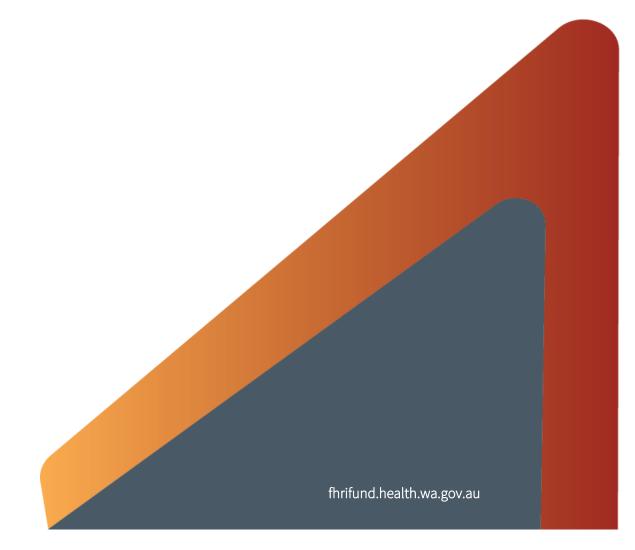


Research and Innovation Capacity and Capability Building Program

Guidelines and Conditions

Applications close:

1:00 pm (AWST) Thursday 19 September 2024



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1. Introduction

The Research and Innovation Capacity and Capability Building Program (the Program) is a funding program of the Western Australian (WA) <u>Future Health Research and Innovation</u> (FHRI) Fund.

The FHRI Fund provides a secure source of funding to drive health and medical research, innovation and commercialisation and through these activities, improve the health and prosperity of all Western Australians. It also provides an opportunity to diversify the economy, create jobs, improve the sustainability of the health system and position WA as a leader in research and innovation.

This Program contributes to the **FHRI Fund Priority Goals**:

- support the development of early- and mid-career researchers, helping them to achieve an independent and self-sustaining career.
- enhance clinical trial capacity and expertise to improve the quality of clinical trials in WA and make the State more attractive to funders of clinical trials (grant funding and commercial sponsors).
- enhance skills in innovation (including commercialisation), which will advance the quality and capacity of innovation in WA and help WA innovators to obtain funding to support their work.

The expected outcomes are in alignment with the following objectives of the <u>Western</u> <u>Australian Future Health Research and Innovation Fund Act 2012</u>:

• advancing Western Australia to being, or maintaining Western Australia's position as, a national or international leader in research and innovation activities.

The Program is administered by the Office of Medical Research and Innovation (OMRI), WA Department of Health (Department of Health). Queries may be directed to DOH.OMRI@health.wa.gov.au.

2. Purpose

The aim of the Program is to enhance Western Australia's health and medical research and innovation capacity and capability through initiatives that develop workforce skills, build knowledge, foster collaboration and increase national and international competitiveness.

The objectives of the Program are to:

- increase WA health and medical researcher and innovator national and international competitiveness
- support career pathways for WA health and medical researchers and innovators
- contribute to building a stronger, collaborative health and medical research and innovation ecosystem in WA.

3. Program description

Initiatives that address WA health and medical research and innovation capacity and capability needs or opportunities will fit under one of the following two streams:

- A. Expert Grant Review Service (EGRS)
- B. Research and/or Innovation Development Programs (Development Programs).

Funding may be used to build on existing EGRS or Development programs, however, cannot be used to replace existing activity or funding sources.

A. Expert Grant Review Service

The purpose of an Expert Grant Review Service (EGRS) is to provide expert reviews of national and international health and medical grant applications from both WA researchers and innovators to strengthen those applications and increase their likelihood of success.

Grant review services should:

- ensure its service is equally available to all researchers and innovators across WA
- provide highly specialised review of individual grant applications
- provide training to support grant development and writing abilities of WA researchers and innovators
- facilitate collaborative grant applications where possible
- bring together experienced reviewers from diverse backgrounds
- establish a Governance Framework which includes a prioritisation matrix for the review of applications, privacy and confidentiality agreements, conflict of interest management plan and a communications plan
- work towards a self-sustaining model of funding (may include obtaining further funding, introducing fee schedules etc)
- consider how they may offer additional grant development services such as grant writing assistance funded through other means or through a fee for service basis, in addition to the grant review service. These applications are encouraged.
- Include provision of advice on crafting compelling narratives and improving the alignment of the application to the intended funding body's selection criteria such as project impact, methodology and partnerships.

