



NHMRC Special Initiative in Mental Health Guidelines

Opening date:	30-Mar-2020
Closing date and time:	15-Jul-2020 5:00 pm (ACT local time)
Commonwealth policy entity:	National Health and Medical Research Council (NHMRC)
Enquiries:	<p>Applicants requiring further assistance should direct enquiries to their Administering Institution's Research Administration Officer. Research Administration Officers can contact NHMRC's Research Help Centre for further advice:</p> <p>Phone: 1800 500 983 (+61 2 6217 9451 for international callers)</p> <p>Email: help@nhmrc.gov.au</p> <p>NHMRC will not respond to any enquiries submitted after 8-Jul-2020 1:00 pm (ACT Local Time).</p> <p>Note: NHMRC's Research Help Centre aims to provide a reply to all requests for general assistance within two working days. This timeframe may be delayed during peak periods or for more detailed requests for assistance.</p>
Date guidelines released:	30-Mar-2020
Type of grant opportunity:	Targeted competitive

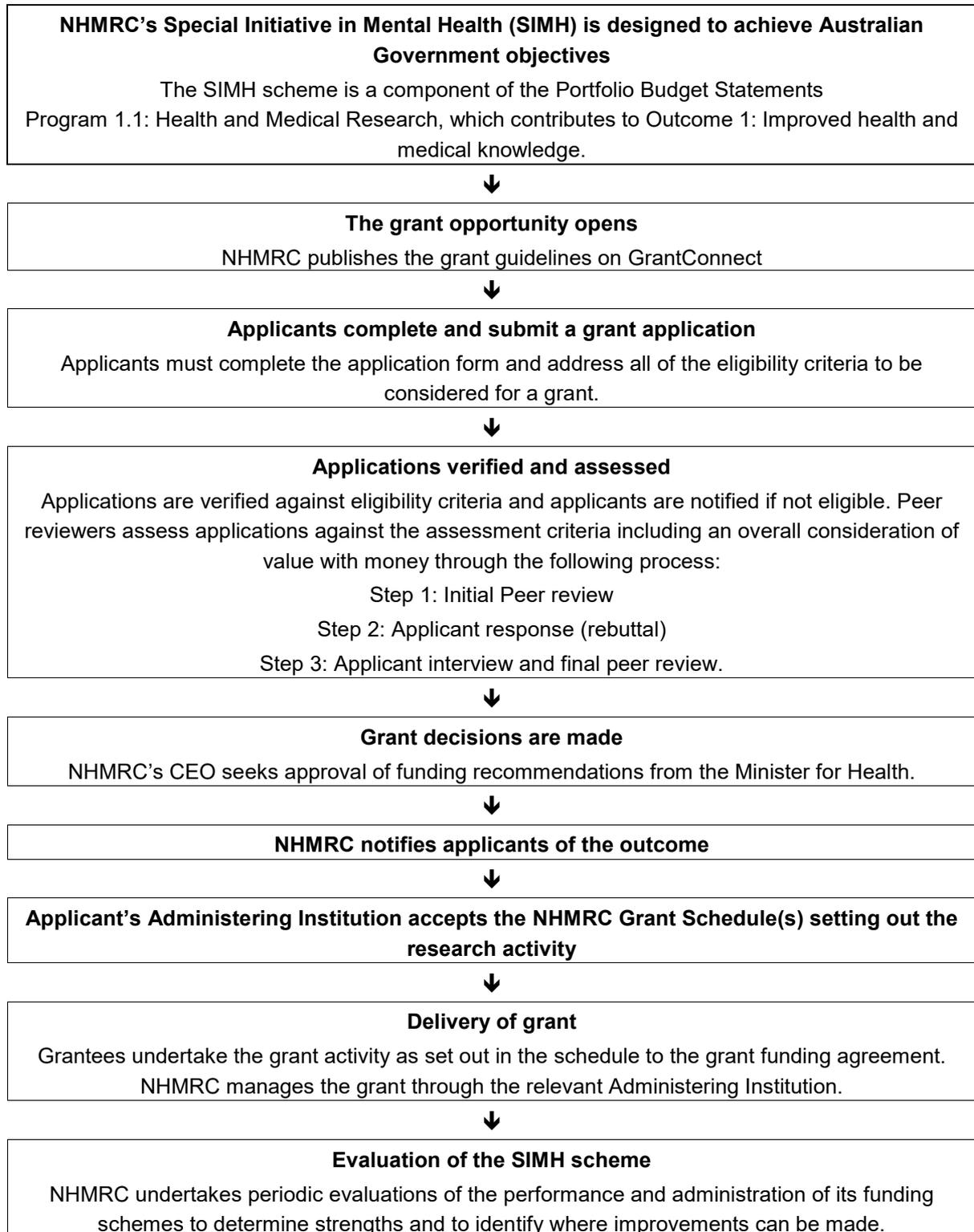
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1 NHMRC Special Initiative in Mental Health (SIMH) processes



1.1 Introduction

These guidelines contain information for the NHMRC Special Initiative in Mental Health (SIMH) grant opportunity.

Applicants must read these guidelines before filling out an application.

This document sets out:

- the purpose of the grant scheme/grant opportunity
- the eligibility and assessment criteria
- how grant applications are considered and selected
- how grantees are notified and receive grant payments
- how grantees will be monitored and evaluated
- responsibilities and expectations in relation to the opportunity.

GrantConnect (www.grants.gov.au) is the authoritative source of information on this grant opportunity. Any alterations or addenda to these Guidelines will be published on GrantConnect.

The SIMH grant opportunity will be undertaken according to the *Commonwealth Grants Rules and Guidelines 2017* (CGRGs), available from the [Department of Finance website](#).

1.1.1 About NHMRC

NHMRC is the Australian Government's key entity for managing investment in, and integrity of, health and medical research. NHMRC works with stakeholders to plan and design the grant program according to the *National Health and Medical Research Council Act 1992* (NHMRC Act) and the CGRGs.

NHMRC awards grants through several research funding schemes to advance health and medical knowledge and to improve the health status of all Australians. NHMRC invests in the highest quality research and researchers, as determined through peer review, across the four pillars of health and medical research: basic science, clinical medicine and science, public health and health services research.

2 About the grant program

Mental health is a strategic priority of NHMRC. Over the last two years, NHMRC has been working with the mental health research community to understand the current spread of investments in mental health, key areas of research need and how a strategic investment by the NHMRC would be best placed. As well, NHMRC has consulted with key mental health policy and funding bodies to explore opportunities for this strategic investment to complement other initiatives.

In September 2017, NHMRC established the Mental Health Research Advisory Committee (MHRAC), drawn from the health and medical research sector, to advise on priorities in this area. From the advice of MHRAC a stakeholder workshop was convened to refine the parameters for a NHMRC special initiative in mental health research.

The SIMH will support a multidisciplinary and nationally focussed team to establish a national centre for innovation in mental health care as a collaborative network across Australia (involving key institutions, existing national networks in mental health, and other relevant bodies). The SIMH will undertake innovative, high quality implementation research to improve health outcomes and outlooks for people living with mental illness. The centre will operate as a virtual network across Australia, coordinated by a single institution acting as an administrative hub. The centre will include

flagship programs to focus the network's activities on each of the identified research themes. Flagships, which may be based at participating institutions, should be open to a broad membership of researchers, health care services, carers and consumers in mental health to facilitate innovative service delivery across Australia.

The objectives of the SIMH are to:

- focus (at least initially) on the following outcome areas (core research themes):
 - improving experience of care through more effective and innovative models of care and health system redesign, and
 - reducing early mortality through evidence-based strategies for addressing physical, behavioural, psychological and other determinants
- foster innovative, multidisciplinary approaches to mental health by bringing together a diverse range of stakeholders with lived experience and professional expertise to define the issues, provide evidence for solutions, deliver improved health outcomes and outlooks for people living with mental illness, and
- engage and develop the next generation of mental health research leaders.

The intended outcomes of the SIMH are:

- long term partnerships between research, health care and service delivery to translate research findings into improved outcomes
- developing and extending widespread collaborative networks in Australia, and
- building and developing mental health research capacity.

2.1 NHMRC structural priorities

NHMRC's [Corporate Plan](#) outlines strategic priorities and major health issues for the period covered by the Plan, including how NHMRC will address these issues, and a national strategy for medical research and public health research. Each year, NHMRC identifies structural priorities for funding to deliver against its strategic priorities.

Information on NHMRC's structural priorities is outlined in [Appendix A](#).

3 Grant amount and grant period

3.1 Grants available

NHMRC has allocated a total of up to \$10 million to support a single collaborative research project.

3.2 Grant period

The SIMH grant opportunity will be awarded for a five (5) year term.

4 Eligibility criteria

Applications will only be accepted from NHMRC-approved Administering Institutions. A list of NHMRC-approved Administering Institutions is available on [NHMRC's website](#).

The Chief Investigator A (CIA) and Administering Institution must ensure applications meet all eligibility requirements, as set out in these guidelines, at the time of submission and for the duration

of peer review. Applications that do not meet these eligibility requirements may be ineligible and may be excluded from further consideration.

An eligibility ruling may be made by NHMRC at any stage following the close of applications, including during peer review. Where an eligibility ruling is being considered, NHMRC may request further information in order to assess whether the eligibility requirement has been met.

Decisions are made based on current policies and considerations specific to this grant opportunity. Decisions made in relation to previous grant opportunities or other NHMRC funding schemes will not be regarded as precedents and will not be considered when assessing compliance with the requirements of this grant opportunity.

Administering Institutions will be notified in writing of ineligible applications and are responsible for advising applicants.

Grant offers may be withdrawn if eligibility criteria to accept a grant are not met. Action may also be taken over the life of a grant if eligibility criteria to continue holding a grant are not met.

NHMRC staff will not make eligibility rulings before an application is submitted.

4.1 Who is eligible to apply for a grant?

4.1.1 Chief Investigators and Associate Investigators

NHMRC anticipates that there may be more than the Grant Management System's maximum of ten (10) CIs applying, in order to achieve the wide aims of this opportunity. Accordingly, for the Office of NHMRC to manage the single, multidisciplinary, nationally focused team through this call, NHMRC requires that one (1) CI be nominated the Chief Investigator A (CIA) and that this person be responsible for submitting details of their team into the Grant Management System using the following method:

1. CIA **only** is to be added to A-RT: Research Team and Commitment.
2. All other CIs are to be listed in the Grant Proposal.

