

NIHR Academy

## **Guidance Notes**

NIHR Research Professorships

Round 10, 2019

&

NIHR Global Research Professorships

Round 3, 2019

## Introduction

The vision of the National Institute for Health Research (NIHR) is to improve the health and wealth of the nation through research. Since 2015, NIHR's expertise is also being used to address issues affecting people in low- and middle-income countries (LMICs).

The effective translation of research into practice remains a high priority. Research leadership gaps exist at two key stages in the innovation pathway; firstly, in translating new fundamental discoveries into improved treatments for patients, and improvements in public health and care; and secondly, in evaluating promising ideas to drive into routine clinical and care practice.

In order to address this, the NIHR is making available a limited number of prestigious NIHR Research Professorships and NIHR Global Research Professorships. The objective of these awards is to fund leaders in the early part of their careers to lead research, to promote effective translation of research ('bench to bedside' [T<sub>1</sub>] and 'campus to clinic/practice' [T<sub>2</sub>]) and to strengthen health, public health and care research leadership at the highest academic levels.

Up to five NIHR Research Professorships will be available in this tenth round, with up to a further two additional awards being made for the third round of the NIHR Global Research Professorships only. The posts aim to:

- Enable outstanding early career academics to spend a fixed 5 year period dedicated to translational (T<sub>1</sub> or T<sub>2</sub>) research at Professorial level;
- Facilitate strong research leadership and develop research capacity in areas critical to accelerating the transfer of research ideas into improved health, public health and care.

Each award will consist of a package to support a professorship, including one doctoral and two post-doctoral appointments, research running costs, a travel fund, a leadership and development programme, including access to the NIHR Leadership Programme, the opportunity to request a sabbatical and the basic salary costs of the individual (plus indirect costs, for the lead nominating body which will be a Higher Education Institution (HEI)).

## Eligibility

### NIHR Research Professorships

This scheme is open to all professions and all Higher Education Institutions (HEI), in partnership with NHS organisations, or other providers of health, public health and/or care services based in England only, to nominate health, public health and adult social care researchers, and methodologists with an outstanding research record of clinical and applied health, and/or care research and its effective translation for improved health and care. The nominating (lead) organisation must be a HEI.

A maximum of two nominations will be permitted per HEI for the NIHR Research Professorships.

The following conditions apply:

- Where two nominees are put forward for consideration for the NIHR Research Professorship, at least one of these must be female;
- Where only one nominee is put forward for consideration for the NIHR Research Professorship, this could be male or female.

### NIHR Global Research Professorships

This scheme is open to all professions and all Higher Education Institutions (HEI) based in England and the Devolved Administrations, to nominate health, public health and social care researchers and methodologists with an outstanding research record of clinical and applied health, public health or care research and its effective translation for improved health and welfare of people in LMICs. For this scheme, the partner organisation(s) can be based in a relevant LMIC. The nominating (lead) organisation must be a HEI.

A maximum of one nomination will be permitted per HEI for the NIHR Global Research Professorships. This is in addition to nominations for the NIHR Research Professorship.

The NIHR Global Research Professorship is funded by Official Development Assistance (ODA) and as such nomination must be for a candidate undertaking research which aims to directly and primarily benefit patients and the public in countries on the Organisation for Economic Co-operation and Development's Development Assistance Committee List of ODA Recipients ([OECD DAC list](#)).

The following conditions apply:

- The one nominee put forward for consideration for the NIHR Global Research Professorship, could be either male or female.
- The application must fulfil ODA eligibility criteria with the research focussed on people in LMICs. Applications must demonstrate:
  - Which country or countries on the [OECD DAC list](#) of ODA eligible countries will directly benefit;
  - How the application is directly and primarily relevant to the development challenges of those countries; and
  - How the outcomes will promote the health and welfare of a country or countries on the [OECD DAC list](#).

Where researchers wish to work with middle-income countries on the OECD DAC list the application should demonstrate how the research will benefit the health and welfare of the poorest and/or most vulnerable groups of people in those countries and how their findings could have wider applicability to other low-income countries.

Support will be available for any field of applied global health, public health and care that meets the ODA eligibility criteria outlined above, however, we particularly encourage multidisciplinary applications addressing under-funded and/or under-researched areas which could have a significant impact on mortality and/or morbidity in LMICs.

Research can be conducted in the UK or LMIC(s), providing the research outputs are of direct and primary relevance to the health and care challenges of LMICs. It is expected that in the vast majority of NIHR Global Research Professorship nominees undertaking research in a LMIC will be a primary component of the proposal. Funds for research activity taking place in LMICs will need to be routed through the lead UK HEI at which the nominee is employed.

Collaboration with researchers in [OECD DAC list](#) countries is essential. NIHR Global Research Professorship nominees will be required to have existing strong collaborations or links with collaborators or partners in institutions in countries on the [OECD DAC list](#) and the award should plan to strengthen these/support training and capacity development/mentorship in these partners.

### **General**

It is recommended that partnerships undergo an internal selection process to prioritise which candidates to take forward for nomination. If more than two applications are submitted for an NIHR Research Professorship, the host institution will be instructed to prioritise two and the others will be removed from the process. An additional application can be made for an NIHR Global Research Professorship, however, if more than one application is submitted the host institution will be instructed to prioritise one and the others will be removed from the process.

Competitive candidates will demonstrate a steep career trajectory over the last 5-10 years, on course to becoming the country's most outstanding research leaders. They will currently be at an early career stage having **spent no more than five years at their current level of seniority at the time of application** (whether as a Professor, Reader, Senior Lecturer/Fellow, Clinician Scientist, Group Leader or similar). Nominees at/close to the Professorial level should be qualified for a Professorship within the coming few years or recently have been appointed as a Professor (full Professor, not Associate or Assistant). They should not already be established leaders in their field, but be on an upward trajectory to become leaders after the period of the award.

**NIHR Senior Investigators are not eligible to apply as they are considered to be already beyond the scope of this scheme.**

Nominees should be working in the fields of experimental medicine, public health, health services research, social care research or methodological research. Such individuals should be seen as

research leaders within their field in the UK or abroad. They should have a demonstrable record in effective translation of research into improved health, public health or adult social care.

Nominees who were unsuccessful in previous rounds of the NIHR Research Professorships or NIHR Global Health Professorships schemes, will be eligible to be re-nominated by the institutional partnership, if they meet the criteria.

**Applications would be particularly welcomed in this round from public health, social care and non-medical healthcare professions, and also from HEIs who have not previously or do not regularly nominate candidates for the NIHR Research Professorships scheme. For the NIHR Global Professorship this includes applications from the Devolved Administrations.**

We have previously received applications from some public health, social care and non-medically qualified healthcare professions; however these numbers have been small and we would like to see these increase. These include, but are not restricted to:

Health economists, medical statisticians, methodologists, epidemiologists, nurses, midwives, allied health professionals (speech & language therapists, occupational therapists etc.), dentists, health care scientists, social workers, social care staff, social scientists, non-medical public health practitioners, clinical psychologists, analytical chemists, anthropologists, pharmacists, research scientists, nutritionists, medical physicists, medical engineers, radiographers, bio-mechanical engineers, bio-statisticians and bio-informatics.

For those not directly involved in delivering clinical, public health or care services, you will need to demonstrate how you will link with clinical, public health or care practice colleagues in order to deliver your research for the benefit of patients, public health or adult social care users.

## Scope of funding

**NIHR Research Professorships and NIHR Global Professorships are personal awards and are not project or programme grants; therefore, extensions to the duration of awards to allow for completion of research and/or leadership and development are not permitted. This doesn't affect suspensions of awards to allow for periods of maternity, paternity, adoption or sickness leave for the Professor only.**

NIHR Research Professorships and NIHR Global Professorships are fixed term 5 year appointments (a maximum of 60 months).

Nominees may exceptionally undertake the award on a part-time basis; however this would need to be discussed with the NIHR Academy before submission of the application. Research Professorships are awarded for a maximum duration of 5 years, whether full time or part time.

The award will consist of a package to support a professorship, three support posts, research running costs, a travel fund, access to the NIHR Leadership Programme, the opportunity to request a sabbatical, as well as the basic salary costs of the individual (plus indirect costs, for the HEI nominating body).

The full cost of a clinical trial will not be met by this award; nominees must seek grant funding from elsewhere to cover these costs.

## *Nominee*

### **NIHR Research Professorships**

The majority of NIHR Research Professors' time will be spent on research; however a continuing link with service delivery will be an essential part of leading research translation, pulling through ideas into the clinical, public health or adult social care arena.

NIHR Research Professors will be funded to continue to spend **up to 2 sessions per week delivering service directly or**, if the nominee is not a health, public health or care professional, **an equivalent time collaborating with others to facilitate service delivery.**

The award will release the NIHR Research Professor from all local and regional administrative and managerial roles.

In the case of doctors, salary costs covered will exclude payments for any Clinical Excellence Awards, which if national, should continue to be funded centrally, and if local should be met by the NHS employer.

### **NIHR Global Research Professorships**

The expectations for the NIHR Research Professorships also apply to the NIHR Global Research Professorship, however, NIHR Global Research Professors will be funded to spend the equivalent time delivering services directly in the [relevant LMIC](#) or **have relevant collaborations which can be supported to fulfil this**. Equally, if the nominee is not a health professional, **an equivalent time collaborating with others to facilitate service delivery in the relevant LMIC**.

The nominee should make clear how support for service delivery will be maintained alongside the research commitment.

### **Support Posts**

#### **NIHR Research Professorship**

Three support posts are available to accompany both types of Professorship.

- Post-Doctoral post (5 years)

This post will be available for the full 5 year period of the Professorship and attracts a £3,000 contribution towards training and development, including conference costs. The post will be funded at 80%\*, as it attracts full economic costing.

**The acceptable basic salary range for this post is £31,614 - £54,741.**

- Post-Doctoral post (3 years)

This post is only available for 3 years within the 5 year period of the Professorship. NIHR will only fund the salary for this post (Basic + National Insurance + Superannuation); however this will be at 100%, as this post does not attract full economic costing. The post does not attract any project costs nor training and development costs from NIHR.

**The acceptable basic salary range for this post is £31,614 - £54,741.**

- Doctoral Post (3 years)

This post is only available for 3 years within the 5 year period of the Professorship. NIHR will only fund the salary for this post (Basic + National Insurance + Superannuation); however this will be at 100%, as this post does not attract full economic costing. The post does not attract any project costs nor training and development costs from NIHR.

PhD fees should also be included for this post; however these are capped at the UKRI rates, which are currently set at £4,260 pa.

**The acceptable basic salary range for this post is £28,000 - £40,100.**

**All of the above posts, including any associated funding, will terminate with the end of the Professorship, therefore early recruitment is recommended. Should any of the appointments extend beyond the fixed 5 year term of the Professorship, including for statutory reasons (maternity/paternity, adoption or sick leave), the nominating organisation will be expected to continue to provide ongoing support.**

**Project costs, travel and subsistence, training and development and equipment (e.g. laptops, software) costs may not be claimed for the two 3 year posts. Any travel and subsistence, and training and development costs for the 5 year post must be within the £3,000 limit.**

## **NIHR Global Research Professorships**

For the NIHR Global Research Professorship the Professor and three support posts do not have to be based at a UK HEI. UK staff can be based in an LMIC institution, providing the employment contract is maintained and managed through the UK HEI.

Staff normally employed in an LMIC institution would require a sub-contract or collaboration agreement between the UK HEI and LMIC institution.

Where staff will be based remotely from the NIHR Global Research Professor for significant periods of time, whether in a UK HEI or an LMIC institution, appropriate provision must be set out to ensure sufficient support and supervision.