B. Research and/or Innovation Development Programs

The purpose of a Research and/or Innovation Development Program (Development Program) is to provide health and medical research and/or innovation training, mentoring, networking or education programs that will address an identified gap. Programs should build the capability of WA researchers, innovators or both of these, in areas that are demonstrated by the applicants to be of significant need in Western Australia. If sufficient applications of an appropriate standard are received, more than 1 program may be supported.

Development Programs:

- should be focussed on providing an expert program to lift the capacity and capability of WA researchers and/or innovators in a specific area of demonstrable need
- must be widely available and equally accessible to all researchers and/or innovators across Western Australian universities, medical research institutes, healthcare providers and industry as practicable within the targeted focus area
- should promote embedding of collaborations where possible
- should go above and beyond standard research and/or innovation training programs already available.

Funding for both streams will be awarded through a competitive and merit-based process. This will be a two-stage process, with the submission of initial Expression of Interest (EOI) applications, followed by a full proposal from invited applicants.

The Activity Lead will be responsible for coordinating the Activity and ensuring its timely execution.

The Responsible Entity* will be accountable for the governance and financial management of any funding awarded.

* It is acknowledged that the term Administering Institution has traditionally been used by universities and research institutes, however for this grant, the term Responsible Entity is inclusive of industry and reflects that grant agreements are the responsibility of the contracted entity.

Definitions

Research and/or Innovation Capacity building

Capacity building refers to increasing the ability of researchers and/or innovators to conduct, manage and translate high-quality research and/or innovation activities. Capacity building initiatives may improve collaboration and the sharing of skills, knowledge and resources, and enhance processes for research and/or innovation management and support.

For the purposes of this program, research and/or innovation capacity building is expected to occur at a Sector or Statewide level.

Funded activities will be aimed at improving the quantity and quality of research and/or innovation delivered at a state, regional or national context.

Research and/or Innovation Capability

Capability refers to developing sustainable abilities and skills enabling individuals to perform high quality research and/or innovation. Improving capability of individuals contributes to improved research and/or innovation capacity.

4. Eligibility

To be eligible for this Program all of the following criteria apply:

- The Responsible Entity must:
 - o have an active Australian Business Number (ABN).
- The Activity Lead must:
 - be an Australian or New Zealand citizen, a permanent resident of Australia, or have an appropriate work visa in place for the duration of the Activity
 - have no overdue reports for any grant funding program administered by OMRI (including FHRI Fund programs) from any year (excludes authorised extensions)
 - ensure that funding has not been awarded for any component of the proposed Activity
 - o have a position or title at the Responsible Entity for the period of the Activity The Activity Lead will be required to declare which of the following applies:
 - (a) employee of the Responsible Entity; or
 - (b) honorary or adjunct title at the Responsible Entity.

In the case of (b), if the Activity Lead is employed by another entity (the Employer), this entity must have an active ABN, a physical and operational presence in WA and evidence must be provided that either:

- i. an affiliation agreement* exists between the Responsible Entity and the relevant Employer; or
- ii. the intention is for this Activity to be subcontracted* to the relevant Employer and there is in-principle agreement between the Responsible Entity and the Employer for this arrangement.
- * the affiliation/subcontract agreement must clearly define each entity's responsibilities in relation to the Activity, and in accordance with the 'Contractual arrangements' section below, include relevant permissions to use third-party

intellectual property (IP) required to deliver the Activity and address ownership of new IP generated by the Activity.

- The Responsible Entity or other entities that fund or are involved in the Activity must not be part of an industry that produces products or services that may contribute to poor physical health or mental wellbeing of the community.
- The grant funding must not constitute the entire financial base of the Responsible Entity i.e. the Responsible Entity must have other external sources of income.
- The Responsible Entity must ensure applications meet all eligibility criteria as set out in these guidelines.
- Applications must be submitted in accordance with the 'Application instructions' section of this document.
- An Activity Lead may submit more than one application to the Program, providing that there is no overlap in the Activity.
- An application may be deemed ineligible and excluded from further consideration if OMRI identifies that:
 - it does not meet all eligibility criteria as set out in these guidelines
 - the proposed Activity duplicates activity previously or currently being undertaken
 - o it includes any incomplete, false or misleading information
 - o it was submitted after the advertised closing date and time.
- Grant offers may be withdrawn if it is determined that eligibility criteria are not met.
- OMRI reserves the right to request further information and make final decisions regarding eligibility.
- Decisions made in relation to previous grant programs will not be regarded as precedents and will not be considered when assessing eligibility for this grant program.