Chief Investigator 'A'

At the time of acceptance and for the duration of the grant the CIA must be an Australian or New Zealand citizen, or a permanent resident of Australia. The CIA must also be based in Australia for at least 80% of the funding period, or 50% of the Funding Period if CIA is an NHMRC or MRFF Emerging Leadership Fellow.

Chief Investigators

The role and contribution of each CI must be described in the Grant Proposal. CIs are expected to remain active on the Research Activity as outlined in the Grant Proposal for the duration of the grant. There is no restriction on who or how many people may be named as a CI on an application.

Associate Investigators

An Associate Investigator (AI) is defined as an investigator who provides some intellectual and/or practical input into the research and whose participation may warrant inclusion of their name on any outputs (e.g. publications).

There is no restriction on who may be named as an AI on an application. However, a maximum number of ten (10) applies.

4.2 Multiple applications/grants

Applicants applying as a CI may apply for, and hold, other NHMRC scheme grants (subject to any limits set for holding grants in other NHMRC funding schemes).

4.2.1 Limits on the number of SIMH applications

Applicants can only apply as Chief Investigator A (CIA) on one application.

Applicants who wish to apply as a CI on a second application can do so ensuring that they are listed as CIA on one application only. It is the responsibility of all CIs to ensure that this condition is adhered to prior to submission of an application. All applications with duplicate CIAs will be automatically ineligible and removed from the assessment process.

NHMRC intends to fund a single, multidisciplinary, nationally focussed grant through the processes outlined in these grant guidelines.

4.3 Exclusion of applications

An application may be excluded from further consideration if:

- it contravenes an eligibility rule or other requirement as set out in the Grant Guidelines
- it, or any CI named on the application, contravenes an applicable law or code
- it is inconsistent with the objectives of the NHMRC Act and/or the purposes of the Medical Research Endowment Account (MREA), and
- any CI named on the application is the subject of a decision by NHMRC's CEO or Delegate that any application they make to NHMRC, for specified funding schemes, will be excluded from consideration for a period of time, whether or not they otherwise meet the eligibility requirements. Such decisions will generally reflect consequential action taken by NHMRC in response to a finding of research misconduct or a breach of the [Australian Code for the Responsible Conduct of Research](#), or a Probity Event. See the Code for a definition of 'research misconduct' and the *NHMRC Policy on Misconduct related to NHMRC Funding* available from [NHMRC's website](#).

Such exclusion may take place at any time following CIA and Administering Institution certification of the application.

If a decision to exclude an application from further consideration is made, NHMRC will provide its decision and the reason(s) for the decision to the Administering Institution's Research Administration Officer (RAO) in writing. The Administering Institution's RAO is responsible for advising applicants of the decision in writing. Decisions to exclude an application may be reviewable by NHMRC's Commissioner of Complaints.

5 What the grant money can be used for

5.1 Eligible grant activities and expenditure

Funding provided by NHMRC for a Research Activity must be spent on costs directly incurred in that Research Activity that satisfy the principles and requirements outlined in the *Direct Research Costs Guidelines* on the [NHMRC website](#).

This grant will provide substantial, long term, flexible funding to an integrated group of researchers.

5.1.1 Salary support

The SIMH grant is not intended to provide salary support for CIs.

Individuals cannot draw a salary from the SIMH grant if they are a named Associate Investigator.

5.2 Funding to support overseas grant activities and researchers

SIMH funds are for research cost expenditure in Australia. Funding may be used to support specific grant activities to be undertaken overseas, including salary support for overseas based research support staff, if the overseas grant activity is critical to the successful completion of the project, and the equipment/resources required for the grant activity are not available in Australia.

See *Direct Research Costs Guidelines* on the [NHMRC website](#) for further guidance on the expenditure of funding for a Research Activity.

5.3 What the grant money cannot be used for

NHMRC will not fund activities that are already funded on an ongoing basis by other Australian, state or local government programs that commenced prior to the grant agreement being finalised.

5.4 Duplicate funding

NHMRC may compare the research proposed in grant applications with grants previously funded, currently funded, and funded by other agencies (e.g. Australian Research Council or Department of Health) and published research. NHMRC will not fund research that it considers duplicates research previously or currently being funded.

Where NHMRC believes that an applicant has submitted similar research proposals to NHMRC and has been successful with more than one application, the applicant may be required to provide NHMRC with a written report clearly identifying the difference between the research aims of the research activities. If NHMRC subsequently does not consider the research activities to be sufficiently different, the applicant will be required to decline or relinquish one of the grants.

NHMRC may disclose applicants' personal information to overseas entities, Australian, State/Territory or local government agencies, organisations or individuals where necessary to assess an application or to administer a grant. See NHMRC's Privacy Policy and the *Privacy: confidentiality and protection of personal information* section of these guidelines for further information.

6 The assessment criteria

Applications for the SIMH grant are assessed by peers against the assessment criteria listed below using the category descriptors at [Appendix B](#) as a guide.

- Generate new knowledge that leads to improved health outcomes (20%)
- Promote effective transfer of research outcomes into health policy and/or practice (20%)
- Develop the mental health and medical research workforce by providing opportunities to advance the training of new researchers, particularly those with a capacity for independent research and future leadership roles (20%)
- Facilitate collaboration (20%)
- Record of Research and Translation Achievement – relative to opportunity (20%)

Criterion One

Generate new knowledge that leads to improved mental health outcomes (20%)

- clarity of research objectives and theoretical concepts
- strengths and weaknesses of the research design(s), or the appropriateness and robustness of the proposed methodology/ies or appropriateness of the broader strategy of the research program of the centre
- feasibility of the proposed research
- extent to which the aims and concepts of the research are innovative or pioneering on an international level
- likelihood that significant new findings will be produced and substantially advance knowledge in the field.

Criterion Two

Promote effective transfer of research outcomes into mental health policy and/or practice (20%)

- the involvement of end-users and the wider community in the planning, implementation and uptake of the research program
- the quality of the plan for research translation
- plans for promoting the centre's activities to the wider community, including where appropriate, by commercialisation

Criterion Three

Develop the mental health and medical research workforce by providing opportunities to advance the training of new researchers, particularly those with a capacity for independent research and future leadership roles (20%)

- strategy to generate new researcher capability, mentoring and encouragement of further career development
- clarity of measures for integrating new researchers into the teams including mentoring strategies.

Criterion Four

Facilitate collaboration (20%)

Teams are required to outline past and/or proposed collaborative arrangements within the applicant team, and address the means whereby the collaborators will ensure the cohesive running of the research during its funding period, including but not limited to:

- articulating a clear and robust governance structure that will oversee the management of the collaborative arrangements and the research
- likely effectiveness of working collaborations and intellectual exchange
- fostering and development of long term relationships with mental health researchers, policy makers, clinicians, those involved in mental health service delivery and the wider community
- integration and cohesiveness of the team.

Criterion Five

Record of Research and Translation Achievement – relative to opportunity (20%)

Record of Achievement is considered in terms of whether the previous research experience of applicants demonstrates that the team is capable of achieving the proposed program of research and/or has the appropriate mix of research skills and experience to deliver the proposed program of research.

Record of Achievement may encompass the national and international standing of the applicants based upon their research achievements, relative to opportunity, including but not limited to:

- research outputs – most recent significant publications; publications that illustrate innovation and significance to past accomplishments; impact or outcome of previous research achievements, including effects on health care practices or policy; awards or honours in recognition of achievements
- contribution to discipline or area – invitations to speak at international meetings, editorial appointments, specialist and high level health policy committee appointments
- other research-related achievements, such as influence on clinical/health policy or practice, or provision of influential advice to health authorities and government
- impacts on health via the broad dissemination of research outcomes, e.g. via mainstream media, the community or industry involvement.

To achieve the objectives of the SIMH, the applicants should take into consideration the above assessment criteria and clearly indicate:

- how the centre will be established as a national network across jurisdictions, institutions, existing research centres and delivery services
- how the proposed structure of the centre (e.g. programs and sites) will support outcomes in the identified areas, including but not limited to specific conditions or symptoms
- how clinical, health services and public health research with a translation/implementation focus would account for a majority of the centre's work
- how the co-design and development of projects are undertaken with a diverse range of stakeholders, drawing on the expert knowledge of researchers, policy makers, health statisticians/economists, clinicians, service providers and community organisations as appropriate, as well as the lived experience of consumers and carers
- the involvement of researchers at various career stages and mentorship opportunities, including interdisciplinary mentorship, to build workforce capacity
- how health outcomes will be formally measured and evaluated over time to demonstrate the impact and changes resulting from the implementation of the proposed programs
- sustainability and financial viability beyond the initial funding of five years, and
- a clear and robust governance structure that oversees management of the SIMH; this might include, but is not restricted to, steering committees, scientific advisory groups, ethics advisory boards and national, regional and local coordinators.

Applications will not be considered that:

- do not have an adequate plan for sustainability for the centre and of outcomes arising from the centre beyond the funding period provided through the SIMH grant.
- do not have a national reach with the intended outcomes
- propose research that duplicates current investments.

Applications are assessed relative to opportunity, taking into consideration any career disruptions, where applicable (see [Appendix C](#)).

It is recognised that Aboriginal and/or Torres Strait Islander applicants often make additional valuable contributions to policy development, clinical/public health leadership and/or service delivery, community activities and linkages, and are often representatives on key committees. If applicable, these contributions will be considered when assessing research output and track record.

6.1 Health research involving Aboriginal and Torres Strait Islander People

Applicants proposing to undertake research which specifically relates to the health of Aboriginal and Torres Strait Islander peoples, or which includes distinct Aboriginal and Torres Strait Islander populations, biological samples or data, should be aware of, and must refer to, the following documents in formulating their proposal:

- *NHMRC Roadmap 3: A strategic framework for improving Aboriginal and Torres Strait Islander health through research*
- [Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#), and
- [Keeping Research on Track II](#) (a companion document on how the values and principles outlined in the [Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#) can be put into practice in research).

To qualify as Aboriginal and Torres Strait Islander health research, at least 20% of the research effort and/or capacity building must relate to Aboriginal and Torres Strait Islander health.

