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## DFAT STRONGER SYSTEMS FOR HEALTH SECURITY CALL FOR RESEARCH UNDER THE INDO-PACIFIC CENTRE FOR HEALTH SECURITY SCHEME-SPECIFIC ADVICE AND INSTRUCTIONS TO APPLICANTS

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The following sections provide additional advice about parts of the application that are specific to the Department of Foreign Affairs and Trade (DFAT) Stronger Systems for Health Security call for research under the Indo-Pacific Centre for Health Security and must be read in conjunction with the following supporting documents:

- the *NHMRC Advice and Instructions to Applicants 2017*
- the *Guide to NHMRC Peer Review 2017*, incorporating the *DFAT Stronger Systems for Health Security call for research scheme-specific Peer Review Guidelines*
- *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines*

Applicants should be aware of the relevant DFAT requirements for this call, as highlighted where necessary throughout this document.

**Note:** The CIA and Administering Institution will need to be Australian. This is for administrative purposes only. We respect that the lead Chief Investigator may be from a overseas partnering country however, we request the lead Chief Investigator be listed as the CIB and an Australian Chief Investigator be listed as CIA in this case.

### Critical Dates\*:

Monday 9 October 2017	Applications open in RGMS
Wednesday 8 November 2017, 5pm AEDT	Minimum data due in RGMS
Wednesday 6 December 2017, 5pm AEDT	Applications close in RGMS
February 2018	NHMRC Grant Review Panel
March 2018	NHMRC provides outcomes of peer review to DFAT
April 2018	DFAT makes offer(s) to preferred applicant(s)

\*Dates are indicative and subject to change

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## 1. CV REQUIREMENTS

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Relevant sections of the Research Grants Management System (RGMS) CV must be completed as part of the application (refer to the [Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines](#)). DFAT Stronger Systems for Health Security call for research applicants are only required to complete those sections outlined below. Should more information than is required be entered only the required information will be imported into the application.

It is important that relevant CV information is up-to-date at the time of application submission

as it is imported into the application and used by assessors. CV information can be updated at any time. However, any changes made to the CV after CIA certification will not appear in the submitted application.

Instructions for entering CV information in RGMS are provided in the [RGMS User Guide - Introduction to RGMS](#). Additional advice on completing relevant parts of your RGMS CV is provided in the following sections.

### **1.1 CV-CD: Career Disruption (during the last 5 years)**

The NHMRC is committed to ensuring that every applicant is treated fairly, and this means that we recognise that some candidates will have had career disruptions that should be considered when evaluating their track record. If applicable, you (or members of your CI Team) should use this opportunity to declare any career disruptions that may be relevant to your career history. This will ensure that your track record, and the scientific quality are assessed objectively, taking all relevant factors into account.

For guidance on what constitutes a career disruption and how it is considered, refer to [Section 6.2.1 of the NHMRC Funding Rules 2017](#) and [section 4.7 of the Guide to NHMRC Peer Review 2017](#).

*For example, if in the last five years you have taken six months of maternity/carers leave and then returned to work at 0.5 Full Time Equivalent (FTE) for three years before resuming at a full-time level, you will have worked an equivalent of three years FTE over the past five years. You should therefore add any publications or other components of your Track Record that you want peer reviewers to consider predating five years by two years (see below for further details on how to capture this in your application).*

#### **Career Disruption**

Please select the nature of the career disruption from the drop down menu. If the career disruption is highly sensitive and the applicant does not wish to disclose the nature of the career disruption, indicate in this section that they wish to make a claim under sensitive career disruption provisions.

**Note:** Circumstances considered under section [6.2 of the NHMRC Funding Rules 2017](#) are not career disruptions. A Career Disruption is defined as a prolonged interruption to an applicant's capacity to work due to pregnancy, major illness/injury and/or carer responsibilities.

#### **Impact**

Provide a brief explanation on the impact the career disruption/s has had on your research and research achievements and associated productivity relative to stage of career.

