



Western Australian
Future Health Research
& Innovation Fund

WA Near-miss Awards: Emerging Leaders 2022

Guidelines and Conditions

**Application due by:
1:00pm (AWST), Thursday 8 December 2022**

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1. Introduction

The Western Australian Near-miss Awards (WANMA) is a Program of the Western Australian (WA) [Future Health Research and Innovation \(FHRI\) 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.

The WANMA Program contributes to the FHRI Fund Priority Goal, 'Support the development of early- and mid-career researchers, helping them to achieve an independent and self-sustaining career'.

The expected outcomes are in alignment with the following objectives of the [Western Australian Future Health Research and Innovation Fund Act 2012](#):

- improving the health and wellbeing of Western Australians
- 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 WANMA Program provides funding to early- and mid-career researchers who have applied to the National Health and Medical Research Council (NHMRC) Investigator Grants program and been found to be 'fundable' but were not funded (known as a near-miss). The funding will be used by recipients to enhance areas of the near-miss application that have been identified by the NHMRC peer review process as being improvable, increasing their chances of success with an application to a future NHMRC funding round.

The WANMA Program is directed towards activities that fall within the [health and medical research stream](#) of the FHRI Fund.

The aims of the Program are to:

- accelerate the careers of emerging WA early- and mid-career researchers
- build the research capacity of WA in a sustainable way.

The objectives of the WANMA program are to:

- increase the success rate of WA early- and mid-career NHMRC Investigator Grants near-miss applications
- increase the number of successful Western Australian applications to the NHMRC Investigators program.
- increase NHMRC grant income for WA.

3. Program description

The WANMA: Emerging Leaders 2022 program will provide Emerging Leaders Fellowships and Emerging Leadership Grants for near-misses in the 2022 NHMRC Investigator Grants program for funding commencing in 2023 at Emerging Leadership level 1 or level 2 (EL1 or EL2). Applications to only the Cancer Council or Cancer Council WA will not be considered and are not eligible for funding under this program.

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

Please note that 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 applicant.

4. Eligibility

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

- Applications must be submitted through an Administering Institution/Responsible Entity which:
 - has an active Australian Business Number (ABN)
 - has a physical and operational presence in WA
 - is a WA university or WA research institution.
- The Applicant must:
 - have a 2022 NHMRC Investigator Grants (EL1 or EL2) application for funding commencing in 2023 that was assessed by the NHMRC and was found to be 'fundable but not funded', with a score above 4.50 (equivalent to a category 5 score)
 - be an Australian or New Zealand citizen, a permanent resident of Australia, or have an appropriate work visa in place
 - be based in WA for a minimum of 80 per cent of the period of the grant/Fellowship
 - As at 1 March 2022, must not have held their PhD, or equivalent, for more than 10 years from the date their PhD thesis was passed (not the submission date or conferral date), notwithstanding any career disruptions
 - have a position or title at the Administering Institution for the period of the grant.
 - The Researcher will be required to specify which of the following applies:*
 - (a) employee of the Administering Institution; or*
 - (b) honorary or adjunct title at the Administering Institution.*
 - In the case of (b), if the Researcher is employed by another entity, the Employer must have a physical and operational presence in WA, and evidence must be provided of either:*
 - i. an affiliation agreement between the Administering Institution and the relevant Employer(s); or*
 - ii. the intention for this Activity to be subcontracted to the Employer.*
 - have no overdue reports for any OMRI or FHRI Fund grant funding programs from any year (excludes authorised extensions)
 - be eligible to, and agree that they will, resubmit their near-miss application to an NHMRC grant round as described in Section 6 - Program Conditions
 - must submit the application form in accordance with Section 7 - Application Instructions
 - must provide an 'Open Researcher and Contributor ID' (ORCID). (An ORCID can be generated for free at orcid.org).

A Researcher can submit more than one application to this program. OMRI reserves the right to make final decisions on the eligibility of applicants.

5. Program Funding

The WANMA program will provide both Emerging Leaders Fellowships and Emerging Leadership Grants.

The intention is that funding will be spent within WA unless certain goods and services are not available in WA. Approval to spend funding outside of WA must be provided prior to payment of these expenses. Funding can only be expended on endorsed activities (as listed in Section 6 - Program Conditions).

OMRI reserves the right to negotiate reductions in the amount of the funding awarded on a case-by-case basis. Funding is offered subject to FHRI Fund budget availability, which could be varied in the event of unforeseen circumstances.

Emerging Leaders Fellowships (EL Fellowships)

An EL Fellowship will be awarded to the 2 top-ranked EL1 near-miss applicants and the 2 top-ranked EL2 near-miss applicants this program. Recipients will receive funding equivalent to 2 years of the budget requested in their NHMRC near-miss application, with the possibility of one further year of funding, subject to meeting funding conditions (see Section 10).