Qualifying applications must address NHMRC's *Indigenous Research Excellence Criteria* as follows:

- Community engagement - the proposal demonstrates how the research and potential outcomes are a priority for Aboriginal and Torres Strait Islander communities with relevant community engagement by individuals, communities and/or organisations in conceptualisation, development and approval, data collection and management, analysis, report writing and dissemination of results.
- Benefit - the potential health benefit of the project is demonstrated by addressing an important health issue for Aboriginal and Torres Strait Islander people. This benefit can have a single focus or affect several areas, such as knowledge, finance and policy or quality of life. The benefit may be direct and immediate, or it can be indirect, gradual and considered.
- Sustainability and transferability - the proposal demonstrates how the results of the project have the potential to lead to achievable and effective contributions to health gain for Aboriginal and Torres Strait Islander people, beyond the life of the project. This may be through sustainability in the project setting and/or transferability to other settings such as evidence-based practice and/or policy. In considering this issue the proposal should address the relationship between costs and benefits.
- Building capability - the proposal demonstrates how Aboriginal and Torres Strait Islander people, communities and researchers will develop relevant capabilities through partnerships and participation in the project.

These applications will be assigned to peer reviewers with specific expertise in Indigenous health research. The peer reviewer(s) will consider how well the application addresses the *Indigenous Research Excellence Criteria*, which will be taken into consideration when scoring against the assessment criteria outlined in section 6 (as relevant).

7 How to apply

7.1 Overview and timing of grant opportunity processes

30-Mar-2020	Applications open in NHMRC's granting system
5:00 pm (ACT Local Time)	
24-June-2020	Minimum data due in NHMRC's granting system
5:00 pm (ACT Local Time)	
15-July-2020	Applications close in NHMRC's granting system
September 2020	Anticipated initial peer review
October 2020	Applicants submit an Applicant Response (rebuttal) to Peer Reviewer Report
November 2020	Anticipated applicant interview and peer review period
February 2021*	Anticipated notification of outcomes

*Date is indicative and subject to change.

NHMRC will deliver the SIMH by opening a research call for a single large multidisciplinary consortium of research institutions, consumers, carers and end-users to develop a research program plan for assessment by an expert international and national peer review panel.

NHMRC anticipates that there may be more than the granting system's maximum of ten (10) CIs applying, in order to achieve the wide aims of this opportunity. Accordingly, for the Office of NHMRC to manage the single, multidisciplinary, nationally focused team through this call, NHMRC requires that one CI be nominated the Chief Investigator A (CIA) and that this person be responsible for submitting details of their team into the granting system.

Applications must be submitted electronically using NHMRC's granting system unless otherwise advised by NHMRC.

Electronic submission requires Administering Institutions and the CIA to register for an account in NHMRC's granting system. Applicants who are not registered can submit a new user request via the login page of NHMRC's granting system.

Applicants should refer to NHMRC's granting system Training Program on [NHMRC's website](#) for detailed user instructions, or contact their RAO or NHMRC's Research Help Centre for further assistance.

Late applications will not be accepted.

7.2 Application Extensions

Requests for application extensions will be considered on a case by case basis and must be submitted by email to help@nhmrc.gov.au on or before the scheme close date and time. Requests will only be considered for:

- unforeseen circumstances, e.g. natural calamities such as bushfires, floods or hurricanes, or
- exceptional circumstances that affect multiple researchers, e.g. power and/or internet network outages, or
- where an applicant, or a member of their immediate family¹, is incapacitated due to an unforeseen medical emergency, such as life-threatening injury, accident or death.

Extensions, if granted, will be for a maximum of seven calendar days. This is to ensure that subsequent peer review processes and approval of funding recommendations are not delayed, especially as eligibility decisions for some NHMRC schemes depend on an applicant's success with other schemes.

Requests for extension submitted after the scheme close date and time will not be considered.

7.3 Minimum data requirements

Minimum data must be entered in NHMRC's granting system by the specified due date to allow NHMRC to start identifying suitable peer reviewers. Applications that fail to satisfy this requirement will not be accepted. Applicants must complete the required fields with correct information. Using placeholder text such as "text", "synopsis" or "xx" etc. is not acceptable as minimum data.

Minimum data fields for SIMH are outlined within NHMRC's granting system.

Failure to meet this deadline will result in the application not proceeding.

RAOs are not required to certify applications for the purpose of minimum data. Applications should only be certified once complete and ready for submission.

7.4 Application requirements

The application should contain all information necessary for assessment without the need for further written or oral explanation or reference to additional documentation. Further information on what can and cannot be included in the application is provided in the Guide to Applicants at [Appendix D](#).

All details included must be current at the time of submission, as this information is relied on during assessment.

Applications must comply with all content and formatting requirements. Incomplete or non-compliant applications may be assessed as ineligible.

Additional requirements and guidance in relation to each component of the application are outlined at [Appendix D](#).

¹ Immediate family comprises a spouse, child, parent or sibling. It includes de facto, step and adoptive relations (e.g. de facto, step or adopted children).

7.5 Attachments to the application

NHMRC requires the following documents with your application:

- a grant proposal

You must attach supporting documentation to the application in line with the instructions provided in NHMRC's granting system or [Appendix D](#). You should only attach requested documents.

NHMRC will not consider information in attachments that it does not request.

7.6 Consumer and community participation

The *Statement on Consumer and Community Involvement in Health and Medical Research* (the Statement) has been developed because of the important contribution consumers make to health and medical research. The Consumers Health Forum of Australia Ltd and NHMRC worked in partnership with consumers and researchers to develop the Statement.

Researchers are encouraged to consider the benefits of actively engaging consumers in their proposed research. Further information on the Consumer Health Forum and the Statement is available on [NHMRC's website](#).

7.7 Joint (consortia) applications

The CIA's Administering Institution will be the coordinating administrative hub for the virtual network. The CIA and Administering Institution must ensure their application meets all eligibility requirements, as set out in these guidelines, at the time of submission and for the duration of peer review. Applications that do not meet these eligibility requirements may be ineligible and may be excluded from further consideration.

There are no restrictions on the number of research institutions, existing national networks, and delivery services included in the consortium. It is expected that the network will include number of jurisdictions across the states and territories.

7.8 Certification and submission

Once complete, applications must be electronically certified and then submitted to NHMRC through the RAO of an NHMRC-approved Administering Institution using NHMRC's granting system.

Certification is required firstly by the CIA and then by the Administering Institution RAO by the specified due date or the application will be ineligible and excluded from further consideration.

Once submitted to NHMRC, the application is considered final and no changes can be made.

7.8.1 CIA certification

The CIA must provide the RAO with evidence that the application is complete and that all CIs have agreed to it, i.e. through written evidence such as email. Such written evidence should be retained by the Administering Institution and must be provided to NHMRC if requested.

The following assurances, acknowledgements and undertakings are required of the CIA prior to submitting an application:

- All required information has been provided and is complete, current and correct, and all eligibility and other application requirements have been met.
- All personnel contributing to the Research Activity have familiarised themselves with the *Australian Code for the Responsible Conduct of Research*, the *National Statement on*

Ethical Conduct in Human Research, the *Australian Code for the Care and Use of Animals for Scientific Purposes* and other relevant NHMRC policies concerning the conduct of research, and agree to conduct themselves in accordance with those policies.

- All CIs and AIs have provided written agreement to be named on the application, to participate in the manner described in the application and to the use of their personal information as described in the *NHMRC Privacy Policy*.
- All CIs have provided written agreement for the final application to be certified.
- The application may be excluded from consideration if found to be in breach of any requirements.

And if funded,

- The research will be carried out in strict accordance with the conditions governing NHMRC grants at the time of award. Conditions may change during the course of the grant, for example, reporting obligations may change. CIA will need to meet new/changed conditions.
- The reported outcomes of the research may be used for internal NHMRC quality evaluations/reviews.
- Grant offers may be withdrawn and action taken over the life of the grant, if eligibility criteria to accept and/or continue holding a grant are not met.

7.8.2 Administering Institution certification

The following assurances, acknowledgements and undertakings are required of the Administering Institution prior to submitting an application:

- Reasonable efforts have been made to ensure the application is complete and correct and complies with all eligibility and other application requirements.
- CIA is an Australian or New Zealand citizen or permanent resident at the time of accepting the successful grant.
- CIA will be based in Australia for at least 80% of the Funding Period, or 50% of the Funding Period if CIA is an NHMRC or MRFF Emerging Leadership Fellow.
- The appropriate facilities and salary support will be available for the Funding Period.
- Approval of the Research Activity by relevant institutional committees and approval bodies, particularly for ethics and biosafety, will be sought and obtained prior to the commencement of the research, or the parts of the research that require their approval.
- Arrangements for the management of the grant have been agreed between all institutions associated with the application.
- The application is being submitted with the full authority of, and on behalf of, the Administering Institution, noting that under section 136.1 of the *Commonwealth Criminal Code Act 1995*, it is an offence to provide false or misleading information to a Commonwealth body in an application for a benefit. This includes submission of an application by those not authorised by the Institution to submit applications for funding to NHMRC.
- Written evidence of consent has been obtained from all CIs and AIs and provided to the RAO.

Administering Institutions must ensure that the RAO role is authorised to certify and submit applications.

7.9 Retracted publications

If a publication relevant to an application is retracted after the application has been submitted, the applicant must promptly notify their RAO. The RAO must advise NHMRC at the earliest opportunity of the retraction by email (help@nhmrc.gov.au) with an explanation of the reasons for the retraction.

In addition, where the publication forms part of the applicant's track record, the applicant must immediately record that information in their Profile & CV in NHMRC's granting system.

If an application is largely dependent on the results of a retracted publication, the applicant should also consider withdrawing the application. If, under these circumstances, an applicant chooses not to withdraw the application, the RAO must advise NHMRC in writing (to help@nhmrc.gov.au), clearly outlining the reasons for not withdrawing the application.

7.10 Withdrawal of applications

Applications may be withdrawn at any time by written notice from the Administering Institution's RAO to NHMRC.

An application may be 'marked for deletion' by the applicant in NHMRC's granting system before the close of the round. This authorises NHMRC to delete the application once the round has closed. The application will not be deleted while the funding round remains open for application submission.

7.11 Questions during the application process

Applicants requiring further assistance should direct enquiries to their Administering Institution's RAO. RAOs can contact NHMRC's Research Help Centre for further advice.

NHMRC's Research Help Centre

P: 1800 500 983 (+61 2 6217 9451 for international callers)

E: help@nhmrc.gov.au.

Refer to the [Research Help Centre webpage](#) for opening hours.

8 The grant selection process

8.1 Assessment of grant applications

NHMRC considers applications through a targeted competitive grant process. Applications are required to meet eligibility requirements as set out in these guidelines and are assessed against the assessment criteria (see Section 6) by independent peer reviewers.