(maximum of 2000 characters including spaces and line breaks)

#### **Additional Research Outputs**

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.

(Maximum of 2000 characters including spaces and line breaks).

### **Dates**

You are required to nominate the periods where you have had a disruption (approximate dates). Entries will be listed in reverse chronological order.

**Note:** the duration where career disruptions can be accounted for in the DFAT Stronger Systems for Health Security call for research is five years.

### **Further Advice on preparing your Career Disruption Claim**

If you have had an extended career disruption commencing prior to 2012 and ending within the last five years, it is advised that you briefly explain this in your application and nominate additional research achievements for the most recent year(s) without a career disruption.

For example, Person X had a career disruption due to illness which lasted two years from 2011-2012.

- The career disruption that meets NHMRC policy is only valid for one year (2012 which is within the last five years). Therefore, one year should be added to their track record.
- In this case, Person X would normally provide their research achievements for 2011.
- However, given that the career disruption included 2010, there would be no additional research achievements for 2011. In this instance, Person X would also provide research achievement details for 2010 (the last full time equivalent year worked prior to the career disruption).

**Note:** Applicants that have other circumstances that impact their track record (relative to opportunity) can record this information as part of their overall Track Record in the last 5 years under the *CI Track Record, including the Top 5 publications in the last 5 years* section of the Grant Proposal template.

## **1.2 CV-RO: Relative to Opportunity (during the last 5 years)**

If applicable, the applicant should use this opportunity to provide details on any relative to opportunity considerations and the effect this has had on their research and research achievements (see [section 6.2 of the NHMRC Funding Rules 2017](#) for information on what constitutes 'relative to opportunity').

### **Circumstance**

Provide a brief explanation of the type of relative to opportunity circumstance.

(Maximum of 200 characters including spaces and line breaks).

**Impact**

Provide a brief explanation on the impact this has had on your research and research achievements and associated productivity relative to stage of career.

*(Maximum of 1500 characters including spaces and line breaks).*

**Date**

You are required to nominate the periods where you have had a disruption (approximate dates). Entries will be listed in reverse chronological order.

**1.4 CV-TTP: Translation into Policy/Practice**

Provide details of any research that has resulted in changes to organisational or government policy/practice. Click 'New' to start a new entry for any activities which have resulted in research translation. Entries will be listed in reverse chronological order.

**General**

Provide a relevant short name for the impact of your research on policy or practice (50 characters). Select from the drop down list the type of impact on policy or practice.

**Your Research**

You should provide a brief description of your research that lead to this impact on policy or practice and the resulting outcomes.

*(Maximum of 1500 characters including spaces and line breaks).*

From the two drop down lists indicate the year of the research results and your role.

**Funding Source for Research**

Select from the tick boxes if the research was funded by NHMRC, other Australian institute or an international source.

**Details of Research Impact**

Provide details of the organisation, government department etc. that benefited from the research.

*(Maximum 200 characters including spaces and line breaks).*

Select the geographical extent of this impact on policy or practice.

Indicate the year the change was translated/implemented and provide details of the changes which resulted.

*(Maximum of 1500 characters including spaces and line breaks).*

**Note:** For schemes that limit the information presented to assessors (e.g. "last five years") the time period will be based on the date of translation (year of change), NOT the date of the original research.

## 1.1 CV-Pub: Publications

Publication information must be uploaded using a tab delimited file using Microsoft Excel® or by exporting your EndNote® Library as an .xml file. Applicants should verify that publication information has been correctly uploaded by requesting a CV Snapshot. Further details on how to upload publications are provided in the [RGMS User Guide - Introduction to RGMS](#) and on the CV-PU: Publication Uploads page in RGMS.

Your publications will be grouped together by the type of publication. They will also automatically be given an RGMS Identification Number (ID). **DO NOT** use the RGMS ID number or RGMS sequence number created in the 'Snapshot Reports' to refer to specific publications in other sections of your application.