5. Program funding

Funding allocations are available for up to 3 years, including establishment/set-up time and no less than 2 years program delivery. Other source in-kind support is encouraged. Funding amounts are as follows:

Program stream	Funding allocation available for successful initiatives
A. Expert Grant Review Service	Up to \$300,000 per annum for up to 3 years (maximum of \$900,000).
B. Research and/or Innovation Development Programs	Up to \$400,000 per annum for up to 3 years (maximum of \$1,200,000).

Requested FTE, salary level, costs and duration must reasonably reflect the proposed Activity and be directly attributable to the delivery of the proposed Activity.

Funding will be in accordance with the following:

- Salary costs:
 - of up to \$150,000 (including oncosts) per annum for the providers of the capacity and capability program, may be requested for each full-time individual, with this limit adjusted to a pro rata amount for fractional Full Time Equivalent (FTE)
 - may include Award/Agreement increases and salary increments as appropriate

- o may include on-costs up to a maximum of 30%, noting that WA public health system salaries can only include superannuation as a salary on-cost
- o may include leave entitlements that accrue and are taken during the period the salary is being paid by the grant funding (annual leave is accrued at a rate of 7.69% of the base salary paid by grant funding). Leave entitlements accrued outside this period, long service leave, parental leave, sabbatical, severance and termination payments cannot be paid by the grant funding
- If the capacity and capability program includes provision of student stipends this may be considered.

Non-salary costs:

- may include expenses such as essential services, supplies, equipment and consumer involvement
- o may be requested for equipment, however, the total value of all equipment items must not exceed 10% of the budget request or \$15,000, whichever is the lesser amount, and quotes for each item must be attached to the application.

Overhead charges:

 may be requested up to a maximum of 10% of the total budget, noting that WA public health system Responsible Entities cannot claim standard overhead charges in accordance with the Financial Management Manual s522 (grant funding administered by OMRI is exempt).

Funding will only be made available for the scope of work described in the Application Form, or any modifications to the scope of work approved in writing by OMRI. The Department of Health will not underwrite any costs beyond the funding awarded through the Program.

The intention is that funding will be spent within WA unless goods and services expenditure items are not available in WA and/or it is beneficial to WA if goods or services are procured from outside WA.

All budget items should be adequately described and justified as consideration is given to budgets during the assessment process.

Budgets must be calculated accurately, as requests for additional funding will not be considered.

Funding is offered subject to budget availability, which could be varied in the event of unforeseen circumstances.

Relevant 'other source' funding information must be included in the Budget section of the Application Form.

6. Application instructions

Applying to this program will require submission of an EOI. Shortlisted applications will be invited to submit a full application.

The instructions below must be followed when making a submission:

- The EOI application available from the <u>FHRI Fund website</u> must be submitted by **1:00 pm (AWST) Thursday 19 September 2024**.
- The application must be completed in Arial font 11 point or larger.
- Electronic signatures are acceptable if approval to use the electronic signature has been obtained from that person.
- The EOI application is to be emailed to <u>DOH.OMRI@health.wa.gov.au</u> as a single Adobe Acrobat PDF or Microsoft Word file, not exceeding 5 MBs, including CVs and

bibliographic references (if applicable). The application document and email subject line must be titled as follows:

Activity Lead SURNAME, First name – RICCBP EOI e.g. SMITH, Alex – RICCBP EOI.

 EOIs must be complete, include requested certifications and be submitted by the closing date/time. Consideration must be given to the time needed to comply with internal deadlines.

Acknowledgement of receipt of the EOI Form will be provided via email to the Responsible Entity and Activity Lead within 5 working days of the closing date.

EOIs including commercially sensitive information should be marked as commercial-inconfidence, noting that the 'Activity summary' section in the Application Form may be used for publicity purposes.

Queries regarding the application process should be directed by email to DOH.OMRI@health.wa.gov.au.

7. Selection process

Assessment process

Funding will be awarded on merit, based on a competitive process of assessment and selection.