NIHR Global Research Professors can travel overseas for field work, collaboration and to ensure support and supervision. Support Staff may also travel overseas where there is a clear rationale and research need for them to do so. A clear case for how this contributes to their own capacity building should also be defined.

All such options or proposals must be justified in the application from a scientific, career development and finance perspective.

*\*For an NIHR Global Research Professorship the Post-Doctoral post will be funded at 80% if employed at a HEI in England or the Devolved Administrations as it attracts full economic costing. Where employed by an LMIC institution where full economic costing does not apply NIHR will fund the salary for this post at 100%.*

*\*\*For an NIHR Global Research Professorship where the majority of research activity is taking place in an LMIC or the post is taken up by an individual based in an LMIC institution travel costs will be considered within the overall budget.*

## **Leadership & Development**

The award may also be used in part to meet the costs associated with continuing national and international research leadership and collaboration. As such, other opportunities for international collaboration, such as sabbaticals, may be considered as part of this award, provided that it is justified and relevant. NIHR will consider requests on a case by case basis.

## **Nominating Institutions**

Awards will be made to the lead HEI within the partnership, as the employing organisation.

Nominations are only eligible from HEIs working in partnership with NHS organisations or commissioners or providers of, public health and/or care services, based in England for the NIHR Research Professorships, and based in England and the Devolved Administrations for the NIHR Global Research Professorships. For the NIHR Research Professorships, as the lead (employing) organisation will be a HEI, the application should make clear the arrangements with partner organisation(s) which will enable the nominee to work with service providers to translate research into practice.

Nominating organisations must demonstrate in specific detail within their application a commitment to the ongoing employment of the nominee beyond the duration of the award. The NIHR Academy will require assurances from the nominating partnership that any existing funds freed up by the award will be recycled to increase research capacity for the Professorship.

In order to address this, host institutions will need answer the relevant questions in the Leadership & Development and Research Support section and clearly document out how the salary costs will be recycled and what additional support will be provided that will directly benefit the applicant. This will be used as part of the evaluation process and should the Selection Committee deem the support for the nominee to be insufficient, then it is highly unlikely that an award will be made.

By the end of the 5 years of the award, NIHR Research Professors will be expected to:

- Have established at least two major international collaborations;
- Have demonstrated leadership at a national level;
- Have been developed and protected by their institutions, including being relieved of administrative tasks at the local and regional level so that they can concentrate on their Professorship.

In addition, NIHR Global Research Professors will be expected to:

- Enhance existing collaborations with institutions in LMICs and establish new collaborations.
- Support training and capacity development/mentorship within UK and LMIC institutions that enhances research capacity for global health and care.

## Transfer to a new host institution

The Award Holder may request to transfer their NIHR Research Professorship to another English based institution; however it is not permissible to move within the first 12 months of the award term. Similarly, NIHR Global Research Professors may request to transfer their NIHR Global Research Professorship within England and the Devolved Administrations.

Award holders should contact the NIHR Academy in the first instance when considering a move to another institution.

Clear justification for the transfer to the new host institution will be required.

Specifically, Award Holders may move for the following reasons:

- For research purposes;
- Where the host institution has been deemed not to have delivered the levels of support agreed, as outlined within the statement of support section of the application.

Permission to transfer the award will be required from the NIHR Academy.

Such a move carries the expectation that the new proposed institution will make an ongoing commitment to the award holder and as such will be required to submit a new statement of support to the NIHR Academy.

## Eligible Research

NIHR supports early translational, clinical and applied health research, public health and care research. The proposal must have **clear potential for benefitting patients, public health and care users and carers**. The research can involve: patients, the public, care users and/or carers; and/or their samples or data; populations; health technology assessment; or health services research.

Please note that NIHR Research Professorships and NIHR Global Research Professorships are aimed at those undertaking translational (T1 or T2) research and **do not support basic research or work involving animals or their tissue**. Any applications involving these areas of work going forward will be deemed ineligible.

## Application Procedure

### Timetable

**Applications must be submitted to the NIHR Academy using the online application system by [Wednesday 20<sup>th</sup> November 2019 at 1.00pm](#).**

All submissions via the online application system must be in English.

18 <sup>th</sup> September 2019	RP Round 10 and GRP Round 3 applications open
20 <sup>th</sup> November 2019	Closing date for Stage 1 applications
December 2019– February 2020	Assessment of eligible applications by Selection Committee
February 2020	Shortlisting for external peer review
February 2020 – April 2020	External peer review
W/C 27 <sup>th</sup> April 2020	Open for Stage 2 applications
W/C 25 <sup>th</sup> May 2020	Deadline for submission of Stage 2 applications
W/C 22 June 2020	Interviews – Central London

Costs of return travel from the applicant's usual place of work to the interview by the most direct and economic route will normally be reimbursed.

## **Assessment of Applications and Outcome**

Applications will be considered by a Selection Committee.

The NIHR Academy will inform nominees as soon as possible after a final decision has been taken on their application following eligibility checks and shortlisting.

Nominees who are interviewed will usually be notified of the decision as soon as possible after funding arrangements have been confirmed.

The Selection Committee's recommendations will be considered by the Chief Scientific Adviser for the Department of Health and Social Care to inform funding decisions.

Research Professorships cannot be deferred.

Research projects undertaken as part of a NIHR Research Professorship may be included on the NIHR Clinical Research Network Portfolio. The Research Design Service (RDS; <http://www.rds.nihr.ac.uk/>) supports NIHR Clinical Research Network Portfolio project research applications.

## **Start Dates**

Successful nominees will be expected to start their award on one of the following dates only:

- 1<sup>st</sup> October 2020;
- 1<sup>st</sup> November 2020; or
- 1<sup>st</sup> December 2020.

## **Themed Calls**

NIHR Professorships will be participating in the NIHR Themed Calls. It is anticipated that the NIHR themed calls will be launched in October 2019. For further details please see the NIHR Themed Calls website <https://www.nihr.ac.uk/funding-and-support/themed-calls/>

## **Assessment Criteria**

All applications are assessed on the following criteria:

- Demonstration of the nominee's current capabilities as a research leader;
- The outputs from and impact of research undertaken to date;
- The success of the nominee in securing funds for their research to date;
- Demonstration of a steep career trajectory to date over the last 5-10 years;
- The likelihood that the nominee will make a long-term contribution to translational research, capacity building and research leadership in their chosen field in the UK;
- The projected impact of the NIHR Research Professorship on the nominee's career and future research trajectory;
- The quality of the proposed research programme and the likelihood of it securing future external funding;
- The suitability of the proposed partnership between the HEI and NHS organisation or other provider of public health and/or care services and programme for the development of the Research Professor;
- The commitment of the proposed host institution to support the nominee in the short, medium and long term and commitment of the provider to empowering promotion of translation at a local level;

- The strategic significance and value of the nominee and their research to the host institution at a local and national level;
- The appropriateness of resources claimed and whether the total funding requested represents good value for the use of public/NIHR funds.

In addition, for NIHR Global Research Professorship applications:

- Global health or care need: evidence as to how and why a specific issue or discipline has been identified for research as an LMIC priority area and unmet need (which may include engagement with relevant stakeholders e.g. policy makers, practitioners, patients, service users, carers), and how the research programme and partnerships will address this;
- ODA eligibility:
  - Will the research directly benefit a country or countries on the OECD DAC list of ODA eligible countries?
  - Is the proposal directly and primarily relevant to the development challenges of this country/these countries?
  - Could the proposal's outcomes promote the health and welfare of a country or countries from the OECD DAC list of ODA eligible countries?
- Where researchers wish to work with middle-income countries on the OECD DAC list the application should demonstrate how the research will benefit the health and welfare of the poorest and/or most vulnerable groups of people in those countries and how their findings could have wider applicability to other low-income countries.
- The likelihood that the nominee will make a long-term contribution to translational research, capacity building and research leadership in their chosen field in the OECD DAC list country or countries in which they are working;
- A strong track record in global health, public health or social care, and evidence of relevant and substantive collaborations and partnerships to support the application. Evidence of input by collaborators to the content and design of the proposed research programme, and an outline of how they will be equitably engaged throughout implementation, analysis, reporting and dissemination.
- The suitability of the proposed partnership and programme for the development of the Research Professor;

## **Application Submission Process**

Due to the two stage process, a number of items of information will now only need to be provided should your application progress to Stage 2.

Whilst detailed information on Patient and Public Involvement (PPI), Management and Governance, and Finances will not be required until Stage 2, it is expected that a brief account of any PPI and any intellectual property arising from this research will also be interwoven within the Detailed Research Plan section in Stage 1. Please note that for Global applications, it is expected that any resulting intellectual property arises as a result of joint UK and LMIC activity we expect that arrangements are made to ensure equitable and fair distribution of intellectual property rights

The average cost of a Research Professorship is between £1.5m to £1.7m. Costs may be slightly higher or lower than this depending upon the research being undertaken; however any project over £2m will need to be re-profiled to bring it under this figure, if successful at interview for NIHR Research Professorships and during Stage 2 for the NIHR Global Research Professorships.

**By authorising and submitting an application the HEI is accepting the process by which an application is assessed and agreeing to abide by the conditions under which an award may be offered.**

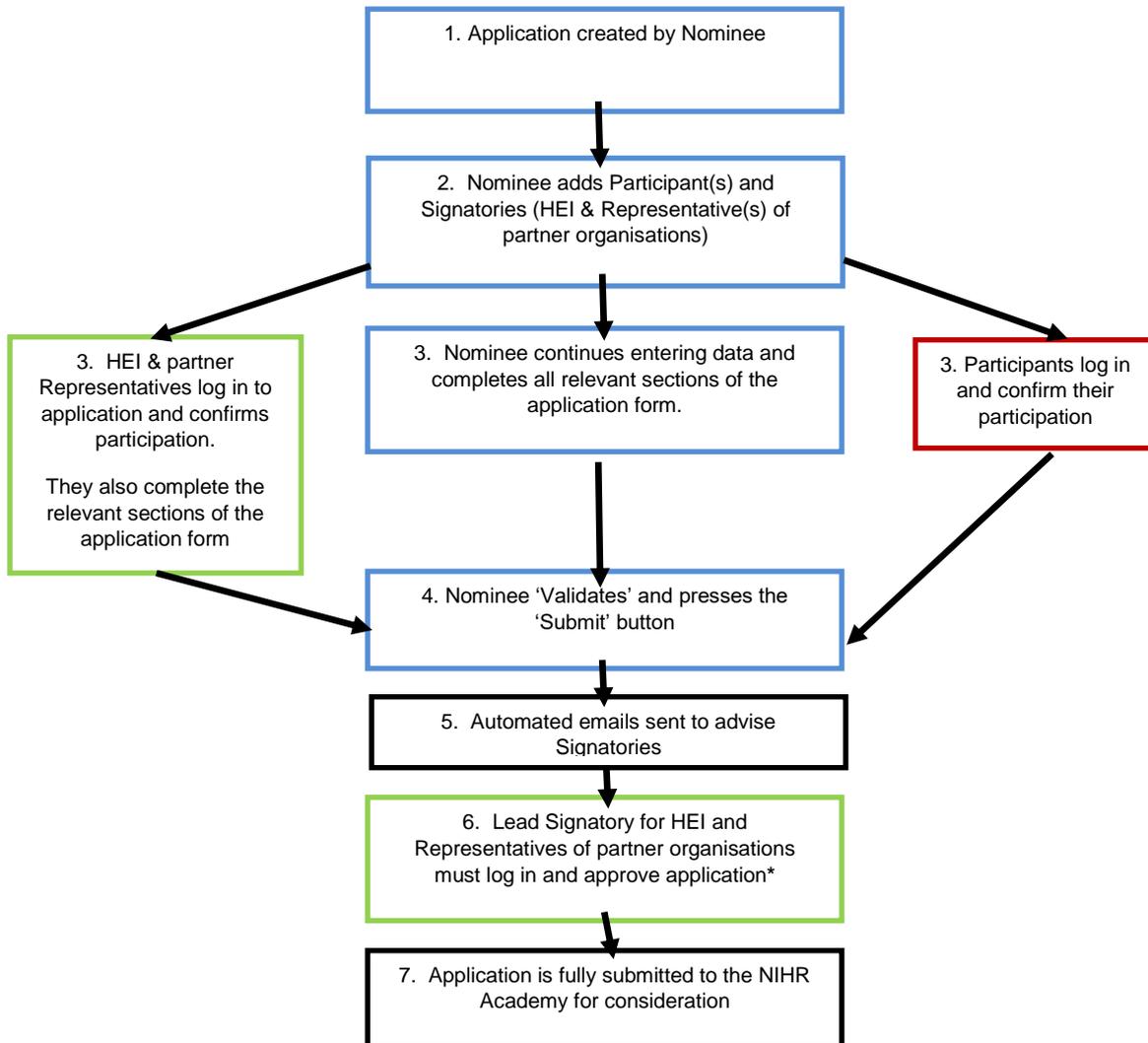
As the nominating organisations will need to confirm their participation in the application and then complete their relevant sections, it is recommended that the signatories section is completed as soon as is practically possible in order to allow them access to the form.