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## 2. MINIMUM DATA REQUIREMENTS

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Minimum data must be entered into RGMS by 5pm Australian Eastern Daylight Time (AEDT) on 8 November 2017 to allow NHMRC and DFAT to start sourcing suitable assessors. Applications that fail to satisfy this requirement will not be accepted. Applicants are also reminded to complete the recommended fields below with correct information. Using placeholder text such as “text”, “synopsis” or “xx” etc. are not acceptable as minimum data.

Minimum data for DFAT Stronger Systems for Health Security call for research consists of the following:

- A-PA Application Properties (specifically the Administering Institution, Application Title and Synopsis)
- A-RC Research Classification
- A-RT Research Team including the names of team members if known (note: team members may be added or deleted after the minimum data deadline until the close of applications at 5pm on 6 December 2017).

**Please note:** Failure to meet this deadline will result in the application not proceeding (see the *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines for further information*).

Note: Research Administration Officers (RAOs) are not required to certify applications for the purpose of minimum data; applications should only be certified once complete and ready for submission (see the [NHMRC Funding Rules 2017](#) and [Advice and Instructions to Applicants 2017](#)).

**Note:** The above information will be used to identify review panels and assessors. Applicants are advised that any change made to the above fields after 6 December 2017 may impact the review of the application.

Completed applications must be submitted to NHMRC in RGMS by 5pm AEDT on the specified closing date. Late applications will not be accepted.

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### 3. SCHEME-SPECIFIC APPLICATION DETAILS

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The following sections of the application form are specific to the DFAT Stronger Systems for Health Security call for research, and must be completed as part of your application.

Step-by-step instructions for entering application details in RGMS are provided in the *Applying for Grants user guide* and *eLearning module* available on the [NHMRC website](#).

#### 2.1 B-AI: Application Information

**Have you sought agreement from Associate Investigators (AI) for their names to be included in this application?**

Select the appropriate option from the drop down box. Written evidence will need to be provided to your RAO that all AIs have agreed to be named on the application.

#### 2.2 B-PBRF: Proposed Budget – Research Facilities

Applicants often need to receive services from research facilities to enable their research to be successfully undertaken.

Such research facilities include biospecimens and associated data from biobanks or pathology services, and from organisations such as non-human primate colonies, the Australian Twin Registry, Cell Bank Australia, the Trans-Tasman Radio Oncology Group and from organisations that provide clinical trials services.

**Is this application using services provided by a research facility?**

If you answer 'Yes', provide details of the costs of using services provided by research facilities under B-PB: Proposed Budget – DRC And Equipment as Direct Research Costs (DRCs) and ensure they are fully justified.

Applicants should consult with research facilities to ensure that the services they require can be provided and that the charges included in the research budget reflects their charges. Letters from research facilities confirming their collaboration must be uploaded on this page.

#### 2.3 B-PB: Proposed Budget – Direct Research Costs (DRC) and Equipment

Enter details of the proposed research budget. Details on permitted uses of DFAT funds and setting of budgets can be found in the *Stronger Systems for Health Security Call for research Competitive Aid Grant Guidelines*. For proposed research budget items, you must enter:

- the item type (e.g. Direct Research Cost, Equipment, etc).
- the name/description of the item;
- the total value of the item requested for each year; and
- a justification for the particular item requested. This information must be aligned

with the proposed aims of the study, be detailed on a yearly basis and be fully justified (including, in the case of equipment, why the equipment cannot be provided by the Institution).

(Maximum of 500 characters including spaces and line breaks).

Please note:

- DFAT will fund the direct costs of research based on advice from peer review. Applicants should accordingly provide detailed justification of budgets requested and poorly justified budget proposals run the risk of having their budget adjusted, in accordance with [Section 8 of the NHMRC Funding Rules 2017](#).
- Funding cannot be used for infrastructure.
- There will be no provision to increase funds for any reason.