8.1.1 Who will assess applications?

NHMRC's peer review process is designed to provide a rigorous, fair, transparent and consistent assessment of the merits of each application to ensure that only the highest quality, value with money research is recommended for funding.

Applicants must not seek to identify or make contact about their application with anyone who is directly engaged with its assessment, in keeping with NHMRC's principles of impartial and independent peer review. Seeking to influence the process or outcomes of peer review constitutes

a breach of the [Australian Code for the Responsible Conduct of Research](#) and may result in the application being excluded from consideration.

8.1.2 SIMH assessment process

The outcome of this review will be discussed and used to create an assessor report by a panel of peer reviewers. Applicants will be contacted by email and will have an opportunity to respond by lodgement of a written response. The panel of peer reviewers will meet via videoconference to interview all applications. Applications will then be discussed by the panel of peer reviewers. The overall scores from the panel assessment will be used to produce a rank ordered list of applications, on which funding recommendations will be based.

Further information on the assessment process is on the [NHMRC website](#) and in the SIMH Peer Review Guidelines.

8.2 Who will approve grants?

In accordance with paragraph 7(1)(c) of the NHMRC Act, NHMRC's CEO makes recommendations on expenditure from the MREA to the Minister with portfolio responsibility for NHMRC.

9 Notification of application outcomes

NHMRC will advise applicants and their nominated Administering Institution's RAO of the outcome of the application as early as possible, following the approval of the grant. This could be sooner if an application has been assessed as uncompetitive or excluded for other reasons.

NHMRC may advise applicants and their Administering Institution's RAO of the outcome under embargo. An embargo is the prohibition of publicising information or news provided by NHMRC until a certain date or until certain conditions have been met. [NHMRC's website](#) provides further information on what can and cannot happen where information on a grant is released under embargo.

10 Successful grant application

The CIAs whose application is approved for funding will have access to a letter of offer through NHMRC's granting system. The Administering Institution responsible for administering the approved application will also have access to the letter of offer and to the Schedule to the Funding Agreement. The Administering Institution is responsible for accepting the Schedule through the online signing/acceptance process within NHMRC's granting system.

NHMRC's CEO or delegate may withdraw or vary an offer of a grant if they consider that it is reasonably necessary to protect Commonwealth revenue.

10.1 Information required from grantees

The Grantee may be required to supply additional information about their Research Activity before payments commence. This will be stated in the letter of offer.

10.2 Approvals and licences

Where relevant, particularly in relation to ethics and biosafety, NHMRC-funded Research Activities must be referred for approval to the relevant institutional committees and approval bodies. For further information see [NHMRC's website](#).

10.3 NHMRC Funding Agreement

All grants are offered in accordance with the Funding Agreement (with any conditions specified in Schedules and these Grant Guidelines), which is a legal agreement between NHMRC and the Administering Institution. In accepting the Schedules, the Administering Institution is agreeing to the conditions contained in the Funding Agreement and the Schedule.

Details of the Funding Agreement can be found on [NHMRC's website](#) under Funding Agreement and Deeds of Agreement. A grant will not commence, nor grant funds be paid, until:

- the Funding Agreement between NHMRC and the Administering Institution is in place, and
- the appropriate Schedule to the Funding Agreement is accepted by the Responsible Officer or their delegate and is accepted and executed by NHMRC.

10.3.1 Responsible and ethical conduct of research

NHMRC expects the highest levels of research conduct and integrity to be observed in the research that it funds. Administering Institutions and CIAs are bound by the conditions of the Funding Agreement. NHMRC funded research must be conducted in accordance with the *Australian Code for the Responsible Conduct of Research*. Further information about the Code can be found on [NHMRC's website](#).

10.4 NHMRC policies

Administering Institutions and CIAs are bound by the conditions of the Funding Agreement. It is the responsibility of Administering Institutions and CIs to be aware of, and comply with, all relevant legislation and policies relating to the conduct of the Research Activity.

For further information on the expectations of Administering Institutions and CIs, see [NHMRC's website](#).

10.5 Payments

Payments will commence once all outstanding obligations (e.g. conditions, eligibility rules or data requirements specified in the Schedule to the Funding Agreement, relevant grant guidelines or letter of offer) have been met by the CIA and the Administering Institution.

10.6 Suspension of grants

NHMRC funding may be suspended for a variety of reasons including, but not limited to, requests made by the CIA. Variations will generally only be granted if allowed in the grant guidelines and the *NHMRC Grantee Variation Policy* available on the [NHMRC website](#).

Funding may also be suspended by NHMRC when it is reasonable to consider there has been a failure to comply with a Policy or Guideline, or on the basis of a Probity Event or an investigation of alleged research misconduct, as set out in the Funding Agreement.

10.7 Tax implications

All amounts referred to in these Grant Guidelines are exclusive of GST, unless stated otherwise.

Administering Institutions are responsible for all financial and taxation matters associated with the grant.

11 Announcement of grants

Grant outcomes are publicly listed on the [GrantConnect website](#) within 21 calendar days after the date of effect as required by the CGRGs.

12 How NHMRC monitors grant activity

12.1 Variations

A variation is a change (including a delay) to a grant. There are specific circumstances under which grantees should report and seek approval of a variation to an NHMRC grant (including the Research Activity) relative to the peer reviewed application. Requests must comply with the grant guidelines and the NHMRC *Grantee Variation Policy*. Requests to vary the terms of a grant should be made to NHMRC via the Grantee Variation portal in NHMRC's granting system. For information on grant variations see NHMRC's *Grantee Variation Policy* available on the [NHMRC website](#).

Grant variations cannot be used as a means to meet NHMRC eligibility requirements.

12.2 Reporting

Administering Institutions are required to report to NHMRC on the progress of the grant and the use of grant funds. Where an institution fails to submit reports (financial or otherwise) as required, NHMRC may take action under the provisions of the Funding Agreement. Failure to report within timeframes may affect eligibility to receive future funding.

12.2.1 Financial reports

Annual financial reports are required in a form prescribed by NHMRC. At the completion of the grant or upon transfer to a new Administering Institution, a financial acquittal is also required. Refer to [NHMRC's website](#) for details of format and timing.

12.2.2 Non-financial reports

The Funding Agreement requires the CIA to prepare reports for each Research Activity. Scientific reporting requirements can be found on [NHMRC's website](#). While having outstanding obligations from previous NHMRC grants does not disqualify applicants from applying for other NHMRC grants, it is a condition of funding that outstanding obligations from previous NHMRC grants, including submission of a Final Report, have been met prior to acceptance of a new grant.

Information included in the Final Report may be publicly released. Use of this information may include publication on [NHMRC's website](#), publicity (including release to the media) and the promotion of research achievements.

All information provided to NHMRC in reports may be used for internal reporting and reporting to government. This information may also be used by NHMRC when reviewing or evaluating funded research projects or funding schemes, or designing future schemes.

12.2.3 NHMRC National Institute for Dementia Research

Grantees undertaking research related to dementia must contribute their expertise to the NHMRC National Institute for Dementia Research, which is responsible for strategically expanding, coordinating and translating the national dementia research effort. The NHMRC National Institute for Dementia Research is drawing on the expertise of researchers and other dementia stakeholders via a membership model to drive Australia's dementia research and translation effort, and work together to maximise the impact of research.

Additional reporting on NHMRC funded dementia research will also be sought from Administering Institutions as required to inform the Institute's work plan and subsequent research activities.

12.3 Evaluation of the SIMH scheme

NHMRC undertakes periodic evaluations of the performance and administration of its grant opportunities to determine their effectiveness and to identify where improvements can be made.

12.4 Open Access Policy

NHMRC supports the sharing of outputs from NHMRC funded research including publications and data. The aims of NHMRC's *Open Access Policy* are to mandate the open access sharing of publications and encourage innovative open access to research data. This policy also requires that patents resulting from NHMRC funding be made findable through listing in SourceIP. NHMRC's *Open Access Policy* is available on [NHMRC's website](#).

Combined, these approaches will help to increase reuse of data, improve research integrity and contribute to a stronger knowledge economy. Open access will also assist with reporting and demonstration of research achievement, improve track record assessment processes for the long term and contribute to better collaborations.

All recipients of NHMRC grants must comply with all elements of NHMRC's *Open Access Policy* as a condition of funding.

13 Probity

13.1 Complaints process

Applicants or grantees seeking to lodge a formal complaint about an NHMRC process related to funding should do so via the Administering Institution's RAO, in writing, within 28 days of the relevant NHMRC decision or action.

Each complaint is to be directed to the Complaints Team at: complaints@nhmrc.gov.au. NHMRC will provide a written response to all complaints. NHMRC will not review the merits of a funding decision, but it will investigate complaints about the administrative process followed to reach a funding decision. Refer to NHMRC's Complaints Policy and the Commissioner of Complaints [webpage](#) for further information.

Applicants or grantees may complain to the Commonwealth Ombudsman if they do not agree with the way NHMRC has handled their complaint. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with NHMRC.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: ombudsman@ombudsman.gov.au

Website: www.ombudsman.gov.au

13.2 Privacy: confidentiality and protection of personal information

NHMRC treats applicants' personal information in accordance with the Australian Privacy Principles, and the *Privacy Act 1988*. The [NHMRC Privacy Policy](#) details the types of personal or sensitive information that may be collected by NHMRC and how it will be handled. Applicants should familiarise themselves with the NHMRC Privacy Policy before providing personal information to NHMRC.

Information which may properly be regarded as confidential information is to be specifically identified as such by applicants and grantees and will be received by NHMRC on the basis of a mutual understanding of confidentiality.

NHMRC may reveal confidential information to:

- the peer review committee and other Commonwealth employees and contractors to help NHMRC manage the grant scheme effectively
- employees and contractors of NHMRC to research, assess, monitor and analyse schemes and activities
- employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery
- other Commonwealth, State, Territory or local government agencies in reports and consultations
- NHMRC approved Administering Institutions' Research Administration Offices
- the Auditor-General, Ombudsman or Privacy Commissioner
- the responsible Minister or Parliamentary Secretary, and
- a House or a Committee of the Australian Parliament.

13.3 Freedom of information

NHMRC as a Commonwealth agency is subject to the *Freedom of Information Act 1982* and is committed to meeting the Australian Government's transparency and accountability requirements. Freedom of Information laws facilitate the general public's access to documents held by national government agencies, including application and funding documentation relating to NHMRC researchers. This right of access is limited where documents, or parts of documents, are exempt under the provisions of the *Freedom of Information Act 1982*.