***Please note: when the form is complete and all validation errors have been addressed, the nominee may submit their application. Clicking the submit button does not send the application to the NIHR Academy for consideration; it alerts the authorised signatories that the form is ready for final approval. Only when all signatories have approved the application is it then complete and is submitted to the NIHR Academy. Please allow plenty of time before the closing date for this process to take place.***

Guidance on the submission process will be provided to those candidates invited to submit a stage 2 application.

## Application Submission Process - Flow Diagram

### STAGE ONE APPLICATION



\* Rejection of the application by any individual at Stage 6 will return the application to Stage 3

#### Key

- Applicant
- Participants
- Signatories
- Process

## Stage 1 Guidance

### 1. Application Summary Information

#### Host Organisation

Please give details of the organisation who will be the contractor if the award is funded. Please note that this must be an HEI in England for the NIHR Research Professorships and an HEI in England or the Devolved Administrations for NIHR Global Research Professorships.

Please note that we expect the applicant's proposed host organisation (substantive employer) to act as the contractor.

Please also bear in mind that:

- The contractor is expected to respond to annual financial reconciliation exercises, provide the final financial reconciliation statement for the award and to provide ad hoc requests for financial information during the lifetime of the award.
- In the same way, the contractor is expected to respond to any queries relating to Intellectual Property, commercialisation and benefit realisation.

If the name of your host organisation does not appear in the pre-populated list please email [academy-awards@nihr.ac.uk](mailto:academy-awards@nihr.ac.uk)

#### Partner Organisation (where applicable)

Please give details of the partner organisation who will be supporting this application.

#### Research Title

The programme title should state clearly and concisely the proposed research. Any abbreviations should be spelled out in full.

#### Devolved Administrations

Please note that those applying from the devolved administrations can only do so for the NIHR Global Research Professorships. This is due to these awards being funded via ODA.

NIHR Research Professorships can only be based in England, due to these awards being funded via NIHR. In this case please choose the 'No' option.

#### Research Type

Select the appropriate research type. If you are not sure which category to select, choose the closest match to your project as this can be adjusted later. NIHR definitions of these terms can be found here: <https://www.nihr.ac.uk/glossary>.

#### Proposed Start Date

Note this should be from 1st of the month regardless of whether this is a working day or not. Please be realistic about your possible start date taking account of the necessary contracting, and staff recruitment prior to starting your project.

#### WTE of Award

Awards can only be undertaken with the WTE options given. Research Professorships can only be undertaken over 60 months.

### Estimated Research Costs

Enter the total amount of research costs requested (not including NHS Support & Treatment costs). Please enter the 100% cost whether HEI (FEC) or NHS.

### Estimated NHS Support & Treatment costs or external (not NHS) intervention costs

Enter the total amount of NHS support and treatment costs or external (not NHS) intervention costs associated with this proposal. Please be aware that the Professorship award will NOT include NHS Support and/or Treatment Costs.

## 2. Applicant CV

Please note some of the responses to these questions are automatically pulled through from information you have entered in the 'Manage My Details' page.

### Degrees and Professional Qualifications

Please give the full details of any completed higher degree(s) and, where relevant, the full details of any higher degree(s) you are currently undertaking.

### Present and previous positions

When entering details of your current and previous positions please indicate at what percentage (WTE) in each post you were undertaking research. For example, if you were a Clinical Lecturer and undertook research for 2.5 days a week and clinical work for 2.5 days per week; please enter 50% for that position. If you have worked part time at 60%, and undertook research for half of that time, please enter 30% for that position. This information is used to calculate your eligibility for schemes.

### Research grants held

Details of all grants obtained in the last five years should be provided, including personal research training awards or fellowships, plus any additional previous grants relevant to this application. Please indicate clearly any co-applicants and provide brief details of the nature and full extent of your involvement (e.g. project design, project management, day to day running, data collection, data analysis, writing papers for publication, etc.).

Please also include in the 'Role in Research Grant' box for each entry: registration number and name of registry and the DOI of the main related publication. Where the study is still ongoing or final results have not yet been published, please provide an estimated publication date. This is inline with the [NIHR policy on clinical trial registration and disclosure of results](#).

These details relate to the nominee only. Information on the grants/awards held by the nominating institutions is no longer required.

**Please note that your research grant record must be completed within the application form and not via the CV section on ARAMIS.**

### Publication Record

Please download and complete the word template from the NIHR Research Professorships webpage. Please do not list all publications in the 'Manage My Details: Update CV' section.

#### Peer Reviewed Publication Summary

Please provide details of the most significant 20 original, peer-reviewed publications that would be of relevance to this application from the last 5 years. Please list in date order, with the most recent first. No additional rows may be added to this table. If more than 20 publications are listed in this section, only the first 20 will be taken into account. The Selection Committee assesses

each publication on its merits, particularly in relation to patient, service user, carer or public benefit. Different disciplines vary in the journals that they use and journal impact factors will only form a part of the assessment.

- i. Publication – please state the publication title.
- ii. Journal – please state the journal that the output was published in.
- iii. Year – please state the year published.
- iv. Current Journal Impact factor – given that these change, please list the most current Impact factor for the journal listed.
- v. Number of Citations – please list the number of times that the publication has been cited.
- vi. Source of Citation Information – please state where you obtained the citation information from for each publication, e.g. Scopus, Google Scholar etc.
- vii. Number of authors – please list the total number of authors associated with the publication.
- viii. Key Authorship Position – please state your authorship position for each publication, e.g. first, last or corresponding author.
- ix. Interdisciplinary research – please choose either yes or no from the drop down list.
- x. URL – please provide the web link to the journal (*where available*).

#### Other significant publications or outputs

Please provide details of any other significant publications, outputs or products that would be of relevance to this application, which provide evidence of influence and leadership in the nominee's field. Items in this section should include the following headings (where appropriate):

- Books and/or book chapters;
- Papers in conference proceedings;
- Research reports to government departments, charities, the voluntary sector, professional bodies, industry or commerce;
- Monographs;
- Intellectual Property (patents, patent applications or other forms of IP);
- Other applied research outputs (new materials, software packages, images and devices, research derived from development, analysis and interpretation of bio-informatic databases, work published in non-print media, Cochrane reviews and NICE Guidelines) or equivalent for Global Health such as WHO SAGE.

Please complete the overall summary tables at the start of this section. Please state whether you have used Web of Science, Google Scholar or Scopus as the source of the information. Please do not use any other system.

Once completed, please upload onto the online application system. If you do not upload the publications document your application will be deemed to be incomplete and will not be processed.

#### **Relevant Prizes, Awards and other Academic Distinctions**

Please provide details of any awards or distinctions that would be relevant to your application including details of what the award was for.

## ORCID

The NIHR is an ORCID member and encourages all researchers to obtain this persistent digital identifier that distinguishes you from every other researcher. Lead applicants must include an ORCID iD in their application. Without it, your application will not be validated and you will not be able to submit. For more information and to register please see <http://orcid.org/>.

## Gender

This question is included within the application form (in addition to being asked as part of equal opportunities monitoring) to ensure we are meeting NIHR's commitment to gender equality in relation to academic career progression. The response to this question will not be displayed to the Selection Committee.

# 3. Applicant Research Background

## Professional background

Select the one option which best describes your professional group. This will determine the options that appear below for your professional background.

## Please describe your research career to date

Please use this question to describe your research experience and career to date and how this makes you suitable for this award. The following items should be included, however please note that this is not an exhaustive list:

- Track record of research and its translation;
- Track record of driving collaboration and partnership in research'
- Contributions towards research leadership;
- Developing translational research capability;
- Track record in training researchers;
- Previous involvement of patients and public in research.

NIHR Global Research Professorship Applicants should ensure their description of their research experience and career to date reflects their experience in global health.

Please do not duplicate any information that will be included within the Detailed Research Plan section. Please do not include any web links, as they will be disregarded by the Selection Committee.

The option to upload one document for this section is only for the inclusion of charts, diagrams, tables and images that relate to the text in this section. Any other information/documents uploaded here will be removed. The document must be in either Word or PDF format.

Please do not leave this section blank on the online system in order to upload a document with text and images combined, as this will be removed and your application will be deemed incomplete.

## Impact of Professorship

Please describe the impact this Professorship will have on your career, noting that this should provide you with a step change in your career trajectory.

### Has this application been previously submitted to this or any other funding body?

Select 'Yes' or 'No' to indicate whether this or a similar application has previously been submitted to this or any other funding body. This must include any previous submissions for an NIHR research training award, even if the proposed research has changed. Please detail the title of any previous submission(s), the funding body and scheme, the outcome and the date this is due if a decision is pending. If the application was unsuccessful please indicate why and detail how this application differs from previous submission(s) and how any feedback received has been used to inform this application.

### Current and previous NIHR awards

In order to help track the progression of NIHR Academy members please indicated whether you have previously or currently hold another NIHR research training award.

### Employment/Career breaks

Please use this question to detail any career breaks you wish to make the Selection Committee aware of.

## 4. Plain English Summary of Research

### The importance of a plain English summary

A plain English summary is a clear explanation of your research.

Many reviewers use this summary to inform their review of your funding application. They include clinicians, practitioners and researchers who do not have specialist knowledge of your field as well as members of the public. If your application for funding is successful, the summary will be used on National Institute for Health Research (NIHR) and other websites.

A good quality plain English summary providing an easy to read overview of your whole study will help:

- those carrying out the review (reviewers and board and Selection Committee members) to have a better understanding of your research proposal;
- inform others about your research such as members of the public, health and care professionals, policy makers and the media;
- the research funders to publicise the research that they fund.

**If it is felt that your plain English summary is not clear and of a good quality then you may be required to amend it prior to final funding approval.**

It is helpful to involve patients / service users / carers / members of the public in developing a plain English summary.

### Content

When writing your summary consider including the following information where appropriate:

- aim(s) of the research;
- background to the research;
- design and methods used;
- patient and public involvement;
- dissemination.

The plain English summary is not the same as a scientific abstract - please do not cut and paste this or other sections of your application form to create the plain English summary.

Further guidance on writing in plain English is available online at NIHR Make it clear <https://www.invo.org.uk/makeitclear/>.

For further support and advice on writing a plain English summary, please contact your local Research Design Service (where applicable). <https://www.nihr.ac.uk/explore-nihr/support/research-design-service.htm>.

