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AI in Health and Care Award   
Stage 1 standard application form

This Word template of the AI in Health and Care Award application form can be used to assist applicants complete the online application form; it cannot be submitted as an application. Only applications submitted online via the PMO RMS will be accepted, however, information can be copied from the Word template into the online application form.

# Introduction

Please note the following information and guidance is intended for applicants submitting a **Stage 1** **AI in Health and Care Award** application.

There are a number of **online guidance prompts**(marked as a **?**) available to you throughout the online form to help you when completing an application. It is **strongly advised** that you also read the [Guidance for Applicants](https://www.nihr.ac.uk/documents/artificial-intelligence-in-health-and-care-award-guidance-for-competition-2-all-phases-stage-1/26004) before completing your application.

Stage 1 applications should observe the maximum word limits as indicated throughout the form. **Keep the use of acronyms to a minimum**. Only use acronyms where a term is used frequently throughout the application. If you do choose to use an acronym, do not assume that the reader knows what it means, and be sure to define it when first used.

You are strongly advised to structure the longer sections of the application form (particularly the Project Plan) in such a way that they can be read easily by reviewers. Schematics, tables, illustrations, graphs, and other types of graphics can be embedded to clarify the project plan but they should not clutter the central narrative. Images do not count towards the overall word count but inclusion of them to overcome word limits is not permitted. Images may only be included within the 'Project Plan.' Images include

d in other sections will be removed from the application and not seen by reviewers. **The use of long passages of dense, unstructured text should be avoided.**

Members of the project team will need to be registered through the system *via* email to participate as co-applicants after which they must **confirm** their participation. You will not be able to submit the application until co-applicants have confirmed their involvement.

**Whilst confirming an application can be done at any time during the submission of an application, you are strongly advised to do this well in advance of the deadline.**

**If you have any queries with your application, you can contact the Programme Management Office by emailing** [enquiries@ai-award.info](mailto:enquiries@aifund.info).

# Section 1: Application Summary Information

**Programme:**

**Call:**

**AI Award Phase:**

Please indicate the AI Award phase to which you are applying based on the development stage of the proposed technology.(Select)   / Phase 2: Product development & clinical evaluation / Phase 3: Real world testing / Phase 4: Initial health system adoption

**Justification for AI Award Phase:**

Detail how the proposed technology meets the minimum criteria for the phase to which you are applying. Specify the entry and exit points of the proposed technology, and that of the AI component, if different to that of the proposed technology. Provide details of regulatory approvals received or in preparation (e.g. CE marking). 300 words

**AI Solution Category:**

*Please select the most relevant*

Health promotion & prevention / Diagnosis & treatment / System efficiency

**Lead organisation (which will administer any award):**

 UK based Small and Medium Enterprises (SMEs), Universities, Charities, Local Authorities, and NHS organisations or other providers of NHS or social care services are eligible to apply.

For Phase 3 and 4, non-UK headquartered internationally based organisations and larger companies are also eligible, provided they have a UK registered office or a UK health or social care organisation as a co-lead applicant*.*

**NOTE: If your organisation does not appear on this list, please contact** [enquiries@ai-award.info](mailto:enquiries@ai-award.info)*.*

**Project title:**

The project title should be both concise and clearly descriptive and should contain keywords relevant to the project.

**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.

**Project duration:**

Ensure you include sufficient time to complete all aspects of the project including applications for regulatory approvals (where required)

Note:

Phase 2: Product development and clinical evaluation projects can be a minimum of 12 months up to a maximum of 36 months

Phase 3: Real world testing projects can be a minimum of 12 months up to a maximum of 36 months

Phase 4: Initial health system adoption projects can be a minimum of 12 months up to a maximum of 36 months

**End date:**

**Estimated project costs:**

Enter the total amount of project costs requested (not including NHS Support & Treatment costs).

Note:

Phase 2, 3, & 4: There are no set limits to the funding available

Please enter the total amount of project costs requested in £s only (not including NHS Support & Treatment costs or external (not NHS) intervention costs). NHS Support & Treatment Costs will not be met by any AI Award but will be taken into account by the AI funding panel when assessing the overall value for money provided by the proposed project.