Researchers should familiarise themselves with NHMRC's Freedom of Information procedures before submitting an application. Further information on the *Freedom of Information Act 1982*, NHMRC's Freedom of Information application process and relevant contacts can be found on the [NHMRC website](#).

14 Consultation

NHMRC established MHRAC to advise the CEO on priorities in mental health research. Following recommendations from MHRAC a stakeholder workshop was held to refine the parameters for a NHMRC special initiative in mental health research. Outcomes from this workshop have been used to develop these grant guidelines.

NHMRC has engaged with the National Mental Health Commission (NMHC), the Million Minds Mission Advisory Panel, and the Department of Health on how best to identify potential partners and pathways for developing this grant opportunity and to ensure complementarity with the Medical Research Future Fund investments under the Million Minds Mission. NHMRC has also consulted with the Mental Health Principal Committee and Australian Health Ministers' Advisory Council about jurisdictional support for this grant opportunity.

The SIMH is aligned with the work led by the NMHC to develop a research strategy for the mental health sector and the Fifth National Mental Health and Suicide Prevention Plan.

15 Glossary

Term	Definition
assessment criteria	The specified principles or standards against which applications will be judged. These criteria are used to assess the merits of proposals and, in the case of a competitive granting opportunity, to determine applicant rankings.
date of effect	This will depend on the particular grant. It can be the date the schedule to a grant agreement is executed or the announcement of the grant, whichever is later.
eligibility criteria	The principles, standards or rules that a grant applicant must meet to qualify for consideration of a grant.
<i>Commonwealth Grants Rules and Guidelines 2017 (CGRGs)</i>	The CGRGs establish the overarching Commonwealth grants policy framework and the expectations for all non-corporate Commonwealth entities in relation to grants administration.
final year	The final 12 calendar months of a grant.
Funding Agreement	For NHMRC MREA grants, the grant agreement is the NHMRC Funding Agreement and the Schedule to the Funding Agreement.
grant	<p>A grant is an arrangement for the provision of financial assistance by the Commonwealth or on behalf of the Commonwealth:</p> <ul style="list-style-type: none"> • under which relevant money, or other consolidated revenue funds, is to be paid to a recipient other than the Commonwealth • which is intended to assist the recipient achieve its goals • which is intended to help address one or more of the Australian Government's policy objectives <p>under which the recipient may be required to act in accordance with specified terms or conditions.</p>
grant activity	Is the project /tasks /services that the grantee is required to undertake with the grant money. It is described in the schedule to the NHMRC Funding Agreement.

Term	Definition
GrantConnect	<p>GrantConnect is the Australian Government's whole-of-government grants information system, which centralises the publication and reporting of Commonwealth grants in accordance with the CGRGs. It is available at www.grants.gov.au.</p> <p>Non-corporate Commonwealth entities must publish on GrantConnect to meet the grant publishing requirements under the CGRGs.</p> <p>Where information is published in more than one location, and there are inconsistencies, GrantConnect is the authoritative, auditable information source.</p>
grant opportunity	A notice published on GrantConnect advertising the availability of Commonwealth grants.
grant program	Is a group of one or more grant opportunities under a single entity Portfolio Budget Statement Program. This is referred to as a scheme in this document.
Grantee	An individual/organisation that has been awarded a grant.
Medical Research Endowment Account (MREA)	The purpose of the MREA is to provide assistance to Federal and State Government Departments, institutions, universities and/or persons engaged in medical research.
Medical Research Future Fund (MRFF)	<p>The MRFF was established on 26 August 2015 by the <i>Medical Research Future Fund Act 2015</i> (MRFF Act). Refer to the Department of Health website: https://www.health.gov.au/initiatives-and-programs/medical-research-future-fund.</p>
NHMRC's granting system	NHMRC's electronic grants management solution for grant application, assessment and administration.
Peer reviewers	Individuals (peers) with appropriate knowledge and expertise who review grant applications.
Portfolio Budget Statement (PBS) Program	Described within the entity's PBS, PBS programs each link to a single outcome and provide transparency for funding decisions. These high level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be Grant Programs (schemes). A PBS Program may have more than one Grant Program (scheme) associated with it, and each of these may have one or more grant opportunities.

Term	Definition
Probity Event	<p>Any event or occurrence which:</p> <ul style="list-style-type: none"> • has a material adverse effect on the integrity, character or honesty of the Administering Institution, a Participating Institution or Personnel involved in a Research Activity; or • relates to the Administering Institution, a Participating Institution or Personnel involved in a Research Activity and has a material adverse effect on the public interest or public confidence in the Administering Institution, Participating Institution or Research Activity.
Schedule	<p>The contract template used by NHMRC to form part of the Funding Agreement. The schedule sets out the research activity and is signed by NHMRC and the CIA's Administering Institution.</p>
value with money	<p>Value with money in this document refers to 'value with relevant money' which is a term used in the CGRGs and is a judgement that the grant proposal represents an efficient, effective, economical and ethical use of public resources, as determined from a variety of considerations.</p> <p>When administering a grant opportunity, an official should consider the relevant financial and non-financial costs and benefits of each proposal including, but not limited to:</p> <ul style="list-style-type: none"> • the quality of the project proposal and activities • fitness for purpose of the proposal in contributing to government objectives • that the absence of a grant is likely to prevent the grantee's and government's outcomes being achieved • the potential grantee's relevant experience and performance history.

Appendix A. NHMRC structural priorities

A1 NHMRC key structural priorities

Each year, NHMRC identifies key structural priorities for funding to help achieve its broader goals. NHMRC's current key structural priorities are:

- Aboriginal and Torres Strait Islander health research and researchers
- health services research, and
- gender equality.

Aboriginal and Torres Strait Islander health research and researchers

NHMRC is committed to improving the health outcomes of Aboriginal and Torres Strait Islander people and encourages applications that address Aboriginal and Torres Strait Islander health. Support for health and medical research and research translation is central to achieving improvements in this area. It is also important to increase the number of Aboriginal and Torres Strait Islander researchers and recognise the diversity of Aboriginal and Torres Strait Islander people and communities, and how this diversity relates to health issues in these communities.

As part of NHMRC's stated commitment to advancing Aboriginal and Torres Strait Islander health research, NHMRC has established certain requirements and processes designed to ensure that research into Aboriginal and Torres Strait Islander health is of the highest scientific merit and is beneficial and acceptable to Aboriginal and Torres Strait Islander people and communities.

Applicants proposing to undertake research that specifically relates to the health of Aboriginal and Torres Strait Islander people, or which includes distinct Aboriginal and Torres Strait Islander populations, biological samples or data, should be aware of, and must refer to, the following documents in formulating their proposal:

- *NHMRC Road Map 3: A Strategic Framework for Improving Aboriginal and Torres Strait Islander Health through Research*
- *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research*, and
- *Keeping research on track II: A guide for Aboriginal and Torres Strait Islander peoples about health research ethics*

Health Services Research

Increasing the number of health services research grants is a strategic priority. Of the total 1035 competitive grants awarded in 2018, only 7.3% of these grants were for Health Services Research, which is significantly lower than Basic Science at 46.9%, Clinical Medicine and Science at 29.0% and Public Health at 16.8%.

Gender Equality

Funding outcomes have highlighted the underrepresentation of female chief investigators across many of NHMRC's funding schemes. This supports the need for a robust and sustainable approach to improving success rates for female researchers and to encourage more female researchers to apply to NHMRC funding schemes.

Appendix B. SIMH Category Descriptors

The following category descriptors, which are equally weighted, are used as a guide to score an application against each of the Assessment Criteria.

While the category descriptors provide peer reviewers with some benchmarks for appropriately scoring each application, **it is not essential that all descriptors relating to a given score are met.**

The category descriptors are a guide to a “best fit” outcome. Peer reviewers will consistently refer to these category descriptors to ensure thorough, equitable and transparent assessment of applications.

Assessing Aboriginal and Torres Strait Islander Contributions

It is recognised that Aboriginal and Torres Strait Islander applicants often make additional valuable contributions to policy development, clinical/public health leadership and/or service delivery, community activities and linkages, and are often representatives on key committees. If applicable, these contributions should be considered when assessing research output and track record.

Category	<i>Generate new knowledge that leads to improved mental health outcomes</i>	<i>Promote effective transfer of research outcomes into mental health policy and/or practice</i>	<i>Develop the mental health and medical research workforce</i>	<i>Facilitate collaboration</i>	<i>Record of research and translation achievement – relative to opportunity</i>
7 Outstanding	<p>The flagship programs:</p> <ul style="list-style-type: none"> • have objectives that are well-defined, highly coherent and strongly developed • are exemplary in design • are state of the art in concept • will be the subject of invited plenary presentations at international meetings, often with relevance across several fields • are highly innovative and introduce advances in concept • are highly feasible. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address one or more issues of utmost importance to mental health • have a high degree of involvement of end-users and the wider community in the planning, implementation and uptake of research • will translate into fundamental outcomes in the science and/or practice of clinical medicine, health services or public health, or fundamental changes in mental health policy • the published research will be highly influential in the promotion of change in mental health policy and/or practice. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • include a strong strategy to generate new researcher capability, mentoring and career development • include impressive measures for integrating new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have a clear and robust governance structure to support collaboration and outcomes • will be highly effective in promoting working collaborations, including facilitating intellectual exchange and co-design with a diverse range of stakeholders • have very strong relationships with other researchers, end-users and the wider community • have a very high degree of team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • are generally the most outstanding translation-oriented researchers, policy makers, clinicians and/or professionals involved in mental health service delivery in the country • have very strong records of research, policy, clinical practice or service delivery achievements • have strong international reputations and/or are highly recognised locally for their contributions, including for promoting knowledge translation • hold leadership positions in highly regarded scientific, professional or community organisations.