## 5. Scientific Abstract

The scientific abstract should be a clear and concise scientific summary of the Detailed Research Plan / Methods.

The following is a list of potential elements / headings that might be included depending on the design of the proposed research, the setting and programme being applied to, and whether it is for primary research or evidence synthesis. It will be for researchers to decide the appropriate elements to be included in the scientific abstract and could include elements outside this list. Applicants may find the guidance on the EQUATOR Network website ([www.equator-network.org](http://www.equator-network.org)) useful.

- Research question
- Background
- Aims and objectives
- Methods
- Timelines for delivery
- Anticipated impact and dissemination

## 6. Detailed Research Plan

Using the headings (in the order presented) and guidance below, please use this section to clearly explain your proposed research. **As this is the main part of your application detailing your proposal which will be considered by the Selection Committee you should ensure that the information is accurate, succinct and clearly laid out.**

The NIHR expects appropriate and relevant involvement of patients, service users and the public and other key stakeholders in the research it supports. It is essential to set out your plans to involve patients and the public in this application. Your patient and public involvement plans will be assessed by the Selection Committee including patient and public members.

Information and resources to assist you can be found on the INVOLVE website ([a detailed definition of patient and public involvement in research](#), [briefing notes for researchers on how to involve patients and the public](#) and an [involvement cost calculator and budgeting guide](#)).

In this section it is important that you identify all stakeholders who are relevant to your research proposal. For each stakeholder group you need to be clear about how they benefit from your proposed research and, where appropriate, how they have been involved in the development of the application, as well as the plans for their involvement in the proposed research.

There is no standard model for appropriate community and public involvement for NIHR Global Research Professorships, however, you will need to explain why your approach is appropriate for the proposed research, outline who will be involved and why. In addition to the INVOLVE guidance you may find it helpful to refer to [Mesh](#): a collaborative open-access web space that provides

resources, encourages networking and shares good practice to bridge the gap between the research community and the general public in LMICs.

In this section, you are required to provide details of your future research and translational plans over the 5 year time period. Please include a case for how an NIHR Research Professorship or NIHR Global Research Professorship would enable you to make a significantly increased contribution towards translation into practice and developing translational research capability.

Please note that NIHR Research Professorships and NIHR Global Research Professorships are aimed at those undertaking **translational research** and **do not support basic research or work involving animals or their tissue**. Any applications involving these areas of work going forward will be deemed ineligible.

Please do not replicate any information that has already been included within this application form.

**Please state clearly at the top of this section**, which of the following areas you are applying for:

- Experimental Medicine;
- Health Services Research;
- Methodological Research
- Public Health Research;
- Social Care Research;
- Global Research.

**Contribution to, or collaboration with, service**

NIHR Research Professors will be funded to continue to spend up to 2 sessions per week delivering service directly, or in the case of health researchers and methodologists, an equivalent time collaborating with others to support service delivery. Please state how you will make this contribution towards service, or for non-health professionals, how you will collaborate with service.

NIHR Global Research Professors will spend the equivalent time delivering services directly in the relevant LMIC or have relevant collaborations which can be supported to fulfil this. Equally, if the nominee is not a health professional, **an equivalent time collaborating with others to facilitate service delivery in the relevant LMIC.**

The nominee should make clear how support for service delivery will be maintained alongside the research commitment.

Please detail the projected impact that the Professorship will have on your career and research trajectory. Please note that by the end of the 5 years of the award, NIHR Research Professors will be expected to:

- Have established at least 2 major international collaborations;
- Have demonstrated leadership at a national level;
- Have been developed and protected by their institutions, including being relieved of administrative tasks at the local and regional level so that they can concentrate on their Professorship.

In addition NIHR Global Research Professors are expected to:

- Enhance existing collaborations with institutions in LMICs and establish new collaborations.
- Support training and capacity development/mentorship within UK and LMIC institutions that enhances research capacity for global health and care.

Please do not include any web links in the application, as they will be disregarded by the Selection Committee.

The option to upload one document for this section is only for the inclusion of charts, diagrams, tables and images that relate to the text in this section. Any other information/documents uploaded here will be removed. The document must be in either Word or PDF format.

Please do not leave this section blank on the online system in order to upload a document with text and images combined, as this will be removed and your application will be deemed incomplete.

The research programme should have clear patient benefit within the lifetime of, or shortly after the completion of, the award. All implementation plans need to be clearly defined and a Gantt chart setting out what will be achieved and when should be included within the uploaded document for this section.

If including a feasibility study, it has been deemed appropriate by the Selection Committee to expect the nominee to undertake and complete this within the duration of the 5 years of the award (ideally within 1 year) and then move the research forward.

### **1. What is the problem being addressed?**

Provide a clear explanation of the health problem to be addressed, the impact on patients as well as health and care services, and how this research would fill a demonstrable evidence gap.

### **2. Why is this research important in terms of improving the health and/or wellbeing of the public and/or to patients and health and care services?**

It is essential that you clearly identify the health and care need your research meets or contributes to. Please outline the anticipated value or contribution the study will provide.

### **3. Review of existing evidence - How does the existing literature support this proposal?**

Explain why this research is needed now, both in terms of time and relevance. We will only fund primary research where the proposed research is informed by a review of the existing evidence.

### **4. What is the research question / aims and objectives?**

Please summarise the research question / key aims and objectives.

### **5. Project Plan**

Provide an expert description of the project plan of investigation plus any additional points required to support statements made in the previous sections, and include any key references required to justify the points made (e.g. in the use of particular outcome measures or methods of analysis). You should include where applicable; study design, justification of sample size, selection and exclusion criteria, methods of data collection and analysis, and justification for your choice of methodology.

### **6. Dissemination, Outputs and anticipated Impact**

The purpose of this section is for the applicant to describe what the outputs of the research might be, how and who they will talk to and what impact there might be. NIHR understands that the impact of any research may take time to be realised and will likely involve other funders and institutions. In many cases it may be difficult to provide definitive answers or any guarantees.

However, addressing the below questions will allow you to describe what you hope or expect the pathway to impact to be, what might prevent impact and who else might be involved.

- **What do you intend to produce from your research?** This could include but is not limited to: Conference presentation or other workshop events; Publications (academic or otherwise); Guidelines (clinical, service or otherwise); Other copyright (e.g. questionnaires, training aids, toolkits, manuals, software, etc.); New or improved design of medical devices or instrumentation; New or improved diagnostic; Trial data that could be used to support a CE mark, market authorisation or equivalent; Trial data that could be used to shape or influence a healthcare or social care market or government; Potential new drug or healthcare intervention; Other. Please provide brief details of each of the anticipated outputs.
- **How will you inform and engage patients, NHS or equivalent health and care system and the wider population about your work?** Describe your plans for disseminating this research. If you have not yet made plans, please outline at what stage in your project you intend to start formulating these.
- **How will your outputs enter the health and care system or society as a whole?** Describe how any new or improved outputs generate through the proposed research will be recognised, captured, managed and use directly in the health and care service or wider society. This might be through commercial exploitation or other non-commercial routes or means. If the output(s) from your research are likely to be commercial, describe the proposed route to market and by whom, or how you plan on developing this.
- **What further funding or support will be required if this research is successful (e.g. from NIHR, other Government departments, charity or industry)?** This should be linked to the responses in questions 2 and 3 above.
- **What are the possible barriers for further research, development, adoption and implementation?**
  - Will the proposed research use data, technology, materials or other inventions that are subject to any form of intellectual property protection (e.g. copyright, design rights, patents) or rights owned by another organisation(s)? If yes, provide brief details including how such third party IP will be accessed (e.g. collaboration agreement, drug supply agreement).
  - What are the key current and future barriers to uptake of any likely output or innovation directly in the health and care service, through commercial exploitation or other means, e.g. potential regulatory hurdles?
- **What do you think the impact of your research will be and for whom?** In describing the anticipated impact of the expected outputs on the health and care of patients, the public, and on health and care services, please consider; patient, service user or carer benefit; changes in NHS or equivalent health and care system service (including efficiency savings); commercial return (which could contribute to economic growth). Indicate the anticipated timescale for the benefits to reach patients, the public and services, providing a quantitative estimate of the scale of these potential benefits, if possible.

## 7. Project Management

Please outline the processes that will be put in place to ensure the research described will be well managed. This should complement your research timetable upload (see 'Section 8. Uploads' below).

## 8. Ethics

Please describe any ethical and/or regulatory issues your research project raises and how you intend to address these. Research requiring ethical approval must have the appropriate approvals in place before it can commence. If there are no plans to obtain ethical review, this must be clearly justified. (Note that work outlined in your application/protocol must adhere to the [Research Governance Framework](#)).

Further guidance on the approval process is available from the Health Research Authority (HRA) (<http://www.hra.nhs.uk/about-the-hra/our-committees/>). The MRC and the HRA have designed a tool to help you decide whether you need ethical approval which you can find here: <http://www.hra-decisiontools.org.uk/ethics/>. However, if you are unsure whether your research requires ethical approval please contact the HRA directly and they will be able to advise.

In addition to seeking independent/institutional ethics committee approval for planned research from your HEI, NIHR Global Research Professors should seek ethical review from an appropriate ethics body in each of the LMICs in which there are study participants. Where an appropriate ethics body does not exist, this should be highlighted clearly in your application or raised separately to the NIHR Academy. Applicants may wish to refer to the MRC guidance on research involving human participants in LMICs which you can find here: <https://mrc.ukri.org/funding/guidance-for-applicants/5-ethics-and-approvals/> when preparing their description of any ethical and/or regulatory issues your research project raises and how you intend to address these.

## 9. Success Criteria

Please set out the measurements of success you intend to use and also the key risks to delivering this research and what contingencies you will put in place to deal with them. This section should identify appropriate actions that would reduce or eliminate each risk or its impact.

## 7. Leadership and Development and Research Support

### Proposed leadership and development programme

The nominee will be expected to participate in a leadership and development programme to support personal and professional development as a research leader. Please detail your existing skills and outline a tailored development programme, which has been designed in conjunction with your nominating partnership organisations to address your future needs. Please provide a clear statement of how the HEI will actively support and develop your leadership and development programme. A strong leadership and development programme will focus mainly on the skills required for progression as a research leader. Successful Research Professors will also be invited to participate in the NIHR Leadership Programme.

As this award may be used in part to build on existing national and international research leadership and collaborations, please include details of any sabbaticals that you may wish to undertake during the 5 years of the award, for consideration by the Selection Committee.

Please detail how you intend to develop research capacity in the next generation of researchers, including via your Post-Doctoral and Doctoral appointments and the wider environment.

Please also state clearly where you expect to be on your career trajectory after the 5 years of the award and also what commitment the HEI intends to make towards your future career.

### Research support

Please state the name(s) and institution(s) of your mentors. You will also be required to justify your choice of mentor and how you intend to work with them. A minimum of 1 and a maximum of 4 entries are required on the form.

Although we acknowledge that formal supervision may not be appropriate for the level of award, we believe that senior academic mentoring is vital to allow the development of the nominee as a research leader. In this context, the mentoring role will encompass providing the nominee with support throughout the Professorship in both their (the nominee's) research endeavours and their overall career development.

At least one of the proposed senior academic mentors should be based in the host institution. They should have a clear understanding of the research process, the demands that the chosen area of research are likely to place on the nominee, and their particular strengths and weaknesses. Nominees may also wish to choose another mentor from another institution either elsewhere in the UK or overseas.

Please state why these particular mentors have been chosen and what new perspective/developments they will bring. Clearly describe how the proposed mentorship will support your overall development and provide an initial assessment of the time that will be allocated to the mentoring process.

Funding for research support is available for travel and subsistence only (for the nominee) and does not support any fees the individuals who provide research support may wish to charge the nominee.

