



Policy Wise
for Children & Families



Secondary Analysis to Generate Evidence (SAGE) Grant Term and Conditions

Update July 2016



Table of Contents

1.0	Background.....	3
2.0	Grant Structure.....	3
3.0	Eligibility	3
4.0	Application Process	4
5.0	Peer Review	4
6.0	Competition Results	6
7.0	Data Access Agreement.....	6
a)	Ownership	6
b)	Repatriation of derived data	6
c)	Communication and Acknowledgements	6
8.0	Release of Funds.....	6
9.0	Funding Schedule	7
10.0	Expenses	7
11.0	Project Reporting.....	8
12.0	Termination of Grant.....	8
13.0	General Conditions	8
14.0	Contact Information	8

This guideline provides detailed information related to the grant offered by the Secondary Analysis to Generate Evidence (SAGE), a data repository developed by PolicyWise. The terms and conditions apply to the SAGE Secondary Use Grant implemented as of November 1, 2016 or later.

1.0 Background

A 2011 report from the Canadian Research Data Summit notes that “Canada invests billions of dollars in research each year, research that produces huge amounts of data... many valuable data are under-utilized and an important publicly funded asset is being wasted. Canada’s lack of a strategy and action plan places us at a disadvantage compared to our international competitors”.

Given this context, it is expected that data sharing and reuse will become an integral part of the research design. With the support of partners and sponsors, the Secondary Analysis to Generate Evidence (SAGE) has been developed by PolicyWise to facilitate the sharing of publicly funded research data and other relevant data on child and youth health and wellness. SAGE hopes to be a leader in evidence informed policy and practice through optimal use of data.

The focus of this grant is to ensure that new ideas can be generated from existing datasets so that data are more fully utilized. Another focus of this grant is to build capacity and increase collaborative opportunities amongst researchers, community organizations, and policymakers to make the best use of this data.

2.0 Grant Structure

2.1 Grant Type

This Grant is intended to provide support for applicants to undertake research utilizing research data stored and managed by SAGE.

The aims of the original projects can be found on the [SAGE’s Dataverse](#) under the “Description” field in the study’s metadata. Duplication of research questions should be avoided. Applicants are encouraged to become familiar with existing publications from these datasets to ensure their research objectives are original and advance the discovery of new knowledge.

2.2 Grant Amount

Five grants of \$5000 each are available. Only one award will be granted to any successful applicant.

2.3 Grant Term

The Grant Term is a maximum of 12 months in length unless otherwise stated. An extension may be available upon request.

3.0 Eligibility

Applicants MUST:

- Demonstrate that they and their research team (if applicable) have the content and analytic skill, knowledge, and resources to carry out the proposed research
- Not be affiliated with original research teams that produced their dataset of interest within the last 5 years
- Be affiliated with an institution eligible to hold funds from PolicyWise (i.e. post-secondary institution or an institution that meets the Accountability Standards of PolicyWise- see Appendix 1)
- Be Alberta-based
- Must be able to obtain ethical approval from a recognized ethical review board. Ethical approval is not required at the time of application submission, but appropriate ethical approvals must be in place to commence this work and be valid for the duration of the grant.
- Must abide by the “Terms of Use” to the dataset(s) of interest as found on [SAGE’s Dataverse](#).

Applicants are ENCOURAGED to:

- Have a collaborative team that may include academics, trainees (i.e. undergraduate students, graduate students and early career researchers, etc.) and non-academics.
- Consider research questions that have the potential to inform programs, service delivery or policy.
- Collaborate or consult with the original researcher (i.e. the data producer), where applicable (Please refer to “Terms of Use” for dataset(s) of interest as found on [SAGE’s Dataverse](#))

4.0 Application Process

- 4.1 Applicants will familiarize themselves with the dataset(s) of interest.
- 4.2 Applicants acknowledge that collaboration with the team that produced the data may be required during proposal development. In these instances, it is the applicant’s responsibility to contact the data producer (Please refer to “Terms of Use” for dataset(s) of interest as found on [SAGE’s Dataverse](#)). Failure to comply may make the application ineligible for funding.
- 4.3 Applicants will submit their applications electronically and at the specified deadline date as per PolicyWise’ website.
- 4.4 PolicyWise reserves the right to reject applications or declare them ineligible for funding.