EOIs will be shortlisted to determine those that are most aligned with the aims and objectives of the Program. The potential for similar successful EOIs to be consolidated will be considered and interviews may be conducted as part of the selection process. Successful EOIs will be invited to submit a Full Proposal.

The review process will be conducted by a panel, comprising of health and medical research and innovation experts, professional development experts and a consumer representative.

The assessment will be based on the criteria and % weightings set out in the table below.

Conflicts of interest that may arise will be treated in accordance with the WA health system Managing Conflicts of Interest Policy.

Expression of Interest

Assessment Criteria	Stream A: Expert Grant Review Service (%)	Stream B: Development Programs (%)
 Identified need and impact The identified capacity and capability gap and need for the proposed Activity. Include the target group and evidence to support your position. The potential impact of the proposed Activity in relation to the identified need The differentiation between the proposed Activity and any existing, emerging or competing Activity. 	50	50

Collaboration and partnership	50	50
 Inclusion of collaboration and partnerships with relevant stakeholders and experts to develop and administer the proposed Activity. Evidence of involvement of researchers, innovators and community and consumers, as appropriate, in the planning, design, proposed operation and ongoing evaluation of the Activity. 		

Full Proposal

Assessment Criteria	Stream A: Expert Grant Review Services (%)	Stream B: Development Programs (%)
Track record and capability	30	30
Evidence of proposed team's capability to develop and deliver the activity e.g. relevant leadership and mentoring experience, grant review expertise, publication record, track record delivering similar activities.		
Achievability and sustainability	35	35
 Includes an appropriate governance framework that oversees delivery of the program or service. Achievability of milestones against timeline. 		
 Has a suitable sustainability plan to ensure ongoing operations of the program once the grant has ceased or a suitable decommissioning plan. 		
Accessibility	35	35
 Program is accessible broadly and fairly, beyond the entities directly involved in its development. Program includes a suitable prioritisation framework. 		

Selection of recipients

Based on the review panel assessments, the Department of Health will determine and approve the awarding of grants in accordance with the Department of Health financial and procurement processes and delegation authorities.

The final selection of recipients may take into consideration the distribution of funds to Activities that target under-served groups.

OMRI reserves the right to:

- offer lower funding rates than requested and/or request modification to the Activity on a case-by-case basis
- provide feedback to EOI applicants on opportunities for partnership and improvements

Full applications will be invited by the review panel and may include pre-conditions determined by the review panel.

8. Consumer involvement

In line with the National Health and Medical Research Council (NHMRC) definition, consumers are people who have lived experience of a health issue. They include patients and potential patients, carers, and people who use health care services. Consumers can also be people who represent the views and interests of a consumer organisation, a community or a wider constituency.

There is increasing recognition of the benefits of involving consumers in research and innovation. Effective consumer involvement can ensure research and innovation is relevant to the WA community and improves translation into policy and practice.

Consumer involvement should be embedded in proposed activities. Researcher and Innovator up-skilling programs should ensure consumer involvement is incorporated within their activities.

Guidance on consumer involvement can be found at the <u>Consumer and Community Involvement Program</u> website and the <u>NHMRC Statement on Consumer and Community Involvement in Health and Medical Research 2016.</u>

It is encouraged that all team members complete the free online 30 minute <u>Consumer and Community Involvement in Health Research</u> course (or equivalent) and for the Activity Lead to complete the free online 30 minute <u>Consumer & Community Involvement and Grant Writing course.</u>

9. Contractual arrangements

Grants to entities external to the WA public health system are offered in accordance with the Department of Health Grant Funding Agreement (and its Terms and Conditions) which is a legal agreement between the Department of Health (Us) and the Responsible Entity (You). Within the WA public health system, a Memorandum of Understanding (MOU) will be entered into.

The Responsible Entity must ensure that appropriate agreements are in place with the Activity Lead, team members and participating entities.

The Department of Health reserves the right to withdraw an offer of award to a Responsible Entity if the Grant Funding Agreement and/or Grant Funding Agreement Terms and Conditions, or MOU, cannot be agreed between the parties.