**Note:** Personnel Support Packages (PSPs) are requested under section 'A-RT: Research Team and Commitment'. The inclusion of Chief Investigator/s from institution/s in countries in Southeast Asia and the Pacific is encouraged. For Personnel Support Packages requested for team members local to low and middle income countries, requests should reflect the rate of pay relevant to that country, with consideration given to conversion rates. Applicants should review the *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines* for relevant guidance. Further information on PSPs rates is available at <https://www.nhmrc.gov.au/grants-funding/apply-funding/budget-mechanism-funding-commencing-2018>.

The total annual amount requested across all DRC line items for each year of a grant will be automatically rounded to the nearest \$5,000 by the application form. The final rounded number is available at the 'summary' tab of the application form.

## 2.4 B-GP: Grant Proposal

Attach/upload your Grant Proposal as a PDF file using the template outlined below. This is a key source of information for assessors and must comprise the following components.

Component	Page Limit
Cover Page	1 page
Research Proposal	11 pages
CI Track Record <i>including</i> the Top 5 publications in the last 5 years	2 pages per CI
Associate Investigator (AI) Contribution, if applicable	¼ page per AI
References	4 pages

A pre-formatted Microsoft Word template for the Grant Proposal can be downloaded from the [Business Notifications page of the DFAT website](#). Applicants must use this template to complete their Grant Proposal. Naming, size and formatting requirements are set out in the *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines*.

Applications that fail to comply with these requirements or the above page limits may be excluded from consideration (refer to *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines*).

Applicants and Research Administration Officers (RAOs) are advised to retain a copy of the PDF file. If printing the PDF file for the purposes of checking formatting and page length, ensure that Page Scaling is set to 'None' in the print settings.

A brief description of each component is provided below.

## **A. Cover Page – 1 page**

The cover page should include:

- a) List of countries which are focus countries of the research and capacity building activities in the proposal
- b) List of countries where the activities outlined in the proposal will be delivered
- c) List of international partners, partner types, countries located and a summary of their role in the project, and
- d) List of Australian partners and partner types.

Types of partners may include (and are not limited to) universities, research institutions, in-country government organisations, health services, non-government organisations, and private sector organisations.

## **B. Research Proposal**

### ***Response to Assessment Criteria – 9 pages***

Address the Assessment Criteria as specified in *Stronger Systems for Health Security call for research Competitive Aid Grant Guidelines*. All text in this component must be under the heading of the Assessment Criterion that is being addressed. Headings must be 12pt, bold and include the Assessment Criterion number and title.

Responses should provide enough information so that the research methodology can be assessed by the reviewers. Applicants must note that assessors will consider the reproducibility and applicability of the proposed research. Research proposals must use scientifically sound methodologies to minimise the risk that chance, bias and confounding effects will cause uncertainty in the research outcomes. These will be assessed by the Grant Review Panel.

### ***Approach to risk, safeguards and cross-cutting issues – 1 page***

One page of the proposal should be used to present information under the heading 'Approach to risk, safeguards and cross-cutting issues' in 12pt, bold font.

As per Assessment Criterion 3 'Rigour of proposal', proposals will be assessed in relation to how they address risk. Proposals must outline the applicant team's approach to risk in relation to the proposal, including minimising fiduciary risk.

Proposals must outline the applicant team's approach to child protection. Proposals must



outline whether, how and where projects will involve contact with children and/or working with children. If so, then proposals must outline how child protection will be addressed in the project and in the ethics application/s required to be completed for successful proposals.

All organisations (including all partners in a consortium) *must* comply with the *DFAT Child Protection Policy* (March 2017), available at: <http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx>

Further information on safeguards and DFAT's approach to aid risk management is available at: <http://dfat.gov.au/aid/topics/safeguards-risk-management/Pages/default.aspx>

Proposals will also be assessed in relation to gender and social inclusion under Assessment Criterion 3 'Rigour of proposal'. Applicants are therefore advised to outline their approach to 'do no harm' and protecting women and girls, and social inclusion.