## Collaborations

Explain what collaborations you intend to establish to support your research and, if applicable, your leadership and development programme. This may involve short visiting placements (e.g. an Overseas Research Visit), or secondments in new (to the applicant) research environments, e.g. clinical trials units or NIHR Biomedical Research Units / Centres.

The NIHR is particularly keen to enhance the cadre of researchers equipped to work at the university/NHS or equivalent health and care system/industry interface, translating ideas into new treatments and products from which patients can benefit. Therefore, where appropriate, you should consider any industry collaborations you may wish to establish during the course of your award. You should include; the leadership and development the collaboration will provide; the facilities and expertise you will have access to; and how the collaboration will strengthen links between academia, industry and the NHS or equivalent health and care system.

For the Professorship, please provide details of all existing and any future national and international collaborations that you are already part of or that you may wish to be involved in.

For the NIHR Global Research Professorship collaboration with researchers in [OECD DAC list](#) countries is essential. NIHR Global Research Professorship nominees will be required to have existing strong collaborations or links with collaborators or partners in institutions in countries on the [OECD DAC list](#) and that the award should plan to strengthen these/support training and capacity development/mentorship in these partners.

It is expected that the principles of equitable partnership will be embedded in the NIHR Global Research Professorship applications across all stages of the research process from research design to dissemination and publication. Where applicants are building on established partnerships, involvement of individuals and organisations based in the relevant LMIC(s) in developing the research proposal and in undertaking the research should be clearly set out.

Applicants should be prepared to explain details of their approach to, and plans to create and sustain equitable partnerships between researchers in LMICs and the UK as part of the Stage 2 interview.

## Host Organisation support statement

The Heads of Departments of the host organisation and the partner organisation are required to complete this section jointly.

**The nominating partnership will need to include within this statement when they expect the nominee to be appointed as a Professor (full Professor, not Associate or Assistant) and, if already appointed at Professorial level, why they consider the nominee is still qualified for this award and how the award will change their potential to become a leader in the field.**

As the lead organisation, the HEI must state how the interface with service will be managed to empower the nominee to promote translation, or how the partnership intends to collaborate with service/practice in the case of non-health professional nominees. Please note that NIHR Research Professors will be funded to continue to spend **up to 2 sessions per week delivering service/practice directly, or in the case of non-clinical/practice researchers and methodologists, an equivalent time collaborating with service/practice.**

Please state how the partnership intends to work together to support the nominee and support post appointments, including how they will be supported in terms of infrastructure in the short, medium and long term.

Please note that this statement of support will need to be individually tailored to each nominee that the partnership wishes to be considered for a NIHR Research Professorship, rather than a generic institutional statement. These statements are critically important and will be used by the Selection Committee to determine whether the support from the host environment for the nominee and the proposed research is suitable enough to allow the application to progress beyond the shortlisting stage of the process.

The Statement of Support must also contain, but is not restricted to, information on the following two items:

#### **Support for the nominee at an organisational level**

Please provide a clear statement outlining the strategic significance and value of the nominee and their research to the host institution. The HEI must also set out how it specifically intends to value and actively support the nominee at the organisational level ***both during and after completion of this award.***

#### **Support for the nominee at a national/international level**

Please provide a clear statement outlining the strategic significance and value of the nominee and their research at a national/international level. The HEI must also set out how it specifically intends to value and actively support the nominee at the national/international level ***both during and after completion of this award.***

In addition, the host institution will be required to answer further questions clearly documenting how the salary costs will be recycled and what additional support will be provided. This will be used as part of the evaluation process and should the Selection Committee deem the support for the nominee to be insufficient, then it is highly unlikely that an award will be made.

For the recycling of the applicant's salary, please state how this will be used to directly support the nominee.

Please state what additional support will be given to the nominee over the short, medium and long term.

## **8. Uploads**

To support your research plan you are able to upload the following documents in the 'uploads' section of the form:

- References 1 A4 page listing all references cited in the application.
- Figures/Tables Up to 2 A4 pages of figures/tables may be included to supplement your research plan.
- Research Timetable 1 A4 page detailing specific milestones and deliverables (Gantt Chart).

- CTU Letter of Support      Where you are working with a CTU please include a supporting letter.
- Publications Summary      Please use the Round 10 and Round 3 forms downloaded from the NIHR website to include all relevant publications information.

## 9. Participants and Signatories

A number of participants and signatories are required to be added to your application and, where applicable, to complete sections of it. Details of the required individuals are provided on the online application form along with details of how they should be added. The flow diagram in page 10 goes through the actions required of participants, signatories and the applicant.

## 10. Acknowledge, review and submit

### Conflict checks

Please declare any conflicts or potential conflicts of interest that you may have in undertaking this research, including any relevant, non-personal & commercial interest that could be perceived as a conflict of interest.

### Agreement to terms and conditions

Please click the check box to confirm you agree to the Terms and Conditions of submission as detailed on the application form.

### Checklist of information to include when submitting a NIHR stage 1 research application

Applicants should use list below to check that they have included the necessary information prior to submitting their application.

- A good quality Plain English Summary;
- A clear explanation of the problem being addressed;
- A clear demonstration of the need and importance of the research;
- A review of existing literature (primary research);
- A clear research question / aim(s) and objectives;
- A clear project plan summarising the study design and methods;
- Appropriate and relevant involvement of patients and the public;
- A clear, appropriate and relevant plan for dissemination;
- A single A4 page of references (document upload);
- All mandatory additional information has been uploaded to the online application system.

## Stage 2 Guidance

### Application Summary Information

#### Global Health application question

You must answer yes or no to the question asking if this is a Global Health application.

## Patient and Public Involvement

### Please describe how patients and the public have been involved in developing this proposal

You should describe who has been involved and why this is appropriate, what role(s) they have played and what influence or change has happened as result of their involvement.

### Please describe the ways in which patients and the public will be actively involved the proposed research, including any training and support provided

INVOLVE has developed guidance both on how patients and public can be involved <http://www.invo.org.uk/posttypepublication/involve-briefing-notes-for-researchers/> and the processes, procedures and values necessary to support this involvement [www.invo.org.uk](http://www.invo.org.uk).

For Global Health applications, you may wish to also consider guidance from [Mesh](#) in addition to the INVOLVE guidance.

Patients and public can be involved in every stage of a research project, from developing a proposal through to dissemination and evaluation.

In your description you will need to say who will be involved and why.

Explain why your approach to public and patient involvement is appropriate for this proposal

Describe how you will support and enable patient and public involvement in your research (e.g.: payments, training).

### If it is considered not appropriate and meaningful to actively involve patients and the public in your proposed research, please justify why

Complete / justify as necessary.

## Management and Governance

Please complete the check boxes as appropriate.

## Uploads

A completed Schedule of Events Cost Attribution Tool (SoECAT) is now required to be uploaded and submitted as part of the application submission for all applications. Further details are on pages 32 & 33.

## Finance Guidance (Stage 2)

### Detailed Budget

#### Justification of costs

- Please provide a breakdown of research costs associated with undertaking the research and provide justification for the resources requested. This should include the following costs: staff costs, travel and subsistence, dissemination costs, equipment (including lease versus purchase costs), consumables, patient and public involvement (PPI) and any other direct costs. For help with estimating PPI costs please see the INVOLVE cost calculator available at <http://www.invo.org.uk/resource-centre/payment-and-recognition-for-public-involvement/involvement-cost-calculator/>.

- When justifying staff costs you should also provide the % amount of time input of each member of staff and link this to the specific area/work package of the proposed study where this input will be taking place.
- You should indicate here how this research will potentially benefit the NHS, social care, or public health. For example, where appropriate, describe the likely cost savings or benefits in terms of numbers of patients treated, treatment times etc.
- You should describe the value for money of the conduct of the proposed research.
- Please provide a breakdown of the NHS costs associated with undertaking the research and provide justification for the resources required. If there are no NHS Support or Excess Treatment Costs associated with the research you must explain why you think this is the case.
- Please provide a breakdown of any non-NHS intervention costs and provide justification for the resources required. Non-NHS intervention costs should include costs incurred in delivering the intervention which would continue to be incurred after the trial, should the intervention become standard care.
- **NIHR Personal awards are not project or programme grants; therefore, extensions to the duration of awards to allow for completion of research and/or training and development are not permitted. This doesn't affect suspensions of awards to allow for periods of maternity, paternity, adoption or sickness leave.**

### Detailed Budget Breakdown

The finance section should provide a breakdown of costs associated with undertaking the research as described in the proposal.

#### GENERAL INFORMATION

- The information entered in this section should provide an analysis of the total funds requested to undertake the research proposed and should be based on current prices. These costs will be used to assess value for money.
- It is in the best interest to undertake a thorough, realistic and accurate costing. Where an outline/stage 1 application has been produced and this is the full stage (2) application, the Selection Committee will pay close attention to any material increase in costs. You must provide a clear and full justification for all costs including NHS costs. You must also ensure that you include all costs including those required to secure good research management.
- Costs must be provided at current prices. An adjustment for inflation will be made annually thereafter at rates set by the Department of Health and Social Care. Whilst allowances for incremental increases should be included on the form, nationally or locally agreed pay increases should be excluded.
- Years should be calculated starting from the anticipated start date of the proposed research. For example, if your research is expected to start on 01 June 2020 then its second year starts 01 June 2021.
- Further itemisation of costs and methods of calculation may be requested to support the application at a later date.
- Payments will be made to the contracted organisation only and the contracted organisation will be responsible for passing on any money due to their partner organisation(s).
- Appropriate sub-contracts must be put in place for any element of the research which is to be paid to another organisation.
- NHS Support Costs are funded via Clinical Research Networks. Researchers should contact their local NHS R&D Department initially and, if they are unable to help directly or if there is no local NHS R&D Department, contact their Local Clinical Research Network. Further details about CRN contacts are available at: <https://local.nihr.ac.uk/lcrn/>.

- All applications are expected to have appropriate NHS, HEI, commercial and other partner organisation input into the finance section of the application form.
- There is no need to individually itemise costs where the total is below £1,000.

**In conjunction with the following pages, there is also additional information regarding finances for NIHR Global Research Professorships on page 35.**

## **INFORMATION ON DIFFERENT TYPES OF ORGANISATIONS**

### **Higher Education Institutions (HEIs)**

- Higher Education Institutions (HEIs) should determine the Full Economic Cost (FEC) of their research using the Transparent Approach to Costing (TRAC) methodology. **For HEIs, up to 80% of FEC will be paid, provided that TRAC methodology has been used.**

### **NHS bodies and other providers of NHS services in England**

- For applications where the contractor is an NHS body or provider of NHS services in England, up to 100% of direct costs will be paid.
- If you are a commercial organisation/consultancy, please fill in direct costs and commercial indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of costs will be paid.

### **Other Partner Organisations**

- If you are an other partner organisation (e.g. charity or NGO), please fill in direct costs and other partner organisations indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of costs will be paid.

## **DIRECT COSTS**

These are costs that are specific to the research, which will be charged as the amount actually spent and can be supported by an audit record. They should comprise:

**1) Details of posts and salaries.** This section presents an overview of salary costs for the applicant and other support/shared staff contributing to the research, including normal salary increments broken down individually.

### **The Applicant**

Please state the proposed salary point and scale at the start of the Professorship. Please note immediate promotion to a higher grade as a result of securing an award will not be funded. Please **do not** include any Clinical Excellence or Discretion/Merit awards or discretionary points. NIHR agrees to fund consultant salaries at a full-time rate equivalent to 10 Programmed Activities per week.