Category	<i>Generate new knowledge that leads to improved mental health outcomes</i>	<i>Promote effective transfer of research outcomes into mental health policy and/or practice</i>	<i>Develop the mental health and medical research workforce</i>	<i>Facilitate collaboration</i>	<i>Record of research and translation achievement – relative to opportunity</i>
6 Excellent	<p>The flagship programs:</p> <ul style="list-style-type: none"> • are clear in intent and are logical • have an excellent design • are appropriate for the experience level of the applicant team • could be the subject of invited plenary presentations at international and national meetings • are innovative and introduce some advances in concept • are highly feasible. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address one or more issues of major importance to mental health • have extensive involvement of end-users and the wider community in various aspects of the research • the published research should be very influential in the promotion of change in mental health policy and/or practice. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • include a well-articulated strategy to generate new researcher capability, mentoring and career development • include well-articulated measures for integrating new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have a clear governance structure to support collaboration and outcomes • will be effective in promoting working collaborations including facilitating intellectual exchange and co-design with a range of stakeholders • have strong relationships with other researchers and the wider community • have a high degree of team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • have a record of translation-oriented achievements that place them in the top 10–20% of peers/cohort • have a growing international reputation or are well recognised locally for their contributions in relevant areas, including for promoting knowledge translation • have established a position of leadership, or are emerging leaders, in their field • hold leadership positions in well regarded scientific, professional or community organisations.
5 Very Good	<p>The flagship programs:</p> <ul style="list-style-type: none"> • have clear objectives • any reservations regarding study design are minor • can be the subject of invited plenary presentations at national specialty meetings • contain innovative ideas • will likely be successfully achieved. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address an issue of considerable importance to mental health • will have relatively extensive involvement of end-users and the wider community • the published research will be influential in the promotion of change in mental health policy and/or practice. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • include a persuasive strategy to generate new researcher capability, mentoring and career development • include articulated measures for integrating new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have a governance structure to support collaboration and/or outcomes • will be reasonably effective in promoting working collaborations including intellectual exchange and working with stakeholders • have good relationships with other researchers, end-users and the wider community • have good team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • have a record of translation-oriented achievements, that place them well above average for their peers/cohort • have a growing national reputation and/or are well recognised locally for their contributions, including for promoting knowledge translation.

Category	<i>Generate new knowledge that leads to improved mental health outcomes</i>	<i>Promote effective transfer of research outcomes into mental health policy and/or practice</i>	<i>Develop the mental health and medical research workforce</i>	<i>Facilitate collaboration</i>	<i>Record of research and translation achievement – relative to opportunity</i>
4 Good	<p>The flagship programs:</p> <ul style="list-style-type: none"> • are sound in terms of their objectives • may have some novel aspects, while others underpin or extend existing knowledge • but have several areas of minor concern in the experimental design and/or feasibility. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address an issue of some importance to mental health • have some involvement of end-users and the wider community • the published research may be influential in the promotion of change in mental health policy and/or practice. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • include a strategy that should generate new researcher capability, mentoring and career development • include articulated measures that should integrate new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have a governance structure to support collaboration • will have some effectiveness in promoting working collaborations and intellectual exchange • have positive relationships with other researchers, end-users and the wider community • have a degree of team integration and cohesiveness. 	<p>Relative to opportunity:</p> <ul style="list-style-type: none"> • the applicants have a solid record of translation-oriented achievements • one or more of the CIs has an existing or emerging national reputation, albeit in a niche area • the applicants have made contributions to mental health, including knowledge translation.
3 Marginal	<p>The flagship programs:</p> <ul style="list-style-type: none"> • are satisfactory in terms of their objectives, but may not be successful with all of them • contains some study design problems or flaws • have a number of areas of significant concern • have relatively little novelty or innovation. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address an issue of some concern to mental health • have little involvement of end-users and the wider community • published research is unlikely to be influential in the promotion of change in mental health policy and/or practice. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • include a weak strategy to generate new researcher capability, mentoring and career development • include few measures to integrate new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have a weak or unclear governance structure • may be effective in promoting working collaborations and intellectual exchange • have some viable relationships with other researchers, end-users and the wider community, although weak • have minimal team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • have a moderate record of translation-oriented achievements • lack some areas of expertise that will be required to successfully complete the programs • have limited track records in mental health research, policy or practice, including limited involvement in knowledge translation.

Category	<i>Generate new knowledge that leads to improved mental health outcomes</i>	<i>Promote effective transfer of research outcomes into mental health policy and/or practice</i>	<i>Develop the mental health and medical research workforce</i>	<i>Facilitate collaboration</i>	<i>Record of research and translation achievement – relative to opportunity</i>
2 Unsatisfactory	<p>The flagship programs:</p> <ul style="list-style-type: none"> • provide elements of research which will at best, only incrementally advance current knowledge • contain a study design which is inadequate in a number of areas • are not innovative or significant • contain a research plan which does not seem to be feasible in several areas. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • address an issue of only marginal concern to mental health • only follow behind previously well documented and studied concepts or previously well used approaches • published research is unlikely to be influential in the promotion of change in mental health policy and/or practice • there are concerns about successful completion • virtually no involvement of end-users and the wider community. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • do not articulate a viable strategy to generate new researcher capability, mentoring and career development • have few viable measures to integrate new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • do not articulate a governance structure • raise doubts about their effectiveness in promoting working collaborations and intellectual exchange • have little evidence of relationships with other researchers, end-users and the wider community • have little or no evidence of team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • have a weak record of translation-oriented achievements • have major gaps in relevant expertise required to successfully complete the programs • have track records which are not significantly translation-oriented.
1 Poor	<p>The flagship programs:</p> <ul style="list-style-type: none"> • will not advance current knowledge in the field • contain a study design which is inappropriate in most areas • are not innovative or significant • raise major concerns about the feasibility of the research plan. 	<p>The flagship programs:</p> <ul style="list-style-type: none"> • do not address an issue of concern to mental health • successful completion is unlikely • published research will not be influential in the promotion of change in mental health policy and/or practice • no involvement of end- users and the wider community. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • are unlikely to generate new researcher capability, mentoring and career development • have few if any measures to integrate new researchers into teams. 	<p>The centre and its flagship programs:</p> <ul style="list-style-type: none"> • have no evidence of a governance structure • will be unlikely to promote working collaborations and intellectual exchange • have no evidence of relationships with other researchers, end-users and the wider community • have no evidence of team integration and cohesiveness. 	<p>Relative to opportunity, the applicants:</p> <ul style="list-style-type: none"> • are not productive in a research translation sense to any significant extent in relevant fields • do not have the expertise or capacity to successfully complete more than a small fraction of the programs • do not have relevant translation-oriented track records in mental health.

Appendix C. NHMRC Relative to Opportunity policy

Purpose

The purpose of this document is to outline NHMRC's Relative to Opportunity Policy with respect to:

- NHMRC peer review, and
- eligibility to apply for Emerging Leadership Investigator Grants.

NHMRC's objective is to support the best Australian health and medical research and the best researchers, at all career stages. NHMRC seeks to ensure that researchers with a variety of career experiences and those who have experienced pregnancy or a major illness/injury or have caring responsibilities, are not disadvantaged in applying for NHMRC grants.

Policy approach

NHMRC considers Relative to Opportunity to mean that assessment processes should accurately assess an applicant's track record and associated productivity relative to stage of career, including considering whether productivity and contribution are commensurate with the opportunities available to the applicant. It also means that applicants with career disruptions should not be disadvantaged (in terms of years since they received their PhD) when determining their eligibility for Emerging Leadership Investigator Grants and that their Career Disruptions should be considered when their applications are being peer reviewed.

In alignment with *NHMRC's Principles of Peer Review*, particularly the principles of fairness and transparency, the following additional principles further support this objective:

- **Research opportunity:** Researchers' outputs and outcomes should reflect their opportunities to advance their career and the research they conduct.
- **Fair access:** Researchers should have access to funding support available through NHMRC grant schemes consistent with their experience and career stage.
- **Career diversity:** Researchers with career paths that include time spent outside of academia should not be disadvantaged. NHMRC recognises that time spent in sectors such as industry may enhance research outcomes for both individuals and teams.

The above principles frame NHMRC's approach to the assessment of a researcher's track record during expert review of grant applications and eligibility of applicants applying for Emerging Leadership Investigator Grants. NHMRC expects that those who provide expert assessment during peer review will give clear and explicit attention to these principles to identify the highest quality research and researchers to be funded. NHMRC recognises that life circumstances can be very varied and therefore it is not possible to implement a formulaic approach to applying Relative to Opportunity and Career Disruption considerations during peer review.

Relative to Opportunity considerations during peer review of applications for funding

During peer review of applications, circumstances considered under the Relative to Opportunity Policy are:

- amount of time spent as an active researcher
- available resources, including situations where research is being conducted in remote or isolated communities

- building relationships of trust with Aboriginal and Torres Strait Islander communities over long periods that can impact on track record and productivity
- clinical, administrative or teaching workload
- relocation of an applicant and his/her research laboratory or clinical practice setting or other similar circumstances that impact on research productivity
- for Aboriginal and Torres Strait Islander applicants, community obligations including 'sorry business'
- the typical performance of researchers in the research field in question
- research outputs and productivity noting time employed in other sectors; for example there might be a reduction in publications when employed in sectors such as industry
- carer responsibilities (that do not come under the Career Disruption policy below).

Career Disruption considerations during peer review and eligibility to apply for Emerging Leadership Investigator Grants

A Career Disruption is defined as a prolonged interruption to an applicant's capacity to work, due to:

- pregnancy
- major illness/injury
- carer responsibilities.

The period of career disruption may be used:

- to determine an applicant's eligibility for an Emerging Leadership Investigator Grant
- to allow for the inclusion of additional track record information for assessment of an application
- for consideration by peer reviewers.

To be considered for the purposes of eligibility and peer review, a period of Career Disruption is defined as:

- a continuous absence from work for 90 calendar days or more, and/or
- continuous, long-term, part-time employment (with defined %FTE) due to circumstances classified as Career Disruption, with the absence amounting to a total of 90 calendar days or more.¹

Career Disruption and eligibility to apply for Investigator Grants

A Career Disruption can affect an applicant's eligibility to apply for an Emerging Leadership Investigator Grant. For such grants, the 10-year time limit on the number of years post-PhD may be extended commensurate with the period of the Career Disruption.

¹ For example, an applicant who is employed at 0.8 FTE due to childcare responsibilities would need to continue this for at least 450 calendar days to achieve a Career Disruption of 90 calendar days.

Appendix D. SIMH Guide to Applicants

1. Preparing an application

The following sections provide additional advice about parts of the application that are specific to SIMH.

- Applicants should refer to the [Sapphire Learning and Training Resources](#) for general instructions on how to apply for a grant in Sapphire.
- SIMH scheme-specific policy and instructions for applying in Sapphire (grey boxes) are provided in this Appendix.
- For further assistance during the application process, see section 7 How to apply in the grant guidelines.

2. Application Requirements

A complete application is comprised of:

- Completion of mandatory sections of 'My Profile' (section 3) and 'My Profile' Requirements for SIMH (section 3).
- Completed application form (section 4)
- Grant Proposal as an attachment (section 4.5)

Applications must comply with all rules and requirements as set out in the Guidelines. Failure to adhere to any of these requirements will result in non-acceptance or exclusion of your application (see section 4 Eligibility Criteria of the Guidelines).

