



Western Australian
Future Health Research
& Innovation Fund

WA Near-miss Awards: Emerging Leaders 2023-24

Guidelines and Conditions

**Application due by:
1:00 pm (AWST), Thursday 14 December 2023**

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1. Introduction

The Western Australian Near-miss Awards (WANMA)(the Program) is a funding 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.

This 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 2023 program and been found to be 'fundable' but were not funded (known as a near-miss). The funding is to 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 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:

- develop outputs that include increases in research support personnel, publications, presentations, translational outcomes, collaboration, commercialisation and career development
- develop outcomes that include improved health promotion and healthcare, health workforce benefits and economic benefits
- support high quality research in WA.

The objectives of the Program are to:

- support early- and mid-career researchers to assist with career development and retain these researchers in WA
- increase the success rate of WA early- and mid-career NHMRC Investigator Grant applications
- increase NHMRC grant income brought into WA.

3. Program description

The Program will provide four Emerging Leaders 'Fellowships' that will fund the full NHMRC application and Emerging Leadership 'Grants' of \$100,000 (excluding GST) for near-miss applicants in the NHMRC Investigator Grants 2023 program.

Funding will be awarded to each Activity Lead in order of the highest NHMRC scores, until the funding pool is fully committed, or all eligible applications have been selected for funding.

The 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 'Activity Lead' is used to refer to the Chief Investigator A of the NHMRC near-miss application (the applicant).

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

4. Eligibility

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

- Applications must be submitted through a Responsible Entity which:
 - has an active Australian Business Number (ABN)
 - has a physical and operational presence in WA.
- The Activity Lead must:
 - 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 Activity
 - have no overdue reports for any OMRI or FHRI Fund grant funding programs from any year (excludes authorised extensions)
 - ensure that an OMRI or FHRI Fund grant has not been awarded for any component of the Activity or NHMRC ID
 - have a position or title at the Responsible Entity for the period of the grant.
 - The Activity Lead will be required to specify 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 a physical and operational presence in WA, and confirmation must be provided of 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.*
 - as at 1 March 2023, 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), taking into consideration any career disruptions as defined in the [NHMRC Relative to Opportunity Policy](#)
 - be eligible to, and agree that they will, resubmit their near-miss application to an NHMRC grant round as described in the 'Program conditions' section below.

- The Activity Lead's NHMRC Investigator Grants 2023 application must have been assessed by the NHMRC and found to be 'fundable but not funded', with a score above 4.50 (equivalent to a category 5 score).
- The grant funding must not constitute the entire financial base of the Responsible Entity.
Applications must be submitted in accordance with the 'Application instructions' section of this document.

OMRI reserves the right to request further information and make final decisions regarding.

5. Program funding

The WANMA Emerging Leaders Program will provide 'Fellowships' and 'Grants' (see below).

The intention is that funding will be spent within WA unless goods and services are not available in WA and/or it is beneficial to WA if goods or services are procured from outside WA. Funding can only be expended on endorsed activities (as listed in the 'Program conditions' section below).

OMRI reserves the right to negotiate reductions in the amount of 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)

A Fellowship will be awarded to the 2 top-ranked early-career (EL1) near-miss applicants and the 2 top-ranked mid-career (EL2) near-miss applicants to this Program. Fellowship recipients will receive funding equivalent to the budget requested in their NHMRC near-miss application, subject to meeting the 'Funding conditions' section below.

It is the responsibility of the applicant to ensure salary shortfalls are mutually agreed to prior to completing an Application Form. Responsible Entities need to certify that they will cover any top-ups to the salary package in the NHMRC application if an applicant receives a Fellowship award.

Emerging Leaders Grants (EL Grants)

Following selection of the Fellowship recipients, Grants of \$100,000 (excluding GST) 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 up to 12-months.

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 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 Activity Lead's own salary, providing:

- the Activity Lead's total employment does not exceed one full-time equivalent when combined with other fractional employment.
- the funding only supports the portion of the Activity Lead'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 acceptable provided the Activity Lead is presenting work that is directly related to the activity. Travel expenses must meet the Responsible Entity'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 activity, provided that the NHMRC Open Access Policy for publications is adhered to and the publication does not delay resubmission to the NHMRC.

Excluded expenditure items

Funding cannot be used to duplicate research activities previously or currently being funded. Indirect research costs are also excluded.

The Activity Lead 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, the Activity Lead must resubmit their application for funding to the NHMRC, unless other funding is received by the Activity Lead 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 Activity Lead 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 Activity Lead 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-submission to another NHMRC grant program, round or alternative peer-reviewed health and medical research funding program. Activity Lead's 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 2025.

'EL Fellowship' recipients are required to resubmit their NHMRC application in 2025 or 2026. However, to receive third year funding, the Activity Lead must re-apply in 2025 and have the 2025 application categorised by the NHMRC as a near-miss, with a score above 4.50. Where the third year funding is awarded, the Activity Lead is expected to re-apply to the NHMRC again in 2026 or 2027.

7. Application instructions

The instructions below must be followed when making a submission:

- The Application Form available from the [FHRI Fund website](#) must be submitted by **1:00 pm (AWST) Thursday 14 December 2023**.
- The application must be completed in Arial font 11 point or larger.
- 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 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 should be titled as follows:
Activity Lead SURNAME, First name – WANMA EL 2023-24
e.g. SMITH, Alex – WANMA EL 2023-24
- Applications must be complete, include requested certifications and be submitted by the closing date/time. Applicants are responsible for complying with internal deadlines.

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

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. Consumer involvement

In line with the 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.

Funded research Activity should involve engagement with health consumers.

Consumer involvement should incorporate:

- Clearly defined relationships with health consumers or community groups who have 'lived experience' of the issue the Activity addresses.