This funding will be paid in 2 annual instalments. Any top-ups to the salary package from Administering Institutions as per the NHMRC application is the responsibility of the applicant and should be mutually agreed prior to completing an application form for this program. Administering Institutions will need to certify that they will cover salary shortfalls if an applicant receives a Fellowship award.

If the 2024 resubmission of the project to NHMRC is again found to be a near-miss, an additional year of funding will be provided, equivalent to one year of funding requested in the original 2022 NHMRC application.

Emerging Leaders Grants (EL Grants)

Following selection of the EL Fellowship recipients, EL Grants of \$100,000 will be awarded to the next-highest ranked eligible applicants until the funding pool has been allocated or there are no more eligible applicants. This funding will be provided as a one-off grant for a 12-month period of activity.

6. Program Conditions

Included Expenditure Items

Recipients may use their funding for the following items, provided they are essential to the work proposed in the NHMRC near-miss application:

- **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 staff member or Researcher's total employment does not exceed one full-time equivalent when combined with other fractional employment.
- the funding only supports the portion of the staff member's or Researcher's salary that is directly attributable to conducting the 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 policy on 'best fare' or equivalent. A maximum of \$6,000 of 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.

Excluded Expenditure Items

Researchers may not use funding to duplicate research previously or currently being funded. Indirect research costs are also excluded.

The Researcher can request to use funding for activity items not contained in the section above provided they are essential to the work proposed in the NHMRC near-miss application during the period of the grant. OMRI must approve any additional activities prior to them commencing.

NHMRC re-application process

As the purpose of this program is to support enhancement of future NHMRC applications, it is expected that all recipients will resubmit their application for funding to the NHMRC, unless other funding is received by the Researcher in the interim.

The re-application should be submitted to the same NHMRC grant program that the funding was provided for. It is acknowledged that during the grant term the Researcher may become ineligible for the level of Investigator Grant they originally applied for (e.g. they may exceed the 10-year post-PhD threshold for EL2). Therefore, while the Researcher must reapply to the Investigator Grants program, they may apply at whichever level is most appropriate for them at the time of re-application.

In some instances, OMRI 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. Recipients must submit a formal request in this regard, which will be considered by OMRI on a case-by-case basis.

EL Grant recipients are required to resubmit their NHMRC application no later than 2024. EL Fellowship recipients are required to resubmit their NHMRC application in 2024 or 2025. However, to be eligible to receive third year funding, the Researcher must re-apply in 2024 and have the 2024 application categorised by the NHMRC as a near-miss. Where the third year of funding is awarded, the Researcher is expected to again re-apply to the NHMRC in 2025 or 2026.

7. Application Instructions

The instructions below must be followed when making a submission:

- The Application Form available from the FHRI Fund website must be utilised.
- The application must be completed in Arial font 11 point or larger.
- Applications must be submitted through the Administering Institution/Responsible Entity grant administration (or equivalent operation/finance) office and applicants are responsible for complying with any internal deadlines for this.
- Electronic signatures are acceptable. The onus is on the applicant to ensure approval to use an electronic signature has been obtained.
- The application is to be emailed to DOH.OMRI@health.wa.gov.au by the Administering Institution/Responsible Entity as a **single** Adobe Acrobat PDF or Microsoft Word file, not exceeding 2MBs, including CVs, and bibliographic references (if applicable). The application and email subject line should be titled as follows:

Applicant SURNAME, First name – WANMA EL 2022

e.g. SMITH, Alex – WANMA EL 2022

- Applications must be complete, include requested additions and submitted by the closing date/time.

Acknowledgment of receipt of application will be provided via email to the Administering Institution/Responsible Entity and applicant within 5 working days of the closing date.

Applications including commercially sensitive information should be marked as commercial-in-confidence, 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.

8. Selection Process

Grants will be awarded to eligible applicants in order of the highest NHMRC scores until the entire funding pool has been allocated, or there are no remaining applicants who meet the eligibility criteria.

9. Contractual arrangements

Grant Funding Agreement

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 and the Administering Institution. Within the WA public health system, a Memorandum of Understanding (MOU) will be entered into.

Research must be conducted in accordance with the [Australian Code for the Responsible Conduct of Research 2018](#), and must have any required ethics and governance approvals.

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

Insurance

An Administering Institution external to the WA public health system will be required to demonstrate appropriate levels of insurance as a condition of the Grant Funding Agreement.

Note that recipients who require site governance approval will also be required to demonstrate appropriate levels of insurance during this process, which may vary depending on the site.

Intellectual Property

Intellectual Property (IP) that arises out of the activity will vest with the Administering Institution. However, consideration will be given to the provisions of the Western Australian Government Intellectual Property Policy 2015 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.