Insurance

A Responsible Entity external to the WA public health system will be required to provide evidence of insurance as a condition of the Grant Funding Agreement, which may include:

- Public Liability (mandatory for all grants)
- Professional Indemnity (mandatory if the Responsible Entity is conducting a clinical trial, provides any form of medical treatment or advice, training, or will provide any tailored design, advice or specification services).
- Property for the Responsible Entity's replacement value of assets (mandatory for building, plant, machinery, equipment).
- Workers Compensation (mandatory if the Responsible Entity has employees or is paying salaries, noting this includes payments to working Directors)
- Product Liability (mandatory if the Responsible Entity manufactures, supplies, sells, services or repairs a product)

- Motor Vehicle if the Responsible Entity owns vehicles
- Clinical Trials if the Responsible Entity undertakes clinical trials (note this insurance may include Professional Indemnity)
- Cyber Liability if the Activity involves confidential data, e.g. identifiable patient information.

OMRI recommend that you seek advice from your insurance advisors to confirm what level and type is required for the Activity.

The Responsible Entity is responsible for ensuring participating entities have appropriate insurance.

Note that any Activity that requires site governance approval will also be required to provide evidence of appropriate insurance during the governance process, which may vary depending on the site.

Intellectual Property

Intellectual Property (IP) that arises out of the Activity will vest with the Responsible Entity (You). However, consideration will be given to the provisions of the <u>Western Australian Government Intellectual Property Policy 2023</u> (or any future iterations of this), and that IP rights should be allocated to optimise the economic, social or environmental benefits for WA from the use, commercialisation and disposal of the IP.

Where relevant, agreements between the Activity Lead, team members and participating entities must include relevant permissions to use third-party IP required to deliver the Activity and have Freedom to Operate for the Activity. When a team includes a member(s) from the WA public health system as a participant in the Activity (i.e. the WA public health entity is not the Responsible Entity), the IP agreement must be authorised at an appropriate level by the relevant WA public health system entity.

Any questions regarding such IP matters should, in the first instance, be directed to OMRI (DOH.OMRI@health.wa.gov.au).

Requests for variation

Requests for variations to the Grant Funding Agreement or MOU, such as Activity description, Activity Lead or Responsible Entity, must be directed to OMRI. Approval of the variation will be at the discretion of the Department of Health. If variations are not approved this could result in termination of the grant with associated funding reverting to, or being recoverable by, the Department of Health, where for example eligibility or viability of the Activity is affected.

10. Funding conditions

Payment instalments

Funding will be provided in instalments to the Responsible Entity as follows:

- The first instalment will be subject to execution of a Grant Funding Agreement or MOU*.
- Subsequent instalments (if applicable) will be subject to satisfactory progress being achieved against the Activity milestones, as demonstrated in Progress Reports.
- * Within the WA public health system, payment will be made to the Responsible Entity via a General Ledger Journal (GLJ) transfer progressively upon receipt of evidence of expenditure.

If ethics and governance approvals are required (refer to 'Approvals' section of this document), then the Responsible Entity may only release the first instalment to the Activity

Lead once all approvals for the Activity have been obtained and lodged with the Responsible Entity.

Additional funding sources

Additional sources of funding are permitted, and encouraged, provided the additional funding supports activities that complement, but do not duplicate, the Activity for which grant funding under this Program is awarded.

Partial payment or suspension of funds

The Department of Health reserves the right to:

- provide funding instalments in parts, based on milestone achievement and risk assessment of future milestones
- suspend payment of funding instalments or part instalments where Activity viability has become uncertain.

Termination of funds

Funds shall revert to, or be recoverable by, the Department of Health in instances where:

- eligibility requirements are no longer met, unless a request for variation to address this is approved by OMRI
- the Activity is terminated by OMRI as a result of insufficient progress being made at the time of Progress Reports or any interim Progress Report, or it has been otherwise determined by either the Responsible Entity or OMRI that the Activity is no longer viable
- full or partial funding for the Activity is obtained from another source, noting the date
 of termination of this grant would be the date you are notified by the funding source
- funds are used for purposes other than those for which they were awarded
- funds were spent on activities that require ethics and/or governance approvals and such approvals were not obtained before undertaking the activities
- funds are not fully expended at the conclusion of the Activity (including any extensions approved by OMRI)
- it is determined that misleading or fraudulent information has been provided
- the Responsible Entity does not enter into formal agreements with respect to this Activity, which includes Intellectual Property ownership, where appropriate
- other entities fund or are involved in the Activity that are part of an industry that
 produces products or services that may contribute to poor physical health or mental
 wellbeing of the community
- the Activity Lead leaves the Responsible Entity or relevant Employer and OMRI
 determines that it is not feasible for the objectives of the grant to be fulfilled, including
 completion of the funded activity, within the remaining term of the grant.