- Demonstrated understanding of the benefits derived from involving people with a lived experience.
- Inclusion of consumers in the Activity where appropriate.
- Plans to involve consumers in the Activity throughout the delivery timeline.
- Budget strategy with funds allocated to support, implement and acknowledge consumer involvement (e.g. training opportunities, honoraria and payments, additional time to support involvement activities, administration support and consultations and events associated with involvement activities).

Guidance on consumer involvement can be found at the [Consumer and Community Involvement Program](#) website and the [NHMRC Statement on Consumer and Community Involvement in Health and Medical Research 2016](#).

It is encouraged that all applicants complete the free online 30 minute [Consumer and Community Involvement in Health Research](#) course (or equivalent).

10. 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.

Note that 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 [Western Australian Government Intellectual Property Policy 2023](#) (or any 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. Applicants should make themselves aware of the IP clause that will apply to this Program:

1. The ownership of any Intellectual Property generated by undertaking the Activity shall vest in You.
2. The ownership of any background or pre-existing Intellectual Property and associated Moral Rights, used or incorporated in the Activity that is presently vested in a Party shall remain vested in that Party, unless otherwise agreed.
3. Each Party will be entirely and solely responsible for the use in the Activity of any Intellectual Property and associated Moral Rights it has provided to undertake the Activity which belongs to, or is licensed from, any other party, and indemnifies the

other Party against all claims by a third party arising out of use of that Intellectual Property and associated Moral Rights.

4. Subject to the confidentiality provisions of the Agreement, You hereby grant to Us, a non-exclusive, irrevocable, perpetual, royalty-free licence to use (excluding the ability to sub-licence or grant further licences) any of the Intellectual Property generated in the Activity, and which falls within the scope of WA Health's normal activities. This includes, but is not necessarily limited to, activities related to healthcare provision, teaching, training and research. This license does not automatically extend to any potential or eventual commercial development of the Intellectual Property, and any commercial products that might directly or indirectly result from the Activity Intellectual Property. However, where You believe that there is the potential for commercialisation of the Intellectual Property developed in the course of the Activity, both Parties shall negotiate in good faith the appropriate legal and beneficial interests, rights and access to the Intellectual Property by Us.
5. You indemnify and will keep indemnified Us and all Our respective officers, employees and agents from and against all costs, losses, expenses, actions, suits, demands, claims, damages and other liabilities resulting from Your failure to comply with this agreement, or otherwise resulting from the actual or alleged infringement of the Intellectual Property rights or associated Moral Rights of any third party by You.
6. Your obligations under this Agreement are continuing and survive expiration or termination of the Agreement.

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, timeframe or Responsible Entity, must be directed to OMRI. Funding will be for the awarded Activity Lead only and funding cannot be transferred to another Activity Lead unless in exceptional circumstances and approved by 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.

11. 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 (where applicable) will be subject to satisfactory progress being achieved against the Activity milestones, demonstrated in Progress Reports. For Fellowships to receive third year funding, the Activity Lead must re-apply to the NHMRC in 2025 and have the 2025 application found to be 'fundable but not funded' by the NHMRC review process, with a score above 4.50 (equivalent to a category 5 score).

*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 spending.

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

Applicants are permitted, and encouraged, to seek additional sources of funding for the duration of the Activity, provided it complements, but does not duplicate, the Activity for which the funding was awarded.

Partial payment or suspension of funds

The Department of Health reserves the right to:

- provide funding instalments in parts, based on 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
- 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
- the Activity Lead does not reapply to the NHMRC as stated in the 'Program conditions' section of this document and no alternative arrangements have been approved by OMRI
- the Activity Lead is no longer employed by the Responsible Entity, unless a transfer of Responsible Entity has been approved by OMRI.

12. 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 [Health Services Act 2016](#) and the [Health Services \(Information\) Regulations 2017](#). This is in addition to research ethics and governance approval, accessing these data may include feasibility assessment and 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 request and approval process.

13. 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 template forms provided by OMRI.

Resubmission Reports

The Responsible Entity is required to provide notification of NHMRC reapplication status for each Activity Lead (see the 'Program conditions' section of this document), including:

- a copy of the resubmitted application and the outcome; or
- 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.

Progress Activity Reports

For Fellowships, Progress Reports outlining the progress against milestones will be required as stipulated in the Grant Funding Agreement or MOU.

OMRI reserves the right to request a progress reports 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 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 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 over-expenditure is the responsibility of the Responsible Entity, and no claim may be made against the Department of Health.

Community Stakeholder Brief

In order to provide feedback to stakeholders, a one-page *Community Stakeholder Brief* which includes an outline of the Activity, its outcomes, and next steps is to be provided to all participating consumers and a copy submitted to OMRI with the Final Activity Report.

14. 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.

In order to maximise knowledge exchange, funding recipients must 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, and the NHMRC's [Open Access Policy](#).

All peer-reviewed publications that are supported in whole or in part by the FHRI Fund must be made immediately open access, that is, without any embargo period at the time of first online publication, regardless of whether such publication is an advanced or early online publication or the Version of Record. Funding recipients are encouraged to upload to a pre-print site any draft publication or report resulting in whole or in part from the funded Activity prior to submission to a peer-reviewed publication (if permitted by the publisher) The funding recipient must notify OMRI of all publication DOIs. 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.

If successful, the Activity Lead or a suitable team member, will consider submitting an abstract to, and attending, the annual *Science on the Swan* conference following the first year of the grant. However, this will not apply if submission of an abstract will breach confidentiality provisions, restrict the ability to publish results or to obtain patents.

15. Confidentiality

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 [Freedom of Information Act 1992 \(WA\)](#) or information pertaining to the receipt of State Government financial assistance 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

17. 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).



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

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