



Government of **Western Australia**
Department of **Health**



Western Australian
Future Health Research
& Innovation Fund

WA Near-miss Awards 2021

Guidelines and Conditions

Closing Date: 1:00pm, Tuesday 2 March 2021

fhrifund.health.wa.gov.au

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1 Introduction

The WA Near-miss Awards (WANMA) funding program has been established to provide support for Western Australian researchers to transform their National Health and Medical Research Council (NHMRC) unsuccessful applications into a future NHMRC grant success.

The WANMA program is managed by the Research and Innovation Office (RIO), Department of Health (DoH), with funding provided by the [Future Health Research and Innovation \(FHRI\) Fund](#). Queries regarding this program may be directed to RIO.DOH@health.wa.gov.au.

The program targets early- and mid-career researchers who have applied to specified NHMRC funding programs and been found to be 'fundable' but were not funded (known as a near-miss). The funding will be used to enhance areas of the project and application that have been identified by the NHMRC Peer Review process as being improvable.

In 2021, the WANMA program is accepting applications for near-miss NHMRC applications from the following funding schemes:

- Ideas Grants 2020 Round
- Investigator Grants 2020 Round– Emerging Leadership streams 1 and 2 (EL1 and EL2 respectively).

There are two funding streams as provided below:

1.1 Near-miss Awards

Funding will be provided as a one-off grant for a 12-month period from May 2021 to May 2022. The funds available for this stream will be shared equally between the successful applicants, up to the value of \$95,000.

1.2 Emerging Leaders Fellowships

The WANMA program application process will also be used to identify the top-ranked near-miss applicants from the Investigator Grant rounds. These high-potential researchers will be offered an Emerging Leaders Fellowship with funding for up to approximately 2.5 years based on the submitted NHMRC budget. Full terms and conditions for this award will be provided upon selection.

NOTE: For the purpose of this document the term 'Researcher' is used to refer to the Chief Investigator A of the NHMRC near-miss application and WANMA applicant.

2 Eligibility

2.1 Researcher criteria

To be eligible to receive WANMA funding the Researcher must meet the following criteria:

- Be an Australian citizen or permanent resident.
- Reside in Western Australia.
- Not hold a full professorial position in any Australian or overseas University.
- Never received funding from the Medical and Health Research Infrastructure Fund managed by RIO (only applies to Ideas Grants near-miss applicants).
- Have no outstanding reports for any DoH grant funding programs from any years (excludes authorised extensions).
- Have not received prior funding from DoH for a similar project. If uncertain, please request a RIO assessment on the application form.
- Agree to re-submit their near-miss application to a NHMRC grant round as described in Section 4.4.
- Not have any funding that would duplicate the work proposed to be undertaken with WANMA funding.

2.2 NHMRC application criteria

The NHMRC application was assessed in either the 2020 NHMRC Ideas Grants round or Investigator Grants round for the EL1 or EL2 streams and was found to be 'fundable but not funded' (known as a near-miss), with a minimum category score of 5.

3 Endorsed activities

- **Pilot studies** to contribute additional data to the resubmission. Excludes indirect research costs associated with pilot studies.
- **Staff employed** to undertake the project activity, which includes personnel assisting on pilot studies, consultations, or development of publications and grant applications directly related to the near-miss application. Staff employment may include the Researcher's own salary, providing:
 - The Researcher's total employment does not exceed one full time equivalent when combined with other fractional employment.
 - The WANMA funding only supports the portion of the Researcher's salary that is directly attributable to conducting the WANMA activity.
- **Travel** to conduct pilot studies, receive training or establish new collaborations (providing the new collaborators will be investigators on the resubmitted application). Travel to a conference is also acceptable provided the Researcher is presenting work that is directly related to the project. Travel expenses must meet the administering institution's (AI) policy on 'best fare' or equivalent. A maximum of \$6,000 of WANMA funds may be used for travel expenses relating to the above-mentioned purposes. This can include airfares, meals, other transport costs (e.g. taxis), accommodation and registration or course fees.

- **Consumer and community consultation**-related costs, including payments to participants, venue hire, printing, catering, advertising and online surveys. Funds can also be used for travel where regional consultation is required, provided the \$6,000 travel cap is not exceeded.
- **Minor equipment** that is specialised and essential to enhancing the near-miss application. Software can be included under this item. While a specific cap is not put on this item, it is expected that sufficient funding will remain to conduct pilot studies using the equipment purchased. General use computers and equipment are excluded from this category.
- **Professional services** that are required for the application resubmission, such as biostatistics, health economics and specialist data analysis.
- **Journal publication fees** for manuscripts that are directly related to the project, provided that the NHMRC Open Access Policy for publications is adhered to.

4 Funding provisions

4.1 General arrangements

Funding will be provided to the AI of the Researcher. The AI will release funding to the Researcher once it has determined it is appropriate to do so.

Full WANMA funding can only be provided for projects that have no current funding or where current funding is due to cease prior to the WANMA funding period. RIO reserves the right to withdraw the WANMA funding offered if the Researcher has other funding to undertake the activities proposed in the near-miss application. Alternatively, consideration will be given to a reduction in funding where the current funding is less than the amount of the WANMA funding offered.

It is intended that funds will be spent in WA only. An exception to this may be considered in the case where specific expertise or equipment is required and is not available in WA. When this situation occurs, adequate justification must be provided by the Researcher.

All expenditure occurring in excess of the WANMA funds awarded is the responsibility of the AI and no claim can be made against DoH.