### **Support staff**

- **Post-Doctoral (5 years)** – this is for **one** person at Post-Doctoral/NIHR Clinical Lecturer level. The acceptable salary range for this post will be £31,614 - £54,741. Under 'Type of Cost', please enter this post as 'HEI' from the drop down list. This post attracts Full Economic Costing and has a training allowance of £3,000. Any conferences, travel, courses etc. must be included within this £3,000 limit.
- **Post-Doctoral (3 years)** – this is for **one** person at Post-Doctoral level. The acceptable salary range for this post will be £31,614 - £54,741. Under 'Type of Cost', please enter this

post as 'NHS', even if the post will be based in a HEI. This post does not attract Full Economic Costing and will therefore be paid at 100%. If you choose HEI, it will be returned at 80%, rather than the 100% required. There is no training allowance for this post.

- **Doctoral Post (3 years)** – this is for **one** person at Doctoral level. The acceptable salary range for this post will be £28,000 - £40,100. Under 'Type of Cost', please enter this post as 'NHS', even if the post will be based in a HEI. This post does not attract Full Economic Costing and will therefore be paid at 100%. If you choose HEI, it will be returned at 80%, rather than the 100% required. There is no training allowance for this post. PhD fees for this post should be included within the Training and Development section.

Please do not exceed the maximum limits for these posts, as you will be asked to re-profile them if this occurs. All of the above posts, including any associated funding, will terminate with the end of the Professorship, therefore early recruitment is recommended. Should any of the appointments extend beyond the fixed 5 year term of the Professorship, including for statutory reasons (maternity/paternity, adoption or sick leave), the nominating organisation will be expected to continue to provide ongoing support.

Please include all members of staff working on the research by clicking 'add staff details' or editing a current one. Where applicants are already receiving salaries funded by NIHR, these should be declared in the application. **Only these three posts should be entered as 'Support Staff'**. All proportions of time for other staff should be added as 'Shared Staff'.

The Apprenticeship Levy can be included in the salary costs from 1<sup>st</sup> April 2017 where relevant.

**II) Salary costs.** This section specifies the annual costs of the applicant and other staff contributing to the research. You should now allocate the individual staff member costs to each year of the research, allowing for increments. Use current rates of pay, and build in any known annual increments (again at current rates). You will not be able to claim for pay awards retrospectively, once your research is underway.

Please note the salary figures need to be calculated using the current annual costs, % WTE and number of months. If the research lasts for several years and an individual's involvement varies over the course, it may be necessary to explain fully in the justification of costs section the % WTE and months per year for an individual staff member.

It is important to double check that the % WTE, total months and yearly costs information are consistent with the information presented in 'Details of Posts and Salaries' ('Details of Posts and Salaries' should show the full current staff costs independent of % WTE etc., whereas the yearly costs in 'Salary Costs' depend on % WTE etc.).

Please ensure that you check the 'Type of Cost' box which describes the employing organisation for a member of staff as this impacts on the level of funding provided. Staff employed by a Higher Education Institution (HEI) are funded at 80% of cost and staff employed by NHS, commercial or other partner organisation at up to 100% of cost.

*Please note that this section also includes 'Shared Staff Costs' which is located under directly allocated costs in some other funders' applications. These are costs of an institution's research resources which can be charged to the research on the basis of estimated use, rather than actual costs. These may include: IT technicians, laboratory staff, and costs of pooled staff efforts. HEI indirect costs cannot be claimed on these shared costs. It is expected that no more than 20% of each individual's time can be claimed as shared staff costs.*

*The NIHR Academy reserves the right to question any costs deemed excessive, and **will not** fund:*

- i. *Contributions for individuals providing research support (previously referred to as mentors), supervisors and/or other collaborators involved in the research*
- ii. *Administrative or secretarial support*
- iii. *Whole or significant percentages of support posts over and above those permitted by the scheme*
- iv. *Technical or research support staff whose costs are funded through institutional indirect costs (HEIs only)*

**III) Travel, Subsistence and Dissemination costs.** This section includes journey costs, subsistence and dissemination costs, including conference fees and open access publication costs. Where applicable, you will need to include the travel and subsistence costs of your Project Advisory Group, Steering Committee and/or Data Monitoring & Ethics Committee. Travel and subsistence costs relating to dissemination should also be included here, as should costs relating to overseas travel. Where applicable, you will need to include the travel and subsistence costs relating to meetings with individuals providing research support. Please note that mentors' (including supervisors and individuals named as providing research support) expenses **will not be funded**.

If a cost relates to travel, subsistence or fees for a conference please select 'conference'. Costs relating to conference attendance will be funded at up to 100% for all employing/host organisation types. Conference costs don't need to be individually itemised for each conference. The justification box should detail the conferences the costs will cover.

### **Journey Costs**

Enter the total cost of transport for all journeys for destination/purpose. If travel is by car, apply your institution's mileage rates (however this should not exceed HMRC approved mileage allowance payments, which is 45p per mile for the first 10,000 miles and 25p thereafter).

Travel by the most economic means possible is encouraged. NIHR programmes do not usually fund first class travel.

### **Subsistence**

Subsistence covers accommodation (if necessary) and meals associated with the travel, excluding any alcoholic beverages.

### **Conference Fees**

There is a limit on the amount that can be spent on conference related costs (including all related travel and subsistence as well as conference fees) depending on the level you are applying for.

Where national or international conference fees are included, a statement naming the conference or purpose of travel and the benefit to the Professorship must also be made; failure to adequately justify your attendance at a conference, will mean the programme will not fund this cost.

NIHR will fund a maximum of **£15,000** for all conference-related costs for the NIHR Research Professor only.

Travel, subsistence and conference fees may not be claimed for the two 3 year Support Posts. For the 5 year Support Post, any travel, subsistence and conference costs must come from the £3,000 allowance.

## **Dissemination costs (in addition to conference costs)**

### **- Open Access Costs**

During the course of your project and throughout review and publishing phase you may choose to submit an article based on your research to an Open Access publication. Depending on the publication you may be subject to an article processing charge (APC). APC rates vary but are usually within the range of £300 and £3000. Open Access publications usually list their APC rates on their websites.

Where possible you should include an estimate for any APC in your funding application, since NIHR expects that APCs will be covered by the funding award.

### **- Other Dissemination Costs**

Any large costs should be further detailed with a breakdown of constituent parts or a timescale profile of the costs. Meetings to share best practice, training events and events to disseminate research findings must be run at the lowest possible cost with minimal catering. 'Conferences' which are described as such are not eligible for funding.

**IV) Equipment.** Essential items of equipment plus maintenance and related costs not included as part of estates should be input in this section. These can be lease or purchase costs. The purchase cost of pieces of equipment, valued up to £5,000 excluding VAT, will be considered.

Pieces of equipment costing more than £5,000 to purchase will usually need to be leased. Where applicants are leasing equipment with a purchase price of more than £5,000, a comparison of leasing versus purchasing costs must be provided in the 'Justification of Costs' section.

Items of equipment valued at £250 or more must be itemised separately; however grouping same type equipment is permitted. Costs of computers are normally restricted to a maximum of £650 each excluding VAT and a statement of justification must be included, in the relevant 'Justification of Costs' section for any purchase above this limit.

Equipment must exclude VAT, but if your organisation is unable to reclaim/recover the VAT on a piece of equipment, you should check the box 'VAT cannot be reclaimed'.

You will need to seek expert advice from the organisation purchasing the equipment regarding its VAT status. If you check the 'VAT cannot be reclaimed' column, VAT at 20% will automatically be calculated into the overall cost of that item.

**V) Consumables.** This section includes non-reusable items specific to the research. Please itemise and describe the requirements fully (e.g. postage, stationery, photocopying). These items should be research specific, not just general office costs which should be covered by indirect costs.

**VI) Patient and Public Involvement.** Please itemise and describe fully the costs associated with Patient and Public Involvement. These are likely to include out of pocket expenses, payment for time and any relevant training and support costs.

INVOLVE have produced a number of useful payment-related resources which can be found at the following link:

<http://www.invo.org.uk/resource-centre/payment-and-recognition-for-public-involvement/>

**VII) Other Direct Costs.** These are costs, not identified elsewhere, that are specifically attributed to the research. For example, costs associated with the use of research facilities, external consultancy costs, computer licensing, recruitment and advertising costs. Please note that for organisations claiming indirect/overhead costs, costs such as recruitment of staff, and general training (e.g. in common IT packages) are costs that should be covered by the indirect costs element of the award being sought and should not appear in this section.

If external consultancy costs are included in this section they must be fully justified in the 'Justification of Costs' section. Please specify the hourly rate and the number of hours and note that consultants must not be people who are already employed by the applicant's institution. If they are, any costs should be entered as direct costs in the 'Details of Posts and Salaries' and 'Annual Costs of Posts' sections.

### **Note on CTU costs in Personal Training Awards**

Costs claimed should be for the additional support from the CTU for the necessary expertise that the applicant cannot provide themselves. For example, part time support from a trial manager, database manager, and statistician are all costs that could potentially be included. The level of support and input from the CTU will likely vary depending on the level of fellowship and experience of the applicant. For example, doctoral applicants will be expected to be undertaking the majority of the day-to-day tasks involved in running a trial, with oversight from a more senior member of CTU staff (though specialist input in database programming may be needed). For more senior post-doctoral awards it may be more appropriate for other members of staff to be undertaking some of the day-to-day tasks. This also very much depends on the experience and expertise of the applicant and the applicant's training needs and should be agreed with the CTU before submitting an application. These costs should all be agreed with the CTU and budgeted for. Staff costs should be detailed under the 'other direct costs' section. Staff costs should include basic salary and on-costs for each member of staff involved and it should be made clear within the justification section what role each member of staff has within the context of the personal award application and the time they will spend on the award. Please note that because NIHR Fellowships and other research training awards are personal awards and not project or programme grants we can't fund whole or significant portions of posts other than that of the applicant themselves and their support staff member (where applicable). We would not normally expect the time commitment of any individual costed into the application other than the applicant or member of support staff to exceed 0.3 WTE. In total we wouldn't normally expect the total WTE of all staff costed into the application to support clinical trial activities to exceed 1 WTE (excluding the applicant and support staff member) for more junior awards (doctoral and early post-doctoral level awards) and 2 WTEs for more senior awards (this includes any shared staff also costed into the application). The level of additional staff input will obviously depend on the type and scope of the trial and the experience of the applicant. Full justification should be provided for all staff costs requested. Overheads (estates and indirect costs) can be included for CTU staff costed into the application. The justification section should split out the overheads from the salary costs and overheads shouldn't exceed 40% of the total CTU staff cost.

Any costs must be realistic in order to deliver the trial but must also represent value for money. Applicants can also include non-staff costs for the CTU for example; randomisation service, and license fees for clinical data management software.

**VIII) Training and Development.** All costs in this section will be funded at up to 100% for HEI, NHS and Commercial/Other Partner organisations. Please itemise and describe fully the costs associated with training and development. Please provide estimates if exact costs are not available at the time of application. Any travel and subsistence associated with training and development including overseas research visits should not be included here and should be included in the travel section of the form.

### **Leadership Training Programme, short course and workshops**

These are costs relating to the applicant's training programme.

### **Support Post – Training & Development (5 year Post-Doctoral position only)**

NIHR will make a maximum contribution of £3,000 in total (including any identified travel and subsistence) for the duration of this Professorship towards the cost of training and development for the member of staff in the 5 year support post.

While recognising that the NIHR Global Research Professorship primarily represents an investment in an individual, NIHR expects to see consideration of training for those researchers based in LMICs to support capacity building.

Whilst training and development costs for these awards are restricted to the NIHR Global Research Professor and the five year Support Staff post, the NIHR welcomes any additional contributions from host partnerships to the training and development costs for all Support Staff.