Further information about DFAT's approach to gender equality and disability inclusion is available online:

*Gender equality and women's empowerment strategy* (February 2016), available at: <http://dfat.gov.au/about-us/publications/Pages/gender-equality-and-womens-empowerment-strategy.aspx>

*Development for All 2015-2020: Strategy for strengthening disability-inclusive development in Australia's aid program* (May 2015), available at: <http://dfat.gov.au/about-us/publications/Pages/development-for-all-2015-2020.aspx>

### ***Stakeholder engagement and community engagement – 1 page***

Up to one page of the proposal should be used to present information under the heading 'Stakeholder engagement and community engagement' in 12pt, bold font.

DFAT requires clear articulation of planning in relation to stakeholder engagement and community engagement in the proposals. Relationships and effective communications are considered integral to successful project planning and implementation. DFAT also needs to consider the effective management of its network of relationships which will potentially be related to or affected by the proposed relationships required for the implementation of successful proposals under the DFAT Stronger Systems for Health Security call for research.

The applicant team will be expected to include details in their proposal about how they expect to achieve the successful engagement required to facilitate good working relationships with key stakeholders; and to maximise the likelihood of research uptake in the proposed focus countries. Applicants will therefore be required to outline their approach to communications and stakeholder engagement with DFAT Canberra, at relevant Posts in countries of proposed operation, with relevant in-country government organisations and with other key stakeholders throughout the life of the project. The applicant team should explain who they have determined the end users to be within their proposal, and outline how end users have been considered in proposals. Community and consumer participation would form part of this analysis.

The applicant team should briefly outline any conflicts or direct support their applications will lend to existing policies and programs of in-country governments or DFAT bilateral programs in the proposed focus countries for the proposal and its delivery. If any conflicts of this nature are anticipated then the applicant team should place additional emphasis on explaining the importance and relevance of the proposal to strengthening health security; and proposed risk mitigations. DFAT expects any issue the applicant team anticipates is currently or may become particularly sensitive with affected communities or partner governments to be addressed in the proposal under this heading.

### **C. CI Track Record, including the Top 5 publications in the last 5 years – 2 pages per CI**

This section has two components:

- the top 5 publications in the last 5 years, and
- overall track record in the last 5 years.

In accordance with the San Francisco Declaration on Research Assessment, NHMRC has eliminated the use of Journal Impact Factors and 'Excellence in Research Australia' metrics in the assessment of applications. NHMRC requires assessors to consider a broad range of measures in the assessment of an applicant's research achievement. Applicants should therefore have regard to [section 4.8 of the Guide to NHMRC Peer Review 2017](#) and the category descriptors when completing this section.

**Note:** Reviewers will use this section to assess the track record quality of the research team.

#### **Top 5 Publications in the last 5 years**

Applicants are asked to list their top 5 publications in the last 5 years and reasons why these publications have been selected.

#### **Overall Track Record in the last 5 years**

Applicants are encouraged to use this section to identify aspects of their track record that are in addition to their publication record that has been listed in the CV section. This includes any relative to opportunity considerations you wish the assessors to take into consideration.

Applicants are asked to list their:

- top 3 examples of research translation, and
- top 2 examples of highly effective engagement and communication processes and management.

The following areas should also be considered:

- career summary - including qualifications, employment and appointment history
- research support - including grants and fellowships
- contribution to field of research – this may include the impact of previous research including translation and commercialisation of research into health outcomes
- patents – this information should include the type of patent, if the patent has been granted, when it has been granted, to whom it has been granted and if it 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, and
- other information you think is vital to your application.

#### **D. Associate Investigator (AI) Contribution, if applicable – ¼ page per AI**

For each AI named at Part A-RT: Associate Investigator, outline their contribution to the research project.

There are no restrictions on individuals who may be named as an AI on an application. However, a maximum of 10 AIs may be added to the application.

#### **E. References – 4 pages**

References relating to the Research Proposal must:

- not exceed 4 pages
- provide a list of all references cited in the application in an appropriate standard journal format, preferred formats include: 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
- not include web links
- only include references to cited work, and
- must be written in English.