Guidance Notes

NIHR Fellowships, Round 11

October 2017

Contents

Introduction

On behalf of the National Institute for Health Research (NIHR), the Trainees Coordinating Centre (NIHR TCC) is launching the 11th Round of the NIHR Fellowship Programme. The NIHR Fellowship Programme is funded by the Department of Health.

NIHR Fellowships are designed to support researchers whose work focuses on people and patient-based clinical and applied health research. Applications are invited from individuals working in any scientific discipline or sector, within an institution sited in England, Wales or Northern Ireland, who can demonstrate a role in, or contribution to, improving health, health care or services. Potential applicants from Wales or Northern Ireland must consult with their national Research and Development (R&D) office before applying (further information is available in the eligibility section of these notes). Scotland is not participating in the programme in 2017.

Potential applicants and their host organisations should note that NIHR Fellowships are personal awards designed to buy out an individual's salary costs, fund a training and development programme and fund the research costs needed to complete an identified research project.

The programme provides five levels of award:

- Doctoral Research Fellowship (DRF)
- Post Doctoral Fellowship (PDF)
- Transitional Research Fellowship (TRF)
- Career Development Fellowship (CDF)
- Senior Research Fellowship (SRF)

Further information about each level of the programme is given below. Please note only one application to the programme is allowed; applications to multiple levels is not permissible.

NIHR 2017 Highlight Notice

The NIHR 2017 Theme is complex health and care needs in older people. NIHR welcomes proposals for clinical and applied health research into the evaluation of healthcare interventions, health services, social care or public health measures for older people with complex health and care needs.

The NIHR welcomes all relevant applications, and particularly those addressing the key themes identified:

- Frailty,

- Transitions in care, service delivery and models of care,

- Medicines management/polypharmacy,

- Promoting healthy ageing/preventing ill health,

- Patient-centred decision making.

For more information, please see the highlight notice.

Please note that proposals do not need to fall within the above theme to apply for an NIHR Fellowship and no preference will be given to applications which are within a

themed call during the assessment process. All proposals must meet the NIHR remit which is given below.

NIHR remit

NIHR supports training in clinical and applied health research, including social care research.

The proposal must have clear potential for benefiting patients and the public within 5 years of its completion (but recognising the training element of the research).

The research can involve: patients; samples or data from patients; people who are not patients; populations; health technology assessment; or health services research.

NIHR does not itself fund basic research or work involving animals or their tissue.

If the work involves biomarkers:

- **Research that tests whether application of new knowledge can improve treatment or patient outcomes, and has obvious potential benefit within 5 years, is within remit. This might include application of known biomarkers, or other prognostic factors, to refine and test novel therapeutic strategies.**
- **Research that aims only to elucidate mechanisms underpinning disease, or identify risk factors for disease or prognosis (including search for biomarkers) is out of remit.**

The NIHR is also prepared to support high quality research into 'medical education' (defined broadly as education for healthcare providers). Whilst this area of research need not fulfil the criterion of having 'potential for benefiting patients and the public within 5 years of its completion', it is expected that the research will have the potential to have practical application.

Further clarification in the form of FAQs about the NIHR remit can be found in Annex A. Applicants must ensure they read this before starting an application.

Applications are welcome from individuals working in any scientific discipline or sector that can demonstrate a role in, and contribution to, improving the health or health care of the population served by the NHS.

NIHR Doctoral Research Fellowship

The Doctoral Research Fellowship (DRF) offers 3 years full-time funding (or 4 or 5 years part-time) to undertake a PhD and is aimed at individuals, of outstanding potential, early in their research careers. It aims to fast-track them through a customised research training programme in an environment reflecting their individual talents and training needs. It is anticipated that successful applicants would become independent research leaders within 6 to 10 years of completing the DRF award.

Following completion of the DRF, the Fellow is expected to have successfully completed a robust research and training programme and be able to show evidence of:

- Completion of the research proposed in the application, which should be within the NIHR remit (described above)
- Award of a PhD (research doctorate, not a professional doctorate)
- Completion of a substantial and wide-ranging training element
- Increased research skills
- Publications arising from the Fellowship
- Involvement in collaborative relationships

Evidence of the above will be sought through interim, annual and final report monitoring.

Eligibility

1. Applicants for a DRF must be able to demonstrate that they have previous research experience and that they are prepared to undertake a PhD (research doctorate). For example, a Masters qualification would be an indicator of such experience.

2. Fellowships are open to clinically and non-clinically trained individuals working within the NHS or recognised HEIs (Higher Education Institute).

3. Applicants with a clinical background pursuing a clinical academic career will have completed their clinical pre-registration training.

