not be entered into by Lung Foundation Australia or its representatives regarding assessment decisions.
- 5.5. Lung Foundation Australia is under no obligation to offer any Grant and may withdraw any at any time for any reason in its sole discretion.

## 6. Dissemination of Outcomes

- 6.1. Applicants will be advised by Lung Foundation Australia of the outcome of their Application as per the timeline specified on the nominated Application Form. Outcomes are advised as available and timelines may fluctuate depending on notice from the Award Panel and/or TSANZ Research Sub-Committee.
- 6.2. Recipients will be publicly granted their Award at the TSANZ-SRS Annual Scientific Meeting the year following notification and/or the Lung Foundation Australia Hope Research Luncheon. All Award outcomes remain under **strict embargo** until the public awards ceremony.
- 6.3. Announcements about successful Grant Recipients will be disseminated broadly through Lung Foundation and TSANZ communications.

## 7. Acceptance

- 7.1. In accepting an offer from Lung Foundation Australia for an Award, the Recipient must:
  - a) accept the Award in writing as requested by Lung Foundation Australia,
  - b) acknowledge acceptance of the Terms and Conditions of the Award as outlined in the Application document,
  - c) agree to comply with this Research Policy, including all aspects of Reporting (*Clause 11*) and the Marketing and Communications Guidelines (*Appendix 1*)
  - d) complete the Researcher Profile form [here](#) immediately following Award acceptance, and;
  - e) via their research institution, return a signed copy of the Research Agreement to Lung Foundation Australia within 14 business days of being offered the Award.

Awards are not deemed *accepted* until all items above have been completed. It is the responsibility of the Recipient to ensure Award acceptance is completed as soon as practicable to ensure other unsuccessful Applicants can be communicated with promptly regarding outcomes.

- 7.2. The Award must:

- a) be commenced within 12 months of being awarded,
  - b) be utilised only for the purpose / project specified in the Research Agreement,
  - c) be administered and reported on as per the Research Agreement
- 7.3. Recipients are not permitted to hold more than one Lung Foundation Australia Research Grant or Award at any one time.
- 7.4. Recipients may apply for additional Grants from Lung Foundation Australia after successfully completing all final reporting requirements for a previous Award in alignment with clause 11.

## 8. Funding and Expenditure

- 8.1. To promote greater investment in lung research and to extend the value of the Hope Research Fund, there is a preference for Lung Foundation Australia Research Grants over \$10,000 AUD in Award value to have matched funding arrangement whereby the Research Institution agrees to match the total value (or greater) of the Award. For 2022 and 2023 when assessing applications matched funding will be looked upon as favourable **but not mandatory** as we recognise that University research funding is currently under pressure, and we do not wish to disadvantage early and mid-career researchers who may be finding it difficult to compete for University funds.
- 8.2. Lung Foundation Australia Research Grants (excluding Travel Grants) are designed to support the Direct Costs of research. Direct cost examples include but are not limited to:
- a) Personnel salary costs,
  - b) Equipment, maintenance and travel associated with professional development, and
  - c) Consumables.
- 8.3. Unless otherwise specified in the Grant Application documents, indirect and fundraising costs of research are not supported by Lung Foundation Australia Research Grants and are expected to be covered by the Research Institution.
- 8.4. Research Institutions must not apply any institution (brokerage | administration) levy greater than 5% of the total grant provided by LFA if providing matched funding and 2.5% if not providing matched funding
- 8.5. Equipment or other materials purchased utilising Award funds remain the property of the Research Institution.
- 8.6. Awards will be paid to the Research Institution as per the funding schedule in the Research Agreement.
- 8.7. Awards for Travel Grants will be paid to the Recipient's nominated bank account following submission of a reimbursement form detailing approved expenses. Proof of expenses (receipts) is required to support payment of the reimbursement.

- 8.8. All Award funds are expected to be spent in accordance with the budget as defined in the submitted Grant Application and Research Agreement.
- 8.9. As part of the Final Report submission process, a member of the research team or an officer of the Research Institution named in the Research Agreement must provide a Budget Acquittal (template to be provided by Lung Foundation Australia) confirming that Award funds have been expended in accordance with the Terms of the Award. Should unspent funds remain, the Recipient may nominate to donate the funds to the Lung Foundation Australia Hope Research Fund or their Research Institution.
- 8.10. Processing of Award payments by Lung Foundation may take up to four weeks from receipt of the Research Institution invoice or reimbursement form.
- 8.11. Lung Foundation Australia will not provide advice on tax to Recipients.

## 9. Variations and Deferral

- 9.1. In alignment with clause 7 Recipients must make every effort to commence and complete their research project within the timeframe specified in the Research Agreement. Should this not be possible, the Recipient must make a request to Lung Foundation Australia for variation.
- 9.2. Any request for variation to the terms of Award as defined in the Research Agreement must be submitted to Lung Foundation Australia:
  - a) via email to [research@lungfoundation.com.au](mailto:research@lungfoundation.com.au) addressed to the General Manager Clinical Programs Research and Innovation,
  - b) using the Request for Variation form, which can be obtained on request,
  - c) specifying the reasons for the request for variation or deferral and proposed timeline for completion, and
  - d) be supported by documentation as requested by Lung Foundation Australia.
- 9.3. All requests for variation will be considered by Lung Foundation Australia on a case-by-case basis at its sole discretion. All decisions are subject to clause 5 (Decisions).
- 9.4. Should the Recipient not comply with the above to the satisfaction of Lung Foundation Australia it may withdraw the Award and request repayment of funds at its discretion.