### **Overseas Research Visits**

Please provide costs for any overseas research visits that the nominee wishes to undertake during the course of the award. The NIHR Academy will consider overseas research visits on an individual basis and reserves the right to limit expenditure.

### **Support post – PhD fees**

Where relevant, NIHR will make an estimated maximum contribution of £4,327 per year, based on Research Council UK 2019 published PhD fees.

## **INDIRECT COSTS/OVERHEADS**

### **HEI Indirect Costs**

Total HEI indirect costs must be fully justified. HEIs are permitted to claim estate and other indirect costs. These costs are calculated on the basis of TRAC methodology. Proposals from other types of institutions/organisations should leave this section blank.

HEI indirect costs are based on the number of full-time equivalent research staff working on the research and the indirect/estates charges set by an institution. Please note HEI indirect costs cannot be claimed on shared staff costs. Where staff from more than one HEI are working on the research there may be different indirect/estates charges for each one. Please list each institution on a separate line.

The applicant(s) should consult their HEI Finance Departments for the appropriate figures to include in the estate charges and other indirect cost sections

### **Commercial/Other Partner Organisation Indirect Costs**

Commercial/Other Partner Organisations can claim indirect costs which are the costs of resources used by the research that are shared by other activities. Please seek advice from your finance department about the appropriate cost for this section.

Total Commercial/Other Partner Organisation indirect costs must be fully justified.

### **I) Indirect Costs**

Indirect costs will be charged in proportion to the amount of research staff effort requested on the award. Commercial/Other Partner Organisations should calculate them, using their own cost rates.

They comprise:

- General office and basic laboratory consumables
- Premises costs

- Library services/learning resources
- Typing/secretarial
- Finance, personnel, public relations and departmental services
- Usage costs of major research facilities
- Central and distributed computing
- Charge out rates for shared equipment
- Cost of capital employed

### **NHS SUPPORT AND TREATMENT COSTS (incl. Excess Treatment Costs/Savings)**

The finance section includes a section that asks researchers to provide an estimate of the patient care costs associated with the research (if applicable). An explanation of why these costs are being incurred and the basis on which the estimations have been made should be fully detailed under the relevant 'Justification of Costs' section.

The Selection Committee will take NHS Support and Treatment Costs into account when considering the value for money of the research. It is important that you consider these costs and discuss them with the NHS bodies or providers of NHS services involved in order to avoid any delay in commencing the research.

Please be aware that the research award does NOT include NHS Support and/or Treatment Costs.

**Please note that as part of the work to address the issues surrounding the way in which Excess Treatment Costs are funded, new arrangements are now being implemented as part of a pilot.**

To underpin the new arrangements, a cost attribution tool has been created by the Health Research Authority (HRA) in partnership with charity funders and research sponsors. This tool provides a standardised approach across England, ensuring that the attribution of study activities complies with the Department of Health and Social Care Guidance on Attributing the Costs of Health and Social Care Research and Development (AcoRD). As part of their funding applications, researchers are required to complete this new tool, known as a Schedule of Events Cost Attribution Tool (SoECAT) for clinical research, which has been developed from the current HRA Schedule of Events. This tool is designed to capture the different costs associated with clinical research and attribute them accordingly. The totals for excess treatment costs and NHS support costs calculated by using the SoECAT can be entered directly into the application form.

Researchers and/ or their study teams and Research Sponsor/ Lead NHS Provider (e.g. R&D office/ Clinical Trial Unit) are supported by AcoRD Specialists in the Local CRN to verify the accuracy of the SoECAT.

Under the new arrangements, sign off via the LCRN AcoRD Specialist is required to confirm the study attribution complies with the Department of Health and Social Care AcoRD guidance. This early attribution support will underpin the excess treatment cost management process by providing formal sign off, supporting the role of the research sponsor and lead R&D office or Clinical Trial Unit. Completion of the Schedule of Events Cost Attribution Tool will be required for studies eligible for the NIHR portfolio and the support this provides, which will include access to excess treatment cost payments under the new arrangements. This ETC value, alongside recruitment activity in the NIHR Central Portfolio Management System, will then be utilised to inform the payments to NHS providers.

A completed Schedule of Events Cost Attribution Tool (SoECAT) is now required to be uploaded and submitted as part of the application submission for all applications. The SoECAT must be signed off by an AcoRD Specialist even where there are no excess treatment costs.

More information can be found [here](#):

[Download the supporting guidance for researchers, study teams and sponsors to complete the SoECAT](#)

[Download the Schedule of Events Cost Attribution Tool \(SoECAT\)](#)

### **I) NHS Support Costs**

These are the additional patient care costs associated with the research, which would end once the R&D activity in question has stopped, even if the patient care service involved continues to be provided. These might cover items such as extra patient tests, extra in-patient days and extra nursing attention. Applicants should contact their local NHS R&D Department initially and, if they are unable to help directly or if there is no local NHS R&D Department, contact their Local Clinical Research Network (LCRN) for advice on NHS Support Costs. Further details about LCRN contacts are available at <https://local.nihr.ac.uk/lcrn/>.

### **II) NHS Treatment Costs**

Please read the following guidance on the funding of excess treatment costs prior to completing your application <https://www.england.nhs.uk/ourwork/research/etc/>.

These are the patient care costs that would continue to be incurred if the patient care service in question continued to be provided after the R&D activity has stopped. In determining NHS Treatment costs you **must** assume that the patient care service being assessed will continue even though there may be no plans for it to do so. Where patient care is being provided which differs from the normal, standard, treatment for that condition (either an experimental treatment or a service in a different location from where it would normally be given), the difference between the total Treatment Costs and the costs of the "usual standard care" (if any) constitutes Excess Treatment Cost/Saving, but is nonetheless part of the Treatment Cost, not an NHS Support or Research Cost. These costs should be determined in conjunction with your NHS body or provider of NHS services and their commissioners.

Please note if the patient care intervention under investigation is **in addition to** usual care there is no need to complete the 'Usual Treatment Costs' section however this will need to be justified in the relevant 'Justification of Costs' section. If the patient care intervention under investigation either wholly or partially replaces usual care, the 'Usual Treatment Costs' section must be completed.

**For further information, please see:**

Attributing the costs of health and social care research and development (AcoRD)

<https://www.gov.uk/government/publications/guidance-on-attributing-the-costs-of-health-and-social-care-research>

## **SUMMARY OF COSTS**

- NIHR programmes currently fund HEIs at a maximum of 80% of full economic cost, NHS bodies and other providers of NHS services in England 100% and commercial/other partner organisations at 100%.

- Please note that whilst these percentages will be used to calculate the maximum grant payable, the programme reserves the right to award a grant for less than this maximum where it is considered appropriate.

## **Further Information for finances for NIHR Global Research Professorships**

### **Can funding be disbursed to partner institutions in OECD DAC-list countries?**

Yes. We strongly encourage partnerships with LMIC researchers and institutions and would welcome this, at the discretion of the lead UK HEI. The UK HEI will act as the contracting organisation, meaning that it will be the recipient of the funds, and will ultimately be responsible for the delivery of the research. All funding must be routed through the UK HEI and it will be the responsibility of the UK HEI to undertake appropriate due diligence and instigate appropriate and relevant financial controls for any funding to be disbursed to other organisations including those in LMICs.

All research costs, including those to LMICs need to be justified in the application and should reflect the principles of equitable partnerships. Guidance on equitable research partnerships can be found on the NIHR Global Research webpage: <https://www.nihr.ac.uk/funding-and-support/global-health-research/support-and-guidance.htm>

### **How should the funding be split between the lead UK institution and any LMIC organisation?**

Payment will be made to the contracted UK HEI only and the UK HEI will be responsible for passing on any money due to their partner organisation(s). There are no set guidelines as to the percentage breakdown of funding between partnering organisation and any funding split should be discussed and agreed between the UK HEI and the partner organisation(s). However, your research must meet the ODA compliance criteria and all research costs should be justified in the application and reflect the principles of equitable partnerships. Guidance on equitable research partnerships can be found on the NIHR Global Research webpage: <https://www.nihr.ac.uk/funding-and-support/global-health-research/support-and-guidance.htm>

### **Will the award fund staff in LMIC countries?**

Yes, staff employed to work in partner LMIC institution(s) may be included in the costings. Where they will be working in the three 'Support Staff' posts they should be entered in the Direct Costs as 'Support Staff'.

The proportions of time for all other staff at LMIC institution(s) who are contributing to the research should be added as 'Shared Staff'. 'Shared Staff' costs are costs of an institution's research resources which can be charged to the research on the basis of estimated use, rather than actual costs. These may include: IT technicians, laboratory staff, and costs of pooled staff efforts. HEI indirect costs cannot be claimed on these shared costs. It is expected that no more than 30% of each individual's time can be claimed as 'Shared Staff' costs.

Each team member, whether Support or Shared Staff, will need to be fully justified and reasonable consideration given to how much time they will be spending on the associated work.

### **Can overseas allowances be claimed?**

Yes, if the NIHR Global Research Professor and any Support Staff are based overseas, relocation expenses will be considered, provided that these are costed at standard rates according to the host institution's policy. If the host institution does not have a policy for these allowances, then advice should be sought from the NIHR Academy.

### **Will travel costs be supported?**

There is some flexibility for travel between the UK and the LMIC(s) for the NIHR Global Research Professor and all Support Staff. For example, regular visits may be required to oversee the research being conducted overseas, maintain involvement in the conduct and progress of the research and provide training and mentorship.

The NIHR Global Research Professors can travel overseas for field work, collaboration and to ensure support and supervision. Support Staff can also travel overseas where there is a clear rationale and research need for them to do so. Any costs related to this must be fully justified in the application.

### **What is considered “value for money”?**

The NIHR Global Research Professorship programme considers good value for money as the optimal use of resources to achieve the intended outcomes. ‘Optimal’ being considered as ‘the most desirable possible given expressed or implied restrictions or constraints’. Value for money goes beyond achieving the lowest initial price and includes consideration of Economy, Efficiency, Effectiveness, and Equity (as appropriate) and what these mean in the context of a research professorship application:

- Economy: Are we buying inputs of the appropriate quality at the right price? (Inputs are things such as staff, consultants, raw materials and capital that are used to produce outputs)
- Efficiency: How well do we convert inputs into outputs? (Outputs are results delivered by us or our agents to an external party. We exercise strong control over the quality and quantity of outputs)
- Effectiveness: How well are the outputs from an intervention achieving the desired outcome? (Note that in contrast to outputs, we do not exercise direct control over outcomes)
- Equity: the extent to which the outputs of our interventions are equitably distributed

NIHR may challenge proposed costs that it does not consider appropriate or does not offer value for money, for example Business Class travel.

### **Can large items of equipment over £5,000 be purchased under the award?**

Essential equipment costs including maintenance and related costs not included as part of estates should be input in the ‘Detailed Budget Breakdown’ of Stage 2 applications under ‘Equipment’. For applications to the NIHR Global Research Professorship the equipment cost cap of £5,000 does not apply. Instead the proposed cost of **all** equipment to be purchased needs to be fully justified and all proposed costs should be good value for money. NIHR may challenge proposed costs that it does not consider appropriate or does not offer value for money.

Please note that equipment bought within the NHS cannot be funded by the NIHR. Please ensure no NHS equipment costs are included in your application.

Costs of computers are normally restricted to a maximum of £650 each excluding VAT and a statement of justification must be included, in the relevant 'Justification of Costs' section for any purchase above this limit.

Equipment must exclude VAT, but if your organisation is unable to reclaim/recover the VAT on a piece of equipment, you should check the box 'VAT cannot be reclaimed'. You will need to seek expert advice from the organisation purchasing the equipment regarding its VAT status. If you check the 'VAT cannot be reclaimed' column, VAT at 20% will automatically be calculated into the overall cost of that item.