5.0 Peer Review

- 5.1 All applications will undergo an internal and/or external review by at least two reviewers. Reviewers will be selected by PolicyWise. Reviewers may include members of team that produced the data.
- 5.2 Ratings will be assigned in 5 categories by each reviewer. Each proposal can receive a maximum score of 36 point (as per the table below).
 - Scores from each reviewer will be averaged to obtain the application’s overall score.
 - Criteria denoted with a (*) are encouraged but not required

5.3 Review Criteria

Criteria	Maximum Points
<p><i>Overall Impression</i></p> <ul style="list-style-type: none"> Is the overall quality of the proposed project well-written and easy to follow? Is there solid rationalization and methodological details? 	2
<p><i>Background, objectives, potential contribution to knowledge</i></p> <ul style="list-style-type: none"> Is the literature review complete and relevant to the project? Does the proposal address shortcomings/gaps in current knowledge or understanding? Are the research objectives or hypothesis clear? 	6
<p><i>Approach and Methods</i></p> <ul style="list-style-type: none"> Does the proposal employ novel approaches or methods? Are the methods adequately developed, well-reasoned, and appropriate to the aims of the project? Were there any key pieces of information missing? Is the dataset(s) adequate for testing the stated hypothesis? Did the applicant document the datasets and variables necessary for the proposed analysis? Does the applicant demonstrate an understanding of the extent and limits of the dataset, and how these factors may affect the proposed research? Is the proposed research innovative in its analyses of the existing data? Does the applicant detail the analysis plan, including statistical methods, that will be applied to the data and show how these technique are most suitable for the project? Are the outcomes clearly linked to the research question and rationale? Does the applicant show consideration for ethical issues such as data management, storage, access, participant confidentiality and privacy? 	16
<p><i>Impact and Knowledge Translation</i></p> <ul style="list-style-type: none"> Have stakeholders or end-users of the research output been identified? Are there plans to make findings available to target audiences? 	4
<p><i>Project Management, research team, and partnerships</i></p> <ul style="list-style-type: none"> Does the applicant or research team have the qualifications, content, technical expertise, and experience appropriate to undertake this research? If not, have they addressed this in the methods? Is the project feasible with respect to the applicant or research team and is it likely that the project can be completed within the allocated timeframe (within 1 year of the award date)? Does the project involve trainees and junior investigators? If so, is the mentorship approach described?* Do team members and project partners (if applicable) have meaningful and clearly defined roles and responsibilities outlined in 	8

the research proposal?	
	36

Additional Criteria (does not count towards overall score)
<p>Budget</p> <ul style="list-style-type: none"> Is the budget appropriate and reasonable for the proposed research? Is the budget detailed and included justification how the funds will be spent?

6.0 Competition Results

- 6.1 Official result letters and research proposal feedback will be e-mailed to the applicant. Successful applicants and the title of their proposed research will be posted on PolicyWise' website.

7.0 Data Access Agreement

- 7.1 Successful applicants will enter into a Data Access Agreement with SAGE that outlines the terms and conditions for the provision of services and data.

Some of the terms and conditions outlined in the Data Access Agreement include:

a) Ownership

- The successful applicant grants SAGE unrestricted license to use the results for non-commercial knowledge-translation, dissemination, research and teaching

b) Repatriation of derived data

- Applicants undertake to return to SAGE the results of their analysis (i.e. derived data or new data) for potential future sharing.

c) Communication and Acknowledgements

- PolicyWise reserves the right to publish and/or disseminate information regarding its grants and awards.
- Applicants will acknowledge the original data producer and SAGE.
- Grant Holders will occasionally be asked to participate in interviews, symposiums, research showcase events, or grant reviews.

8.0 Release of Funds

- 8.1. PolicyWise reserves the right to make funding conditional. Conditions for funding are suggested by the reviewers of the application and determined by PolicyWise' leadership. When funds are conditionally awarded, PolicyWise reserves the right to approve or deny funding after teams have addressed any concerns.
- 8.2. Funds will be administered through a Canadian Host Institution. This is either a post-secondary institution or an institution that meets the Accountability Standards of PolicyWise (See Appendix 1).
- 8.3. Grant Funds are to be held in an account separate from other funds. Access to these funds will be secured and monitored to ensure that the use of funds is proper and in accordance with these Terms and Conditions.

- 8.4. The Host Institution shall provide a process to ensure that all research expenditures are aligned with the eligible expenses (see section 6.0). PolicyWise is not accountable for ineligible expenses incurred during the course of the Grant Term.
- 8.5. A financial statement for all incurred expenses is required within 30 days of the end of the Grant Term.
- 8.6. All unused funds will be returned to PolicyWise within 30 days of the end of the Grant Term, unless an extension has been approved.

9.0 Funding Schedule

- 9.1 A first payment of \$3000 will be paid at the commencement of the grant. The final payment (\$2000) will be made only on the acceptance of the Final Report form by PolicyWise' leadership. In the event PolicyWise finds the report unsatisfactory, resubmission will be requested and funds will be withheld until the report form is acceptable.
- 9.2 Funding will not be initiated until the following conditions are met:
 - PolicyWise has received confirmation of Ethical Approval for the project from the Primary Applicant;
 - The Grant Holder has identified a funding start date and has requested that the funding be initiated.
- 9.3 PolicyWise will not be responsible for expenses incurred before the start of the Grant Terms or after the end of the Grant Term, unless an extension has been requested by the Grant Holder and approved by PolicyWise.