## 10. Compliance

- 10.1. Once accepted by the Recipient, all Awards will be administered and monitored via the Lung Foundation Australia Compliance Schedule managed internally by the General Manager Clinical Programs, Research & Innovation.

## 11. Reporting of Research Outcomes and Impact

- 11.1. For Grants awarded 2020 onwards, Lung Foundation Australia will capture annual reporting on qualitative and quantitative data on research outputs, outcomes and Research Impact utilising the **Researchfish** platform.
- 11.2. Upon confirming acceptance of an Award, the Recipient will be invited to activate their online Researchfish profile.
- 11.3. After activation Recipients are required to report on the outcomes of their research against common metrics via the Researchfish platform. Training will be provided to ensure ease and accuracy of reporting. While this training is not mandated, it is strongly encouraged.
- 11.4. Reporting via Researchfish will occur annually for the life of the Award and for up to 5 years after completion.
- 11.5. Recipients will be asked to submit a range of information on their research, including:
  - a) influence on policy, practice, patients and the public,
  - b) engagement activities, collaborations and partnerships,
  - c) intellectual property,
  - d) patient and public involvement,
  - e) publications, and
  - f) further funding received since receiving the Award from LFA
- 11.6. Final report submissions will be evaluated prior to acceptance based on the following criteria:
  - a) Where a peer-reviewed article has resulted from the Research Activity Lung Foundation will accept the report at its discretion and may request additional supporting information as required.
  - b) Where there has been no peer-reviewed publication resulting from the Research Activity, a letter of endorsement & comment from the Project supervisor is required.
  - c) At its discretion, LFA may choose to arrange an assessment by two reviewers with expertise in the research area to inform its decision-making.
  - d) Any final reports submitted for projects with an LFA contribution of \$50,000 inc. GST or greater will be subject to review by independent reviewers before acceptance.
- 11.7. If the Lung Foundation is not satisfied with the progress of any Research Activity, it will undertake the following performance management process:
  - a) A letter will be provided to the Researcher and Supervisor specifying areas of concern and time to remediate.
  - b) Failure to address the letter within the specified time will result in an escalation letter to the Supervisor and Administering Research Institution specifying areas of concern and time to remediate.
  - c) Failure to address a second letter within the specified time will result in termination of this research agreement and withdrawal of funding. Lung Foundation will seek to recover grant funding as appropriate.



- 11.8. Research team members of the Recipient can be added to their Researchfish account to assist in the reporting process, as required.
- 11.9. Lung Foundation will use outcome data submitted via Researchfish for a variety of purposes, including but not limited to:
- a) demonstrating the value and impact of LFA's investment in our Research Program
  - b) enhancing the evidence base for the impact of lung health research to better advocate for funding
  - c) identifying research gaps and shaping future funding opportunities
  - d) connecting the impact and new developments with the original research and Award over time
  - e) informing the development of research impact case studies for LFA Impact Reports
  - f) informing future directions and strategic planning of the LFA Research Program
- 11.10. As per the Marketing and Communications Guidelines (Appendix 1) Lung Foundation may request the participation of Recipients in Lung Foundation's promotional and donor relations activity, including but not limited to:
- g) profiling Recipients and their research in the Annual Impact and Research Impact Reports of Lung Foundation Australia,
  - h) inviting Recipients to share their research outcomes, achievements, and innovations via presentations at events and forums.
  - i) requiring Recipients to share their research with donor families.

## 12. Acknowledgment

- 12.1. All reports, presentations and publications by the Recipient, arising from the Award **must** acknowledge the funding source of the Grant as outlined in the Grant Application document and Marketing and Communications Guidelines (Appendix 1).
- 12.2. Failure to appropriately acknowledge the funding source of the Grant may result in the exclusion of the Research Institution and Recipient / researcher from future Grant rounds.
- 12.3. Lung Foundation may request digital copies of reports, presentations and publications at its discretion.

## 13. Correspondence

- 13.1. All correspondence regarding Awards in progress is to be directed to the attention of the General Manager Clinical Programs, and Innovation. Contact details are provided upon Award acceptance.
- 13.2. All general enquiries regarding the Lung Foundation Australia Grants & Awards Program can be directed to [research@lungfoundation.com.au](mailto:research@lungfoundation.com.au)

## 14. Privacy

- 14.1. The Lung Foundation Australia [Privacy Policy](#) applies to the Grants and Awards Program.
- 14.2. The Recipient agrees to publication of their name and a brief description of the research being undertaken within the Research Projects and Alumni section on the Lung Foundation Australia website [here](#).

## **15. Governing Law**

- 15.1. This Policy is governed by the Laws of Queensland being the location of Lung Foundation Australia.