11. Approvals

Research ethics and research governance

The Responsible Entity, and any participating entity, will be responsible for obtaining and lodging all relevant research ethics and governance approvals that are required for undertaking funded activities, and ensuring these are maintained as required for the duration of the Activity.

Research ethics approvals must be obtained from relevant ethics committees (human and/or animal). Research governance authorisation (also known as site specific

assessment or access request review) must be obtained from each relevant institution/site conducting the Activity or providing access to data, participants or tissue samples.

For information on research ethics and governance submission requirements for the WA public health system please refer to the following websites: Research Ethics; Research Governance; Multi-centre Research.

Use of data collections

An Activity that requires access to and use of WA Department of Health data collections requires review and approval for data release in accordance with the <u>Health Services Act</u> <u>2016</u> and the <u>Health Services (Information) Regulations 2017</u>. This is in addition to research ethics and governance approvals and will include a feasibility assessment to determine whether the data requested is appropriate for the purposes of the study and approval for use of the data from the data custodian.

Preliminary cost and time estimates can be obtained by contacting DataServ@health.wa.gov.au. Cost estimates should be included in the proposed budget and an estimate of time for release of the data should be incorporated into the milestones in the Application Form.

For further information please review the Data Linkage Services website.

Should the application for funding be successful, we recommend you immediately begin the data request and approval process.

12. Reporting

The Activity Lead and Responsible Entity are responsible for meeting reporting requirements over the duration of the Activity and at its conclusion.

All reports are to be completed on templates provided by OMRI.

Progress Activity Report

Progress Reports outlining the progress against the milestones listed in the Activity plan may be required as stipulated in the Grant Funding Agreement or MOU.

OMRI reserves the right to request a Progress Report at any point.

OMRI reserves the right to suspend or withdraw funding where insufficient progress has been made.

Final Activity Report

A Final Report detailing the Activity and outcomes must be submitted to OMRI at the conclusion of the Activity. Failure to submit the final report at this time may render the Activity Lead ineligible for further funding from the FHRI Fund and OMRI until the Final Report is received.

Financial Report

A financial acquittal statement outlining the expenditure of funds must be submitted to OMRI at the conclusion of the Activity. Acquittal statements must be certified by an authorised finance officer (or equivalent) of the Responsible Entity.

OMRI reserves the right to request interim Financial Reports at any stage during the Activity.

Any unexpended funds must be returned to the Department of Health. Any overexpenditure is the responsibility of the Responsible Entity, and no claim may be made against the Department of Health.

13. Publicising, acknowledgements and publications

The Minister for Medical Research and/or the Department of Health will publicly announce recipients, including the title of the Activity. All other parties must withhold announcement/media coverage until after OMRI advises this has occurred.

Acknowledgement of FHRI Fund support must be made in publications, conference presentations, public discussion, press statements etc. A copy of any published material or media must be provided to Us.

In order to maximise knowledge exchange, funding recipients must comply with the NHMRC 'Publication and dissemination of research: a guide supporting the Australian Code for the Responsible Conduct of Research', which can be downloaded from the <u>Australian Code for the Responsible Conduct of Research</u> page, and the <u>NHMRC Open Access Policy</u>.

14. Confidentiality

The Activity title, Activity Lead, funding amount, Responsible Entity, plain language summaries and sections indicated on applications or reports may be used for publicity purposes.

All other information provided in applications and reports will be maintained confidentially by OMRI, review panels, evaluation panels and the FHRI Fund Advisory Council. If requests are received by OMRI to make public any aspect of the Activity, other than the aspects listed above, the authorisation of the Responsible Entity will be sought, notwithstanding information requested under the <u>Freedom of Information Act 1992 (WA)</u> or information pertaining to the receipt of State Government financial assistance tabled in the Parliament of Western Australia.

15. Evaluation

OMRI undertakes evaluations of Funding Programs, which will include unsuccessful applications. All parties in the application, including team members and consumer representatives, are required to contribute to the evaluation.

16. Complaints

Responsible Entities or Activity Leads who feel that their interests have been adversely affected by an action taken by OMRI in administering the Program may lodge a complaint. Complaints can only be considered when they refer to the administrative process and not to the funding decision. Complaints must be submitted via email (marked Confidential) to: Deputy Director General (OfficeoftheDDG@health.wa.gov.au).



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

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