10.0 Expenses

- 10.1 The budget summary is a mandatory component of the grant application. All budgeted items must be clearly listed and justified.
- 10.2 The Grant Holder may adjust their original budget within the terms of the grant. It is the responsibility of the successful applicant to notify PolicyWise of any changes to the budget.
- 10.3 The following of lists expenses are not exhaustive. PolicyWise reserves the right to determine eligible and ineligible expenses on a case-by-case basis. If there is a question about the eligibility of an expense, please contact PolicyWise prior to making the expenditure.

10.4 Eligible Expenses

- Computer software programs not provided by SAGE ;
- Statistical support or consultation ;
- Manuscript/publication costs ;
- Reference materials (books, periodicals, or journals) directly related to the funded research project;
- Salaries of trainees, research assistants, or technicians, provided they are not full-time academics

10.5 Ineligible Expenses

- Education-related expenses such as tuition, thesis defense, course fees;

- Indirect costs (i.e. medical insurance);
- Administrative costs such as general office equipment ;
- Organizational overhead costs;
- Stipend or salary support for team members with academic affiliations;
- Any expenses unrelated to the outlined research study or expenses that have no significant research component

11.0 Project Reporting

- 11.1 Grant Holders are required to submit the Final Report form at the end of the Grant Term. Failure to submit reports on time may disqualify the applicant(s) from future funding from PolicyWise.
- 11.2 The Final Report must follow the format provided by PolicyWise (please inquire about report format).
- 11.3 PolicyWise may conduct further follow-up with Grant Holders about their progress, and in particular, the progress in attracting additional funding for the research project.
- 11.4 Reports may be distributed to interested stakeholders and will be posted on PolicyWise' website.

12.0 Termination of Grant

- 12.1 Proof of Ethical Approval must be provided no later than 12 months from the date on which the grant recipient is notified of the successful outcome of their application. If proof of ethical approval is not received within this timeframe, the applicant must make contact with PolicyWise to negotiate an extension, or the offer of award may be cancelled.
- 12.2 PolicyWise reserves the right to terminate any grant if the conditions of that grant are not met or if there is evidence of unsatisfactory progress.
- 12.3 The applicant and institution agree to notify PolicyWise within 30 days of any change in the employment status/scholar status as this may affect the eligibility of the grant. Failure to notify PolicyWise of such changes may result in the early termination of the grant.

13.0 General Conditions

- 13.1 The Grant Holder and any team members do not become employees of PolicyWise upon receipt of an award or grant.
- 13.2 A Host Institution may be ineligible to hold further funds if there is any breach of these Terms and Conditions.
- 13.3 Investigators and their trainees who are, or have within the last 5 years, been affiliated with the original research teams are ineligible to apply with the exception of investigators of APrON who may participate as collaborators on projects. If you are unsure of eligibility, please contact SAGE staff.
- 13.4 These Terms and Conditions are subject to change.

14.0 Contact Information

If you have any questions regarding SAGE Secondary Data Use Grant, please contact SAGE staff at data@policywise.com

APPENDIX I

PolicyWise: Accountability Standards

PolicyWise supports Community Colleges and College-Universities, with degree granting capacity and an established process for ethical review, in holding funding from PolicyWise. Funds may only be administered through institutions that meet the accountability standards of PolicyWise as outlined below.

In order to administer PolicyWise grants, institutions must commit to:

1. Monitor the progress of the research often through a Research Services Committee (equivalent to a Research Services Office) that is independent from the project;
2. Administer the funds in accordance with PolicyWise' policies, including ensuring ethical approval is obtained prior to the release of any funds;
3. Ensure that grant monies are held in an account and that access to these monies are secured and monitored to ensure that the use of funds is proper and in accordance with the terms and conditions of the grant;
4. Provide a process that will ensure that all research expenditures are aligned with PolicyWise' requirements for eligible expenses. PolicyWise is not accountable for ineligible expenses incurred during the course of an grant;
5. Ensure that the institution and research team abides by the 'Terms and Conditions' of the grant;
6. Keep detailed and accurate accounting and financial review of the grant;
7. Provide financial reports when requested and at the completion of the award;
8. Maintain all records (including receipts, financial statements, data, and ethical approval paperwork) for a minimum of 5 years after the end of grant.

Institutions that are interested in holding grants from PolicyWise, must provide a statement of financial accountability and a statement of integrity that details the processes, departments, and structures of the insitution that will ensure the grant is administered in accordance with PolicyWise' accountability standards.

Statements of financial accountability and integrity will be subject to review by PolicyWise. PolicyWise reserves the right to deem that insitutional processes do not meet the necessary accountability standards.