2.1 Minimum Data Requirements

Minimum data must be entered in Sapphire by the specified due date to allow NHMRC to start identifying suitable peer reviewers. Minimum data are indicated in Sapphire by a blue flag (■), and are comprised of:

- Application title
- Administering institution
- Aboriginal and/or Torres Strait Islander Health Research Focus (yes/no)
- Project synopsis
- Privacy agreement
- Research Classification:
 - Broad research area
 - Field of research
 - Peer Review Areas
 - Research keywords
- Chief Investigator A (complete CIA Role and Name)

Minimum data must be entered into Sapphire by 5pm (ACT local time) 24 June 2020. Applicants should refer to section 7.3 Minimum data requirements of the Guidelines for further information.

Failure to meet this deadline will result in the application not proceeding.

Research Administration Officers (RAOs) are not required to certify applications for the purpose of minimum data. Applications require certification only once complete and ready for submission to NHMRC.

3. Profile Requirements for SIMH

Within an applicant's profile in Sapphire, there is mandatory information that must be provided and/or updated prior to submitting an application (see section 7 How to apply of the Guidelines).

This information includes personal details, academic/research interests, and peer review information.

Mandatory Profile information is indicated by a red asterisk in Sapphire (*). Existing NHMRC grant holders cannot commence or be named on an application until all mandatory 'My Profile' fields are complete.

3.1 About My Profile

Provide your primary Administering Institution name under Primary Institution to ensure the Research Administration Office has access to view your profile. You may also allow the RAO to edit your profile.

Note: to update your Primary Institution name in Sapphire, you will need to go to 'Account Settings', 'Personal details' and click on 'Primary Institution'.

3.2 Personal information

Provide your most current details in this section. It is important that your title, names, phone and email details are up to date as these are the details on which NHMRC relies to contact you.

3.3 Academic Information

Indicate whether you have a Doctor of Philosophy (PhD), and if applicable, the pass date (year) of your thesis (not the date of conferral).

3.4 Peer Review Information

Select a Broad Research Area and 5-10 Research Keywords most applicable to your main area of research. You may also provide further detail about your research interests or areas of expertise. This could include, but is not limited to, your research methodologies, student supervision and areas in which you have published (*maximum of 2000 characters including spaces and line breaks*).

You can add as many Fields of Research as required. Indicate when you started your research in that field, the classification of the research (e.g. primary), and whether the research is current or terminated. Individuals are encouraged to list all Fields of Research. Only current Fields of Research will be displayed.

Note: An opportunity is provided in the application to select research areas, fields of research and keywords that best describe your research proposal, as opposed to your personal research interests. The above information will not determine the peer reviewers selected for your application.

3.5 Unavailability Calendar

Peer Review is an integral part of NHMRC funding schemes. NHMRC grant recipients have obligations to contribute to the assessment of applications (as outlined in the *NHMRC Funding Agreement*). If you are not available to act as a peer reviewer, please provide a statement detailing your reasons, and the period for which you are unavailable. To maintain the list of available peer reviewers within Sapphire, NHMRC requires that all applicants update their availability routinely. This will avoid unnecessary contact if you are unavailable.

3.6 Contributions to NHMRC

Please indicate which, if any, schemes you have nominated or been invited to participate in as a potential peer reviewer.

Click '+' to start a new entry to specify the below:

- The number of times in each indicated year that you have participated in a NHMRC Peer Review Panel
- The number of times in each indicated year that you have participated in a NHMRC Grant Advisory Group, Assigners Academy or other listed activity
- The number of external assessments that you have provided to NHMRC in any of the last 3 years. Please also provide details of your role and the year of participation.

You will need to create a new page for each contribution.

4. Application Form Requirements

The following sections of the application form are specific to SIMH, and must be completed as part of your application. Step-by-step instructions for entering application details in Sapphire are provided in the [Sapphire Learning and Training Resources](#).

4.1 Creating an application

Click '+ New Application' to create an application.

Grant Opportunity

Select the grant round you wish to apply for. For example, 2020 NHMRC Special Initiative in Mental Health. The application title will be used to identify the application at all times during the assessment process and should accurately describe the nature of the research proposal (maximum of 250 characters including spaces and line breaks).

4.2 Application details

All fields on this page marked with a flag () must be completed to meet minimum data requirements.

All fields on this page marked with a flag () must be completed to meet minimum data requirements.

Application Identification Number (APP ID)

Each application will have its own unique Application Identification Number (Application ID), which is generated by Sapphire. Please use this Application ID number (e.g. 2345678) to identify your application when referring to it in any correspondence.

Administering Institution

Select your Administering Institution by entering three characters to start searching. There can be only one Administering Institution for each application. You must ensure that the institution you choose as your Administering Institution is the correct institution for your application. If in doubt, contact the RAO at your proposed Administering Institution

Grant Duration

Select the requested duration of your grant with reference to any limits specified in the Guidelines

Aboriginal / Torres Strait Islander Health Research

This question enables you to identify research that specifically investigates Aboriginal and Torres Strait Islander health issues. It is also designed to enable NHMRC to identify those research proposals that will require assessment of the proposed research against the *Indigenous Research Excellence Criteria*.

You should only select 'Yes' if you can demonstrate that at least 20% of your research effort and capacity building relates to Aboriginal and Torres Strait Islander health.

If you have answered 'Yes' to this question, you will be required to provide details of how your application addresses the *Indigenous Research Excellence Criteria*. Your application may be assessed against the *Indigenous Research Excellence Criteria*.

Project Synopsis

The synopsis should accurately, and briefly, summarise the research proposal. This information may be used to assign applications to panels and peer reviewers. It may also be considered in the peer review process (*maximum of 2000 character limit including spaces and line breaks*).

Plain English Summary

Describe the overall aims of the research and expected outcomes in simple terms that could be understood by the general public. Avoid the use of highly technical terms. This information may be used in grant announcements, media releases and other public documents, and by funding partners (where applicable) to determine whether the research proposal meets their priorities for funding (*maximum of 500 character limit including spaces and line breaks*).

Privacy Notice

NHMRC, as an agency under the Privacy Act 1988 (Cth), is required to notify you about our collection, use and disclosure of your personal information. We do so by referring you to the NHMRC Privacy Policy ([NHMRC Privacy Policy](#)). Please ensure that you have carefully read and understood the Privacy Policy prior to completing the application. If you have not understood the Privacy Policy or require further clarification, please contact the NHMRC Privacy Contact Officer via email (<mailto:NHMRC.Privacy@nhmrc.gov.au>) or letter (NHMRC, GPO Box 1421, Canberra ACT 2601). Ensure you read and understand the NHMRC Privacy Policy.

Consent to provide information to International Assessors

In accordance with Australian Privacy Principle 8 in the Privacy Act 1988 (Cth), we seek your consent to send your personal information (consisting of an "Assessor Snapshot Report") overseas, for the purposes of peer-review of this application if required. NHMRC uses the expertise of some peer assessors who reside overseas. While we take every effort to protect your personal information, assessors outside Australia are bound by their own country's laws and consequently we cannot provide assurance that your information will be handled in accordance with the same standards as required by the Privacy Act 1988, or that you would

have similar remedies should your personal information be released in breach of local privacy laws.

4.3 Participating Institutions

In some cases, the institution that will administer your application may differ from the institution in which you will actually conduct the proposed research. For example, many universities administer research which will be conducted in an affiliated teaching hospital. This information is required by NHMRC to enable peer reviewers to identify potential institutional conflicts with your application.

Research Institution

In this section you will need to list the Participating Institution and department where the proposed research will be conducted.

Complete this page for each institution if there is more than one. If the participating institution does not appear in the list please email the institution name to the RHC (help@nhmrc.gov.au).

Research Effort (%)

If the research will be conducted at more than one institution, enter the Research Effort percentage (%) allocated to each participating institution and department. The percentages (%) entered must total 100%.

4.4 Research Classification

The details entered in this section will be used in the peer review process to assist with the allocation of your application to the most relevant peer review panel and to aid the selection of appropriate peer reviewers for your application. It may also be used for analyses of NHMRC's Funding Profile.

All fields on this page marked with a flag (🚩) must be completed to meet minimum data requirements. You must make the selections that best describe your research proposal against each of the following fields:

- Broad Research Area
- Field of Research
- Peer Review Areas
- Research Keywords
- Burden of Disease

Select a Burden of Disease that best describes the area of research of the application. You can select up to three Burden of Disease types and you must allocate a percentage (%) of time against each. The percentage (%) total must not exceed 100%.

4.5 Grant Proposal

Applicants must not include in any part of their application:

- links to external websites, apart from references to journal articles, guidelines, government reports, datasets and other outputs that are only available online; where links are included, provide the URL in full (e.g. the NHMRC website <https://www.nhmrc.gov.au>)

- publication metrics such as Journal Impact Factors, consistent with the recommendations from the San Francisco Declaration on Research Assessment.

The grant proposal must be written in English and submitted in a Portable Document Format (PDF) file, using NHMRC's Grant Proposal template, which will be available on GrantConnect. Applicants must use this template. The grant proposal must be uploaded into Sapphire.

Grant Proposal (Upload)

To upload your Grant Proposal PDF, select the 'Upload New' button followed by the 'Upload File' button. Select the PDF file you wish to upload and then click 'Start upload' to upload your Grant Proposal. Click 'Save' or 'Save and return' to upload the document.

To ensure that the document is displaying properly, applicants should open a copy of the uploaded document by selecting the open icon to the right of the document name after the document has been saved in Sapphire.

Naming and formatting requirements for the grant proposal are listed in Table 1. Applications that fail to comply with these requirements may be excluded from consideration.

Details to be addressed in the grant proposal and associated page limits are set out in Table 2. Applicants should note that peer reviewers will, as part of their assessment, consider the reproducibility and applicability of the proposed research and research design. Within the experimental design of the proposal, applicants should include sufficient information to demonstrate that robust and unbiased results will be produced.