Higher Education Institutions (HEIs) should determine the Full Economic Cost (FEC) of the project 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.**

For Phase 2 (NIHR-supported) applications where the contractor is an NHS body or provider of NHS services in the UK, up to 100% of direct costs will be paid. For Phase 3 and 4 applications where the contractor is an NHS body or provider of NHS services in the UK, please state all direct costs and indirect costs. Indirect costs should be charged in proportion to the amount of staff effort requested on the funding application form. Up to 100% of costs will be paid.

If you are a commercial organisation/consultancy, please state all direct costs and indirect costs. Indirect costs should be charged in proportion to the amount of staff effort requested on the funding application form. Up to 100% of costs will be paid.

**Estimated NHS support & treatment costs or external (not NHS) intervention costs:**

Enter the total amount of NHS support and treatment costs associated with this proposal.

Note: The funding panel will take NHS support and treatment costs into account when considering the value for money of the proposed project. 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 project.

**Agreement to terms and conditions:**

In ticking this, you as Lead Applicant confirm that the information given on this form is complete and correct and that you will be actively engaged in this project and responsible for its overall management.

# Section 2: Lead Applicant details

Some of the responses required in this section will have been pre-populated, any remaining fields must be completed.

|  |  |
| --- | --- |
| **Lead Applicant details** | **Responses** |
| Full Name: | (Auto populated from the ‘Manage my details’ section) |
| Position: | (Auto populated from the ‘Manage my details’ section) |
| ORCID ID: |  |
| Institution: |  |

All information on this page is auto-populated from the ‘Manage my Details’ section within the Lead Applicant’s CCF RMS portal account, which should be updated and edited prior to submission.

All information on this page is auto-populated from the ‘Manage my Details’ section within the Lead Applicant’s Programme Management Office RMS portal account, which should be updated and edited prior to submission.

Note: If you do not have an ORCID iD, please create one on the [ORCID website](https://orcid.org/).

Please ensure that your role on this project and the %FTE commitment information is detailed within ‘The project team’ section.

# Section 3: The Project Team

**Specify your (lead applicant) role in the project:**

Explain in addition to your role as Lead Applicant, the role that you will be undertaking in the research, e.g. coordination and project management, analysis, methodological input etc.

**%FTE commitment:**

This refers to the percentage of your time that you will commit to this project. If you are funded as part of other NIHR projects that will be running concurrently, your time must not exceed 100% overall.

**Please select if there is more than one Lead Applicant:**

Where appropriate and justified, it is acceptable for the application to be led by joint Lead Applicants.

In exceptional circumstances, applications may be led by joint Lead Applicants. Justification should be given to demonstrate why more than one person would be required to lead this research (and how this brings added value to the application.

NOTE: For application/contracting purposes, the joint lead applicant will be regarded as a co-applicant.

## Add Joint Lead Applicant and %FTE commitment

Use the fields below to search for a contact

|  |  |
| --- | --- |
| **Joint Lead Applicant** | **Responses** |
| Full Name: | (Auto populated from the ‘Manage my details’ section) |
| Position: | (Auto populated from the ‘Manage my details’ section) |
| ORCID ID: |  |
| Institution: |  |

**Justification for joint Lead Applicant and role in research:**

Justification should be given to demonstrate why more than one person would be required to lead this project and how this brings added value to the application. Please also provide a brief overview of the Joint Lead’s role in the project.

**%FTE commitment:**

Please include the percentage of time that you will devote to the research.

NOTE: Full-Time Equivalent (FTE): percentage of full-time hours per week.

**Co-applicant role and %FTE commitment:**

Add details of all co-applicants and their specific role in the project. Do not include collaborators, who should be mentioned (if necessary) in the Project Plan section of the on-line application form.