4.2 Funding provided

Funding will be provided for use over a period of 12 months, between May 2021 and May 2022 (commencing upon execution of the Grant Funding Agreement). An amount up to \$95,000 will be provided to each award recipient depending on the applicable funding pool available and number of recipients.

4.3 Release of funds

The AI is responsible for administering the funds, including the appropriate release of the funds to the Researcher to conduct the activity. The release of funds can only occur once the AI is satisfied that it is feasible for the Researcher to expend the funds on endorsed activities (as listed in section 3 of the WANMA 2021 Guidelines and Conditions) and can complete this activity within the allotted timeframe. All relevant ethics and institutional

governance requirements for the project must also have been granted prior to release of the funds.

This release of funds will be solely at the discretion of the AI. Any funds that the AI does not release to the Researcher due to failure to comply with these conditions or guidelines will be returned to DoH.

4.4 NHMRC re-application process

As the purpose of the WANMA is to provide funding to support enhancement of future NHMRC applications, it is expected that a resubmission for funding will be made to NHMRC in 2022 or 2023, unless NHMRC or other funding is received by the Researcher in the interim.

The re-application should be submitted to the same NHMRC grant program that the WANMA funding was provided for. In some instances, RIO may provide approval for the re-application to be submitted to another NHMRC grant program, round or alternative peer-reviewed health and medical research funding program.

4.5 Request for extension of activity period

A request can be made to extend the activity period, where funds have not been fully expensed, and the Researcher is able to continue activity with these funds. A Request for Extension form can be made available for this purpose. Approval is determined by RIO on a case-by-case basis and all Researchers should endeavour to fully expend the funds within the stated activity period.

4.6 Termination

WANMA funding, in part or full, at RIO's discretion, shall revert to, or be recoverable by, DoH in instances where:

- The application has already been resubmitted to NHMRC and has been found successful within the funding activity period.
- Another source of funding has been awarded for the same project that will be used as an alternative to WANMA funding.
- The WANMA funded activities are terminated by RIO due to insufficient progress being demonstrated.
- Funds are not fully spent by the final date of activity, due date of the Final Report, or a later date that has been agreed to by RIO.
- Funds are used for purposes other than those for which they were awarded.
- RIO has reasonable grounds to believe that the Researcher is unwilling or unable to comply with their obligations under the terms of the WANMA program.
- The Researcher leaves the WA AI and transfer of WANMA funds to a new WA AI has not been agreed with RIO.
- The Researcher does not intend to resubmit the near-miss application to the NHMRC, or another agreed equivalent competitive grant funding program.
- Appropriate ethics and governance approvals (where appropriate) are not obtained, preventing the activity from commencing.
- Incorrect or misleading information was provided in the Application Form.

5 Reporting

5.1 Resubmission reporting

The AI is required to report on whether the Researcher has re-submitted a NHMRC application in the next available round for the applicable NHMRC scheme; and

- (a) the outcome of the re-submission; or
- (b) the reason that a re-submission was not made and the plans for resubmission in a future round.

This report is required within one month of the outcomes for a relevant NHMRC scheme being published.

5.2 Project reporting

An Activity Report and Financial Acquittal must be submitted by 30 June 2022, which is approximately one calendar month after the end of the activity period.

If an extension of the activity period is required to expense funds, submission of a Request for Extension form is required at least one month prior to the Report due date.

5.2.1 Activity report

The Activity report should be submitted through the Researcher's AI. These should be signed by the Researcher and received by RIO on or prior to the due date.

It is expected that the Activity Report will clearly articulate how the activities undertaken have directly contributed to the enhancement of the near-miss application.

5.2.2 Financial acquittal

The Financial Acquittal should be provided and authorised by the AI and received by RIO on or before the stated due date.

If unspent funds remain, an extension can be requested by submitting a Request for Extension form. If all WANMA funds have not been expended by the end of the activity period, and an extension has not been granted, the funds will be returned to DoH. If an extension is approved, the Final Acquittal will be submitted as agreed under the terms of the extension. Any over-expenditure is the responsibility of the AI and no claim may be made against DoH.

Acquittal statements must be certified by an authorised finance officer at the AI.

6 Announcement of recipients

The Minister for Health and/or DoH will publicly announce WANMA recipients including general project details. DoH requests that all other parties withhold announcement and media coverage until after this has occurred. The embargo on publicity will stand until RIO advises it has been lifted.

7 Confidentiality

Lay summaries and researcher statements provided on project applications or reports may be used for publicity purposes as stated on the relevant templates.

All other information provided in project applications and reports will be maintained confidentially by the DoH and the selection panel. If requests are received by the DoH to make public any aspect of funded projects, the authorisation of the Researcher will be sought.

Applicants should be aware that the DoH is subject to the *Western Australian Freedom of Information Act 1992*. This provides a general right of access to records held by State Government agencies. In addition, information pertaining to the receipt of State Government financial assistance is tabled in the Parliament of Western Australia.

8 Evaluation

An evaluation of the WANMA funding program may be conducted. As part of this process the Researcher may be contacted for information. The Researcher by accepting WANMA funding agrees to participate in this process.

9 Media and publications

Full acknowledgment of the FHRI Fund must be made as opportunities arise in any media or publications related to activity supported by WANMA funding.

Researchers are requested to forward copies of publications resulting from the funded project to RIO. In order to maximise knowledge exchange, researchers are asked to comply with the [NHMRC's 'Publication and dissemination of research: a guide supporting the Australian Code for the Responsible Conduct of Research'](#).

Publication information (or copies) related to the WANMA funded activities should be provided by email to RIO at RIO.DOH@health.wa.gov.au.

This document can be made available in alternative formats on request for a person with disability.

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