The Administering Institution must ensure that appropriate agreements are in place with the team members and participating entities. This includes 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. is not the Administering Institution/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, such as activity timing and duration, Administering Institution, must be directed to OMRI. Funding will be for the awarded applicant only and funding cannot be transferred to another CPI or Project Lead.

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. Extension requests must be submitted at least 30 days prior to the end of the Agreement

10. Funding Conditions

Payment instalments for Fellowships

Funding will be provided in instalments to the Administering Institution as follows:

- The first instalment will be subject to execution of a Grant Funding Agreement or MOU.
- Subsequent instalments will be subject to satisfactory progress being achieved against the project milestones, demonstrated in a mid-project Progress Report.

- In addition, to be eligible to receive third year funding, the Researcher must re-apply to the NHMRC in 2024 and have the 2024 application categorised by the NHMRC as a near-miss.

The Administering Institution/Responsible Entity is responsible for administering the funds, including the appropriate release of the funds for the research activities only once all relevant ethics and institutional governance requirements for the research activities have been obtained and lodged with the Administering Institution (refer to Section 11 Approvals).

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 funding recipient or OMRI that the activity is no longer viable
- the recipient is successful in obtaining funding for the activity from another 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)
- the recipient is found to have provided misleading or fraudulent information
- the Researcher does not reapply to the NHMRC as stated in Section 6: Program Conditions.

11. Approvals

Research ethics and research governance

The Administering Institution, and any participating entity, will be responsible for obtaining any research ethics and governance approvals that might be required for undertaking funded activities, before those activities are commenced.

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

A project that requires access to WA public health system data collections requires review and approval for this access in accordance with the [Health Services Act 2016](#) and the [Health Services \(Information\) Regulations 2017](#). In addition to research ethics and governance approval, accessing these data may include feasibility assessment and approval for data release. Preliminary cost estimates should be included in the proposed project budget and the time estimate incorporated into the project milestones in the Application Form.

If the use of Department of Health data collections is proposed please review the [Research Data Services website](#) and contact the [Research Data Services Team](#).

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

12. Reporting

The Researcher and Administering Institution are responsible for meeting reporting requirements over the duration of the activity and at its conclusion.

All reports are to be completed on template forms provided by OMRI.

Progress Reports

For Fellowships a report outlining the progress is required. OMRI reserves the right to request additional progress activity reports at any point.

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

Final Report

A final report detailing the activity and outcomes is to be submitted to OMRI at the conclusion of the activity. Failure to submit the final report at this time may render all investigators/team members ineligible for further funding from the FHRI Fund and OMRI until the Final Report is received.

Financial Acquittal Statement

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 Administering Institution.

OMRI reserves the right to request interim acquittal statements at any stage during the activity. Any unexpended funds must be returned to the Department of Health. Any over-expenditure is the responsibility of the Administering Institution and no claim may be made against the Department of Health.

Resubmission Reporting

The administering institution is required to report on whether the Researcher has resubmitted the application to the applicable NHMRC scheme (see Section 6 – Program Conditions), including:

- iii. the outcome of the resubmission; or
- iv. the reason that a resubmission was not made and the plans for resubmission in a future round.

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

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 this has occurred. The embargo on publicity will stand until OMRI advises it has been lifted.

Acknowledgement of FHRI Fund support must be made in publications, conference presentations, public discussion, press statements etc. The preferred citation is: “This activity is/has been supported by the Western Australian Future Health Research and Innovation Fund,” followed by the Grant ID.

Funding recipients must upload to medRxiv or bioRxiv any draft publication or report resulting from the funded activity prior to submission to a peer-reviewed journal and notify OMRI of the medRxiv or bioRxiv DOI. If the paper is peer-reviewed and published, the funding recipient must notify OMRI of the publication DOI. The corresponding author’s ORCID should also be notified to OMRI.

In order to maximise knowledge exchange, funding recipients 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’, which can be downloaded from the [Australian Code for the Responsible Conduct of Research](#) page.

14. Complaints

Applicants 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).

15. Confidentiality

Activity titles, plain language summaries and funding applicant/recipient statements provided on applications or reports may be used for publicity purposes as stated on the relevant templates.

All other information provided in applications and reports will be maintained confidentially by OMRI. If requests are received by OMRI to make public any aspect of the activity, other than the aspects listed above, the authorisation of the Administering Institution/Responsible Entity will be sought.

Applicants are advised that the Department of Health is subject to the [Freedom of Information Act 1992 \(WA\)](#). 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 may be tabled in the Parliament of Western Australia.

16. Evaluation

OMRI undertakes evaluations of Funding Programs, which will include unsuccessful applications. All parties included in the application are required to contribute to the evaluation.



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