We encourage the inclusion of public co-applicants, where appropriate. Please include a clear description of their role and the reasons why a public co-applicant is joining the team. For further information please access the [Public Co-applicants in Research guidance](https://www.invo.org.uk/posttypepublication/public-co-applicants-in-research-guidance-on-roles-and-responsibilities/).

Co-applicants are those individuals with responsibility for the day to day management and delivery of the project. Co-applicants, including public co-applicants, are considered part of the project team and are expected to share responsibility for its successful delivery. In contrast, collaborators normally provide specific expertise on particular aspects of the project but who do not share in the responsibility for the delivery of the project.

**PPI Lead**

There should be a named person with appropriate skills and experience who is responsible for leading the PPI element within the project. This role should be an adequately costed and resourced team member who is able to manage the PPI plans and related activities. [More information and examples of the activities a PPI lead might undertake can be found in our guidance on the NIHR website](https://www.nihr.ac.uk/documents/definition-and-role-of-the-designated-ppi-patient-and-public-involvement-lead-in-a-research-team/23441).

IMPORTANT: Colleagues will need to register to participate as co-applicants after which they must both confirm and approve their participation; the application cannot be submitted without doing so.

A maximum of 10 co-applicants is permitted (which includes the joint lead applicant if listed).

## Add co-applicant role and %FTE commitment

Co-applicant details are auto-populated from the co-applicant’s ‘Manage my Details’ section, which should be updated prior to submission.

Use the fields below to search for a contact

**Name of co-applicant:**

Please note a colleague should first be 'invited', once this has been completed their details will automatically appear in the field below.

**Specify role in research:**

Each co-applicant should provide a brief overview of their role in the proposed research. You have the opportunity to elaborate upon this further in the **‘Project Plan’** section.

**%FTE Commitment:**

This refers to the percentage of your time that you will commit to this project.

# Section 4: Plain English summary of research

A plain English summary is a clear explanation of your project

Many reviewers use this summary to inform their review of your funding application. They include clinicians, other 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 the 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:

1. those carrying out the review (reviewers and panel members) to have a better understanding of your proposal
2. inform others of about your project such as members of the public, health and social care professionals, policy makers and the media
3. the funders to publicise the work that they fund

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

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

Content

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

1. aim(s) of the project
2. background to the project
3. work plan
4. patient and public involvement
5. dissemination and anticipated outcomes

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 [Plain English summaries](https://www.nihr.ac.uk/documents/plain-english-summaries/27363) .

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

# Section 5: Project plan

**Research Plan**

Using all of the headings in the order presented below, please use this section to clearly explain your proposed research. Schematics, tables, illustrations, graphs, and other types of graphics can be embedded to clarify the research plan but they should not clutter the central narrative. Images do not count towards the overall word count but inclusion of them to overcome word limits is not permitted. Images may only be included within the ‘Research Plan’. Images included in other sections will be removed from the application and not seen by reviewers.

For further information about what is required under each heading, please refer to the [guidance for Stage 1 applicants.](https://www.nihr.ac.uk/documents/artificial-intelligence-in-health-and-care-award-guidance-for-competition-2-all-phases-stage-1-application-form/26006)

**As this is the main part of your application** **which will be considered by the reviewing panel, you should ensure that the information is accurate, succinct, clearly laid out and provides sufficient detail.**

1. **NHS unmet need and market pain**

Provide a clear explanation of the health or social care problem that will be addressed by your AI solution, the impact on patients as well as health or social care services, and how this work would fill a demonstrable evidence gap.

Include a description of how your AI solution will support the NHS Long Term Plan, NHSX strategic priorities and/or wider government priorities including the Industrial Strategy grand challenges or resource efficiency. Please report market size, any related trend or forecast, patient population affected, NHS cost burden, and state of the art.

1. **Benefit to patients, the NHS and the wider population**

Provide a clear case of how the proposed device, technology or intervention will change clinical or social care practice and provide benefit to patients (such as reduced mortality or morbidity, improved quality of life, reduced misdiagnosis, and improved patient outcomes and experiences). Potential cost savings for the NHS should also be provided, along with details of the expected involvement of patient and/or public representatives during the product development process. Include references as appropriate.