# Appendix 1: Marketing and Communications Guidelines

## Welcome to the Lung Foundation Australia Research Alumni!

Lung Foundation Australia and your project is generously supported by donations and philanthropic gifts. It is critical to the future of lung disease and lung cancer research that we promote lung focused research at all opportunities thereby increasing the value and sources of investment in lung research.

Profiling the achievements and progress of lung health research and the researchers behind the projects forms a critical part of our work. This gives hope to the millions of families impacted by a lung condition and helps us to harness support from government, philanthropists and the community to invest in further research activity.

Upon accepting an Award from Lung Foundation Australia, you will join a long list of Lung Foundation Australia Research Alumni. We are delighted to share your research project and profile via the Lung Foundation Australia [website](#) and in our marketing and communications activities.

In alignment with the Lung Foundation Australia Research Grants & Awards Policy (clause 12 *Acknowledgement*) we require that you:

1. Complete our Researcher Profile form [here](#) immediately following Award acceptance.
2. Provide 5 x high resolution photos, as per the photo guidelines below, via email [marketing@lungfoundation.com.au](mailto:marketing@lungfoundation.com.au)
3. Agree to be interviewed by a member of our Marketing Team for audio, transcript and/or video footage that can be used in our marketing and media activities.
4. Abide by clause 6.2 of this Policy, nothing that Award outcomes remain under strict embargo until the public awards ceremony or as advised by Lung Foundation Australia. We ask that you / your institution liaise with Lung Foundation Australia regarding the announcement of your Award via your university / institute's communications channels.

### Guidelines for photos:

- Each photo must be over 1MB in file size and supplied in either jpeg. or png. file type
- Please ensure photos are landscape orientation and there is adequate lighting.
- Ensure each photo is taken in a setting that reflects your research i.e. a lab or clinical setting.
- Please wear attire that reflects your research i.e. lab coat, stethoscope etc.
- Include a mix of action orientated photos and some where you are looking to camera.

To assist in obtaining high quality images, please liaise with your university / institution communications team. If you require assistance in supplying the above photography, contact the Lung Foundation Australia marketing team via email [marketing@lungfoundation.com.au](mailto:marketing@lungfoundation.com.au)

You can view examples of photography of our Research Alumni [here](#).

## Lung Foundation Australia Research Marketing and Media Activities

As a member of Lung Foundation Australia's Research Alumni, you give permission for Lung Foundation Australia to profile your research project and its outcomes (reported via Researchfish) and to use your photograph/s and/or quotes supplied during interviews in perpetuity. Examples of uses may include featuring your project, quotes and supplied photos in campaigns and activities that are distributed via the following Lung Foundation Australia communication channels:

- Our main website and any relevant campaign or program websites
- Social media channels including Facebook, Twitter, LinkedIn, Instagram and YouTube
- Email marketing to our database
- Annual Impact and Research Reports
- Newsletters i.e., Inspired Living

You also agree for Lung Foundation Australia to approach you for involvement in media opportunities relating to your research project e.g. radio, television, print and online media.

Lung Foundation Australia may approach you for involvement in our *Meet the Researcher* donor engagement program. This program allows you to showcase your achievements and research outcomes to the families who made your Award possible.

You may be asked to meet with donors (virtually or in-person if practical) once at the awarding/commencement of your Research Activity, and once following the conclusion of your Research Activity. Meetings will be organised and facilitated by Lung Foundation Australia in close consultation with you and your institution. Meetings are generally conducted by videoconference however you may also be invited to present in person at a donor or fundraising event.

## Branding and Acknowledgement of Funding

As the Recipient of a Lung Foundation Australia Research Award, we ask that all Recipients appropriately acknowledge Lung Foundation Australia and/or any named donors as the funding source of your Award in all communications, publications and presentations relating to your project. In accepting the Award, you and your supporting university / institution agree to:

- Always refer to the name of the Award in full as per the Schedule defined in the Research Agreement,
- Feature the [Proudly supported by Lung Foundation Australia logo](#) (in full colour) in the bottom left-hand corner of all research related documents, materials, posters (digital and print) and presentation slides,
- Include written acknowledgement of Lung Foundation Australia on any webpages, communications or publications related to your research using the following statement: *This research has been made possible through a Research Grant from Lung Foundation Australia's Hope Research Fund.*
- Appropriately 'tag' Lung Foundation Australia in any social media posts that mention the research project. Tag = @lungfoundationaustralia, and;
- Invite Lung Foundation Australia to comment in any media releases / activities relating to the project. Please liaise with our marketing team via [marketing@lungfoundation.com.au](mailto:marketing@lungfoundation.com.au).

## **Our Commitments to You:**

- Lung Foundation Australia's marketing and communications team will work with you and your research office to ensure appropriate acknowledgement of your institute where required in our marketing and media activities.
- Lung Foundation Australia will ensure all materials featuring your project and photograph/s are supplied to you with an overview of their intended distribution.
- Lung Foundation Australia will cover all reasonable expenses if you are invited to present your research at a Lung Foundation Australia event.