### **Can full economic costs be claimed for both the UK HEI and OECD DAC-list partner institutions?**

#### 1. UK based HEIs

UK based HEIs should determine the Full Economic Cost (FEC) of their research using the Transparent Approach to Costing (TRAC) methodology. For HEIs in the UK, up to 80% of FEC will be paid, provided that TRAC methodology has been used.

#### 2. Research institutions based in LMICs

All costs including direct and indirect will be supported at 100%. Indirect costs must be fully justified as to why these costs are being requested and how they will contribute to the proposed research.

#### 3. Commercial/other partner organisations

For a commercial organisation/consultancy, please fill in direct costs and indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of direct costs will be paid. The NIHR reserves the right to set limits on indirect costs charged.

For other partner organisation (e.g. charity or NGO), please fill in direct costs and indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of direct costs will be paid. The NIHR reserves the right to set limits on indirect costs charged.

## **Additional Supporting Information**

### **Plagiarism in NIHR funding applications**

NIHR expects all content within applications for funding to be original material of the applicant's own work, with the exception of sections that other participants are required to complete. Whilst we anticipate and expect that applicants will get help and advice from various sources when putting together an application, including on occasion input from those previously awarded funding, care must be taken to ensure this does not lead to plagiarism of either published work or other previous applications. If an allegation of plagiarism is raised against an application this will be investigated in accordance with the NIHR Academy's policy on plagiarism, a copy of which is available on request from [academy-awards@nihr.ac.uk](mailto:academy-awards@nihr.ac.uk).

### **NIHR Privacy Policy**

Our purpose for collecting information is to communicate with you about your application and have the necessary information to evaluate you for a grant. The data we collect here is collected in the public interest. Information provided here may be subject to Freedom of Information requests.

The NIHR Academy is part of the Department for Health and Social Care (DHSC), National Institute for Health Research (NIHR). The contracting agent for the NIHR Academy is the Leeds Teaching Hospital Trust (LTHT). The DHSC is the Data Controller and LTHT is the Data Processor under the General Data Protection Regulation (GDPR) EC 2016/679. DHSC NIHR respects the privacy of individuals who share their data and processes it in a manner that meets the requirements of GDPR. The DHSC Data Protection Officer can be contacted by email at: [data\\_protection@dh.gsi.gov.uk](mailto:data_protection@dh.gsi.gov.uk)

The [NIHR privacy policy](#) includes further information including ways we may use your data, our contact details and details on your individual rights regarding how your data is used. Your data may be shared across the NIHR, including with other coordinating centres, to allow the application to be managed and for statistical analysis, and with external grant reviewers as part of the process for managing the allocation of a grant. Information collected from you will not be shared outside the EEA without your consent.

This notice is under constant review and will be updated and / or revised based on that review as appropriate.

### **International Standard Randomised Controlled Trial Number (ISRCTN)**

All primary research studies need to be assigned an ISRCTN. You can view the ISRCTN website at: [www.isrctn.org/](http://www.isrctn.org/). Please note that the remit of this database has been widened to include all primary research projects, even those that are not randomised controlled trials. There is no registration fee for NIHR funded trials.

### **Requirements for systematic reviews to be registered with PROSPERO**

Applicants undertaking systematic reviews should note the commitment of NIHR to publication in the database. PROSPERO was developed by the NIHR's Centre for Reviews and Dissemination (CRD), and is the first online facility to register systematic reviews for research about health and social care from all around the world. Access is completely free and open to the public. PROSPERO registration is a condition of NIHR funding for eligible systematic reviews. Link to PROSPERO website:

<http://www.crd.york.ac.uk/prospero/>.

### **UK Biobank**

UK Biobank is a major national health resource, and a registered charity in its own right, with the aim of improving the prevention, diagnosis and treatment of a wide range of serious and life-threatening illnesses – including cancer, heart diseases, stroke, diabetes, arthritis,

osteoporosis, eye disorders, depression and forms of dementia. UK Biobank recruited 500,000 people aged between 40-69 years in 2006-2010 from across the country to take part in this project. They have undergone measures, provided blood, urine and saliva samples for future analysis as well as detailed information about themselves. The health of members of this large cohort will be followed over the coming years and the participants have consented to be approached about health research. <http://www.ukbiobank.ac.uk/>

Applicants are encouraged to consider whether Biobank may be able to provide suitable data for their study. We do not want to discourage establishment of new collections of participants and their data where this is necessary to address the research questions under consideration, our aim is to avoid applications for funding to set up Biobank-like cohorts where the use of Biobank would prevent wasteful duplication of Biobank-like activities.

### **NIHR Carbon Reduction Guidelines**

Researchers applying for NIHR funding are asked to consider the carbon footprint of their research and take steps to reduce carbon emissions where appropriate. Advice on how to do this can be obtained from the NIHR Carbon Reduction Guidelines <https://www.nihr.ac.uk/documents/the-nihr-carbon-reduction-guidelines/21685>.

### **Transparency Agenda**

In line with the government's transparency agenda, any contract resulting from this tender may be published in its entirety to the general public. Further information on the transparency agenda is at:

<https://www.gov.uk/government/publications/procurement-and-contracting-transparency-requirements-guidance>.

### **Clinical Trials Unit (CTU) support**

Applicants thinking of including a clinical trial, feasibility or pilot study as part of their application, or are undertaking a research and/or training related to clinical trials are encouraged to consider working with a CTU where appropriate. Further guidance for and applicants is available in the NIHR Clinical Trials Guide for Trainees (<https://www.nihr.ac.uk/documents/clinical-trials-guide/20595>). This includes guidance on how to go about approaching a suitable CTU to support your application.

### **MRC Complex Intervention Guidance**

Where appropriate applicants are encouraged to read the MRC complex interventions guidance available here: <https://www.mrc.ac.uk/documents/pdf/complex-interventions-guidance/>.

### **NIHR Research Design Service**

The NIHR Research Design Service (RDS) supports prospective applicants to make high quality applications for research funding from the NIHR and from other national research funders. Assistance is primarily focused around refinement of research questions, research design and methodological support. Complementing the advice applicants receive from supervisors and/or mentors. The RDS also assists prospective applicants to understand the scope of the NIHR's various funding streams and to develop patient and public involvement (PPI) strategies. The RDS may be able to support applicants with small grants to work up PPI plans with, for example, patient and service user groups.

The RDS has regional offices and links with local networks. Further information regarding support that the RDS can provide and contact information for each regional office is available via the NIHR website: <https://www.nihr.ac.uk/explore-nihr/support/research-design-service.htm>.

## **NIHR INVOLVE**

INVOLVE is funded by the National Institute for Health Research, to support active public involvement in NHS, public health and adult social care research.

As a national advisory group, its role is to bring together expertise, insight and experience in the field of public involvement in research, with the aim of advancing it as an essential part of the process by which research is identified, prioritised, designed, conducted and disseminated.

INVOLVE can support prospective applicants and existing awardees to incorporate effective patient and public involvement into their work. Support includes; help with calculating appropriate costs for involving patients and the public, help with developing potential strategies for involvement, case studies of involvement activities including the impact they have had, and help with writing plain English summaries.

Full details of the support INVOLVE can provide and contact information is available via the INVOLVE website: [www.invo.org.uk](http://www.invo.org.uk).

## **CRN support**

The NIHR Clinical Research Network (CRN) supports researchers and the life sciences industry in planning, setting up and delivering high quality research to the agreed timelines and study recruitment target, for the benefit of the NHS and its patients, and the social care system and people supported by it, in England.

In partnership with your local R&D office, we encourage you to involve your [local CRN team](#) in discussions as early as possible when planning your study to fully benefit from the support the NIHR CRN offers as outlined in their Study Support Service. To find out more about how you can apply for this additional support to help deliver your study, please visit [www.supportmystudy.nihr.ac.uk](http://www.supportmystudy.nihr.ac.uk).

## **Ethics / Regulatory Approvals**

Guidance on the application process for ethical and other approvals can be found on the [HRA website](#). Please note that if your study is led from England and involves the NHS in England you should apply for [HRA approval](#).

If you are using patient or service user information from an existing database, you should check whether those individuals have given their consent for their data to be included in that database for research purposes, or if not whether the database is exempt under Section 251 of the NHS Act 2006. Where exemptions are not already in place, approval to use confidential patient information without consent must be requested from the HRA who make decisions with advice from the [Confidentiality Advisory Group \(CAG\)](#).

NOTE: NIHR is interested in taking advantage of the growing utility of routine data (such as HES, GP records etc.), and would like investigators, where appropriate, to ask study participants to consent to long term follow up (e.g. beyond the outcomes to be collected in the funded trial) using routinely collected data, and appropriate linkage to allow this data to be best used.

**Example of host organisation support for a NIHR Research Professorship or NIHR Global Research Professorship candidate.**

Should the Selection Committee consider the host support to be insufficient, then it is highly unlikely that an award will be made.

Questions	Response
<p>For the recycling of the applicant's salary, please state how this will be used to support the nominee.</p>	<p>Professor X's salary will be used to appoint a clinical senior lecturer who will work directly with them on the proposed projects. The new appointment will deputise as required for some of Professor X's administrative duties, including on executive committees. The new senior lecturer will undertake lecturing duties in lieu of Professor X and will undertake supervisory roles for X-X clinical trainees per year, currently allocated to the applicant.</p> <p>As the new senior lecturer post will be on a lower scale than Professor X, the remaining money will be used to increase the 0.5 fte personal administrator support to full time.</p> <p>These appointments will substantially reduce the burden of administration, teaching, supervision and regular meetings that will allow Professor X to focus on research and developing early career researchers.</p>
<p>Please state what additional support will be given to the nominee over the short, medium and long term.</p>	<p>In addition to recycling Professor X's salary the partnership will provide:</p> <p>Short term (1-3 years)</p> <ul style="list-style-type: none"> <li>• Insert name of new piece of large scale equipment to be used by Professor X (approx. £2m) + additional computing system for data analysis (approx. £10k).</li> <li>• Refurbished additional office/analysis space adjacent to new equipment to accommodate staff (approx. £20k).</li> <li>• Full time clinical research nurse.</li> <li>• Additional research management support to co-ordinate meetings and correspondence with co-investigators and oversee regulatory and reporting requirements.</li> <li>• 1 PhD studentship.</li> <li>• 1 Clinical PhD studentship.</li> <li>• Clinical Governance support to help with study set-up/ethics and sponsorship.</li> <li>• IT support to optimise patient management and database development.</li> <li>• Research mentoring from high calibre academics within the partnership.</li> <li>• Support for training and leadership through personalised development plans enshrining NIHR Professorship goals.</li> </ul> <p>Medium term (3-5 years)</p> <p>The partnership will continue with the same level of support outlined in the short-term in addition to:</p> <ul style="list-style-type: none"> <li>• Creation of a clinical research facility in (insert name of specialty) that Professor X will direct.</li> </ul>

	<ul style="list-style-type: none"><li>• Appointment of a complimentary academic post at chair level and support posts, enhancing critical mass and interdisciplinary collaboration.</li><li>• Senior Leadership Training to compliment external programme outlined in the application.</li></ul> <p>Long term (5 years +)</p> <p>Beyond the NIHR Professorship we will ensure continuity of support to Professor X's research group befitting their standing through providing:</p> <ul style="list-style-type: none"><li>• 2 core funded support posts (HEFCE).</li><li>• Development towards theme lead/director.</li><li>• Institutional support towards any external appointment (e.g. charity/specialty specific chair).</li><li>• Continued investment in state-of-the-art clinical research facilities to ensure they have a world class environment in which to remain globally competitive.</li></ul>
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