Please note that your AI solution must have the potential to be cost effective and meet at least one of the following criteria:

* Improvement in patient and/or service-user outcomes
* Improvement in patient and/or service-user experience
* Improvement in operational efficiency

If you are applying in Phase 3 or 4 under one of the focus areas including self-management of long term conditions, diagnostic support, improving operational/ system efficiency, supporting elective recovery, please specify which one under this heading, and explain how your project fits the remit of the focus area.

1. **The proposed innovation**

Provide a clear description of the proposed innovation and its AI or learning component, including details of its functionality, structure and intended use. **Provide details of any existing proof of concept, pilot, efficacy, usability or validation data for the proposed innovation and that of the AI component, if different to that of the proposed innovation**. **Include details of any training datasets that were used and clarify if the AI component has been validated on an independent dataset. Provide full details of regulatory status as outlined in the** [Guidance for Stage 1](https://www.nihr.ac.uk/documents/artificial-intelligence-in-health-and-care-award-guidance-for-competition-2-all-phases-stage-1-application-form/26006). Explain the level of innovation of the proposed technology and the intellectual property position, accompanied by a review of the existing evidence surrounding similar products that may already be on the market, and of any relevant ongoing research in the area of focus. A consideration of the proposed barriers to clinical adoption must also be clearly articulated, including details on the [interoperability](https://www.england.nhs.uk/digitaltechnology/connecteddigitalsystems/interoperability/) of the proposed innovation with existing NHS or care systems.

1. **Work plan**

List individual work packages, including deliverables and milestones, the key risks and how these will be mitigated. Work packages may focus on, for example, technical, clinical or commercial aspects of the project. Include a description of the main hurdles to be overcome technically, clinically and commercially. Detail the key risks to your project (including technical, clinical, regulatory, financial and IP risks) and the steps you will take to manage and mitigate these risks. Ensure that these risks are considered when defining milestones (the go/no go points for your project).

1. **NHS adoption strategy**

Present a specific strategy for adoption of the technology into the NHS or care system. Describe the process by which the technology will enter the health or care environment, including how your solution will be acknowledged, selected and introduced for use in the health and care service or wider society. Detail what current and future barriers to adoption are likely to be encountered, and a strategy for overcoming them. Where possible, consider how your solution will be adopted and implemented longer term, and what efforts and investment are likely to be needed beyond the project to achieve widespread adoption. Adoption sites can be described here if applicable.

1. **Team**

If necessary, collaborators and sub-contractors may be described in the Project Plan. Collaborators normally provide specific expertise on particular aspects of the project but do not share in the responsibility for the delivery of the project. Sub-contractors may provide external specialist services which cannot be provided by the organisation leading the project or its co-applicants or collaborators.

**3000 words**

**Patient and Public Involvement**

Please describe how you have involved patients, carers or the public in the development of your proposed innovation, and/or what plans you have to involve them in future development. 300 words

# Section 6: Uploads

**Mandatory**

Attach one single-side A4 page listing references used throughout your proposal.

**Gantt Chart** - Attach a Gantt chart indicating a schedule for the completion of work, including the timing of key milestones and deliverables

**NOTE: Uploads MUST be provided as a Word or PDF**

# Section 7: Validation Summary

**Print/View Application**

Please follow the next steps in order to complete your application submission process:

* **Validate** all mandatory/required fields listed below (that are required to be completed/amended before submitting)
* Check all co-applicants have completed their CV details as appropriate and review the PDF final version for any formatting issues
* Click **'Save and Close'**
* Click the **'Submit'** option (this must be completed by **1pm on 7 September 2021**)

You will receive an automated email containing the acknowledgment that we have received your application.

If there are no validation requirements above you may be ready to submit the application. To do so **'Save and Close'** the application and then click **‘Submit.’**

**Please note that your submission will not be considered complete until all applicants have confirmed**  **the application and the ‘Submit’ button becomes available and is then used.**