Table 1: Formatting Requirements

Component	Component Requirements
File format	The grant proposal must be saved and uploaded as a PDF file
File size	The PDF file MUST NOT exceed 10MB in size to be uploaded into Sapphire. If the application is more than 10MB, the Administering Institution RAO must email the application to NHMRC at pdr@nhmrc.gov.au
File name	The PDF file must be saved as Surname_Grant Proposal.PDF Note: There is no requirement for applicants to include the application number in the filename. Sapphire will automatically add the application and grant proposal version number to the uploaded PDF. Additionally the version number increases on each resubmission to an RAO and subsequent return to an applicant by an RAO.
Page size	A4
Header	Application ID and Applicant surname must be included in the header
Footer	Page number must be included in the footer
Font	NHMRC recommends a minimum of 12 point Times New Roman font. Applicants must ensure the font is readable.
Line spacing	Single
Language	English

Table 2: Grant Proposal Components

Component	Page Limit
Research Proposal	9 pages
References	2 pages
Team Quality and Capability <i>relevant to this proposal</i>	1 page
CI Team Quality and Capability	7 ½ pages per CI
Consumer and Community Participation, if applicable	2 pages
Research Partners	1 page
Resource Management	3 pages
Associate Investigators	As required

A brief description of each component is provided below.

Research Proposal – 9 pages

The research proposal must address the essential components of your research and may include the following properties depending on the type of research.

Component	Properties
Aims	Describe the specific aims of the project, including a clear statement of hypotheses to be tested.
Background	Provide a rationale for the project.
Research Plan – methods and techniques to be used	Outline the research plan in detail, including the following where appropriate: <ul style="list-style-type: none"> • detailed description of the experiment design • techniques to be used • details and justification of controls • details for appropriate blinding • strategies for randomisation and/or stratification • justification of sample-size, including power calculation • justification of statistical methods • strategies to ensure that the experimental results will be robust, unbiased and reproducible • details to achieve balance of male and female clinical participants, and male and female cell and animal models, including justification where it is not warranted • any ethical considerations • community involvement and/or plans to transfer knowledge to stakeholders or into practice • strengths and weaknesses of the study design and approach

Timeline	Provide a detailed timeline for the expected outcomes of the Research Proposal along with justification for the duration requested.
Outcomes and Significance	Describe the importance of the problem to be researched, the planned outcome of the research plan, and the potential significance of the research.

References cited in this document are to be listed in the separate References section.

References – 2 pages

References for the Research Proposal must:

- not exceed 2 pages
- provide a list of all references cited in the application in an appropriate standard journal format (NHMRC prefers the Author-date (also known as the Harvard System), Documentary-note and the Vancouver Systems)
- list authors in the order in which they appear in PubMed
- only include references to cited work
- must be written in English.

Team Quality and Capability relevant to this proposal – 1 page

The description should demonstrate that the team is:

- high quality in all research areas needed to conduct the research
- nation-wide and collaborative in its approach
- multidisciplinary covering all relevant areas need to meet the objectives of this opportunity (including how team components will combine into the broad theme)
- governed with logical and strong working arrangements (including how scientific opportunities provided by active collaboration will be maximised)
- integrated with policy makers in health service policy and practice.

CI Team Quality and Capability – 7 ½ pages per CI

The Grant Proposal should include a list of CIs on the application (in tabular form, including CIA and institutions). It is recommended that CIs use this section to report on their track record against the objectives of this opportunity.

Include the following for each CI:

CI Team Quality and Capability	Maximum Page Limit
CI Participation	200 words per CI – or ½ page per CI (provide a brief explanation of each CI's role and contribution to the proposed research)
Overall Track Record in the last 5 years	1-2 pages per CI For example: <ul style="list-style-type: none"> • career summary - including qualifications, employment and appointment history

	<ul style="list-style-type: none"> • research support - including grants and fellowships • contribution to field of research – this may include the impact of previous research including translation of research into health outcomes • patents – this information should include whether the patent has been licensed, when they have been licensed, to whom they have been licensed and if that license is current or not • collaborations • community engagement and participation • professional involvement-including committees, conference organisation, conference participation • international standing - including invitations to speak, international committees • supervision and mentoring • peer review involvement (including NHMRC, other granting organizations, manuscripts, editorial responsibilities) • other contributions to NHMRC • any other information you think is vital to your application
Top 10 Papers, Reports and Contributions in the last 5 years	1 page per CI
Top 10 Publications, Papers, Reports and Contributions throughout the applicant's career	1 page per CI
List of current grants held relevant to this proposal	1 page per CI (provide the title, duration (e.g. 2016-2020), your role within these grants (e.g. CIA), and the organisation that awarded the grants)
Career Disruption	1 page per CI You have a maximum of one page in which to clearly outline the duration and impact the career disruption had on your productivity within the last five years. This page must comply with all formatting rules applicable to the Grant Proposal and must only be used to: <ul style="list-style-type: none"> • provide a brief summary (approx. 100-150 words) of the career disruption/s • state the impact on your research output/productivity

	<ul style="list-style-type: none"> • provide details of additional research outputs (those that occurred in the relevant preceding years) that you want the reviewers to consider when assessing your application • if applicable, indicate any national or international conferences where you were invited to give a major presentation, or other significant invitations (e.g., to join an editorial board of a major journal, or write a major review), and were not able to do so because of considerations associated with the career disruption.
Relative to Opportunity	<p>1 page per CI</p> <p>If applicable, CIs should use this opportunity to provide details of any relative to opportunity considerations and the effect they have had on their research and research achievements.</p> <p>Circumstance</p> <p>Provide a brief explanation of the type of relative to opportunity circumstance.</p> <p>Impact</p> <p>Provide a brief explanation on the impact this has had on your research and research achievements and associated productivity relative to stage of career.</p> <p>Date</p> <p>You are required to nominate the periods where you have had a relative to opportunity circumstance (approximate dates).</p>

Consumer and Community Participation – 2 pages

If the intended research involves consumer and/or community participation:

- Applicants should describe how they will ensure that research participants will have access to their own results, and how they will be accountable to participants for the overall results of the research
- Applicants should describe how they will ensure that consumers will be involved in the research and how they will communicate the results of the research to participants and the community.

The Consumers Health Forum of Australia Inc. (CHF) and NHMRC worked in partnership with consumers and researchers to develop the Statement on Consumer and Community Involvement in Health and Medical Research (the Statement). The Statement was developed in recognition of the contribution that consumers can make to research, as well as their right to participate in research.

Further information on the CHF and the Statement is available on the [NHMRC's website](#).

Research Partners – 1 page

The Grant Proposal should include a list of partners that will bring skills, networks, influence and or funding to the research program. Details on how these collaborations will value-add to the proposal should be included.

Resource Management – 3 pages

The grant proposal should include a description of:

- how the team’s resources will be managed, including performance measures and/or milestones
- how the grant funds and other resources will be shared, deployed and redeployed if required
- a table that details the expected annual budget over five years (up to \$10 million total), including a *high level* justification of expenses each year and how they support the proposed research.

Associate Investigators

The Grant Proposal should include a list of Associate Investigators on the application (in tabular form, including institutions).

4.6 Budget Proposal – Third Party Research

Applicants often need to receive services from research facilities to undertake their research.

Such facilities include but are not limited to: biospecimens and associated data from biobanks or pathology services, non-human primate colonies, the Australian Twin Registry, Cell Bank Australia, and the Trans-Tasman Radio Oncology Group and other organisations that provide clinical trials services.

Applicants will need to consult with research facilities to ensure that the services they require can be provided and that the charges included in the budget are accurately reflected (Proposed Budget – DRC and Equipment). Letters from research facilities confirming their collaboration must be submitted with the application.

Indicate whether you will be using services provided by a research facility to complete your research. If you select ‘yes’, then upload your letter from the research facility confirming their collaboration.

To ensure that the document is displaying properly, applicants should open a copy of the uploaded document by selecting the open icon to the right of the document’s name after the document has been saved in Sapphire.

5. Certifying your application

Once all ‘My Profile’ details, application form details and supporting documents have been entered/uploaded, the application can be certified and submitted in Sapphire. Certification is required of both the CIA and Administering Institution. Refer to section 7.8 Certification and submission of the Guidelines for further details.

Before completing these steps:

- Review the application to ensure it is accurate and complete and meets all eligibility/application requirements. The following tools are available to assist applicants in

checking their applications:

- Applicants retain responsibility for confirming that their application satisfies the stated eligibility requirements.
- For funding schemes where the applicant has nominated a research budget, the summary tab automatically generates a summary of the requested budget from the relevant sections.
- A checklist for applicants applying for NHMRC funding is provided at section 6 of this Appendix of this document.
- Ensure you have read and understood the assurances, acknowledgements and undertakings required of CIAs and Administering Institutions as part of this step. These are outlined in section 7.8: Certification and submission of the Guidelines.
- Note that certification will lock down the application and prevent further editing. The final snapshot produced at this time will include relevant information from your 'My Profile' any subsequent changes to these areas of Sapphire will not appear on the application. If changes are needed after CIA certification but before submission to NHMRC, your RAO will need to reject the application in order for you to make the changes.

Instructions for certifying and submitting an application in Sapphire are provided in the [Sapphire Learning and Training Resources](#).

Once submitted to NHMRC, your application will be considered final and no changes can be made unless the application is withdrawn for amendment prior to the closing date.

6. Checklist for applicants

Before creating an application:

- Ensure Sapphire Accounts for all CIs are active and mandatory 'My Profile' fields are complete (indicated by an asterisk *).
- Familiarise yourself with the Guidelines and [Sapphire Learning and Training Resources](#).
- Check application lodgement close date and time.
- Update your Sapphire 'My Profile' in accordance with requirements set out in this document.
- Read the relevant ethical guidelines/associated documentation if ethics approval is required for the proposed application.
- Inform your RAO of your intention to submit an application.
- Be aware of any Administering Institution internal deadlines and requirements for submission.

During the creation of an application:

- Check any minimum data requirements.
- Check eligibility requirements.
- Complete all parts of the application.
- Create and upload your Grant Proposal.
- Identify any relative to opportunity considerations, including career disruptions, where applicable, within your application.
- Consider any Aboriginal and Torres Strait Islander requirements your application may have, including addressing any additional selection criteria.
- Make sure all required attachments are uploaded.

Before submitting an application:

- Read and understand the [Australian Code for the Responsible Conduct of Research, 2018](#). Submission of an application indicates that the Administering Institution and research team understand and will comply with all obligations set out in the Code.
- Check your compliance with formatting and page requirements.
- Ensure any Approvals or licences are acquired or applied for.
- Check all information is correct and complete.
- Familiarise yourself with your obligations should you be successful.
- Certify the application and ensure RAO certification and submission occurs before the close date and time.

Remember, your RAO is your primary contact for advice and assistance. RAOs will contact the Research Help Centre for further advice if required.