4. The DRF is intended to fund individuals to undertake a PhD. **Applicants who have already begun a programme of work to achieve a research doctorate are eligible to apply as long as, by the date that they intend to take up a DRF, they have not been registered for a PhD (or MPhil with transfer to PhD) for more than 12 months WTE (Whole Time Equivalent).** For example, if an applicant is currently spending 50% WTE working on a research doctorate and wishes to take up an award on 1 October 2018, then they must not have registered before 1 October 2016; if an applicant is currently working 100% on a research doctorate and wishes to take up an award on 1 October 2018 then they must not have registered before 1 October 2017.

   Please note, it will be assumed that if you are registered part-time for a PhD, that you are undertaking your studies at 50% WTE. If this is not the case, you need to provide an explanation and justification for the total amount of time you have spent working towards your Doctorate since the registration date.

NIHR Post Doctoral Fellowship

The Post Doctoral Fellowship (PDF) offers 3 years full time funding (or 4 or 5 years part-time) to individuals who are able to demonstrate their potential as researchers but <u>do not</u>, as yet, have sufficient experience to be fully independent. Applicants must show evidence of a clear commitment to a research career and success in the form of outputs from doctoral and post-doctoral research, where applicable. Applicants will not have more than 3 years whole-time equivalent (WTE) post-doctoral research experience at the time of applying.

Following completion of the PDF, the Fellow is expected to have successfully completed a robust research programme and be able to show evidence of:

- Completion of the research proposed in the application, which should be within the NIHR remit (described above)
- Completion of a substantial and wide-ranging training element

- Increased research skills – in existing and new areas
- Increased independence
- Publications arising from the Fellowship
- Research capacity building
- Increased management skills
- Establishing collaborative relationships

Evidence of the above will be sought through annual and final report monitoring.

Eligibility

1. Applicants for the PDF must either have a research doctorate (PhD or MD) in health-related or relevant research at the time of application **OR** have submitted their doctoral thesis (leading to the award of PhD or MD) for examination. See further information for applicants not yet awarded a doctorate below. Professional or taught doctorates are not accepted as research doctorates.

2. Fellowships are open to clinically and non-clinically trained individuals working within the NHS or recognised HEIs.

3. Applicants with a clinical background pursuing a clinical academic career will have completed their clinical pre-registration training.

4. Applicants should not have more than 3 years whole time equivalent post-doctoral research experience (i.e. 3 years WTE) at the time of application (December 2017).

5. Applicants must be able to show evidence of publication in peer reviewed journals.

6. Applicants must be able to show evidence of output from their doctorate.

Further information for applicants not yet awarded a doctorate (PDF ONLY)

1. For applicants whose doctorate has not yet been awarded, evidence of submission in the form of written confirmation from their doctoral supervisor (i.e. primary supervisor of PhD) is required at the time of application. **If a supervisor declaration is not completed by your Primary Supervisor with the rest of your declarations by 5th December 2017, your application will not be accepted**. Copies of the thesis submitted separately or at a date later than the published closing date will not be accepted.

2. Applicants who have submitted their thesis must successfully have obtained their PhD/MD **by 5pm on Friday 20 April 2018**. We define obtained PhD/MD as the following:

   - Thesis submitted
   - Viva attended
   - Corrections accepted
   - Confirmation letter from the awarding body (University etc.) that the PhD/MD has been awarded.

   You do not need to wait for graduation.

3. To retain eligibility, applicants who make the initial short-list (are expected to inform the NIHR Fellowships team of the outcome of their examination prior to **5pm on Friday 20 April 2018** and provide official evidence of their success.

4. **If the appropriate communication is not received by 5pm on Friday 20 April 2018, applicants will automatically lose their eligibility and be withdrawn from the selection process.**

NIHR Transitional Research Fellowship

The Transitional Research Fellowship (TRF) offers 18 months – 24 months funding (at 100%, 75% or 60%) to support researchers to make a transition from basic or experimental science research to an area of applied health or clinical research which is within the NIHR remit. Applicants may also use a TRF to re-establish their career in applied health or clinical research after a significant career break and can be used to provide an intense period of clinical trials training for those new or relatively new to trials and who wish to transition to become a future health research leader competent in clinical trials. Any proposed research component of the TRF application must be within the NIHR remit. The TRF should allow successful applicants to develop the skills needed to be successful in future applications for both NIHR Fellowship Programmes and wider NIHR funding opportunities. The TRF is a personal award designed to buy out an individual's salary costs and to fund an appropriate training and development programme, which may or may not include a research project component. Applicants will not have more than 5 years whole time equivalent (i.e. 5 years WTE) post-doctoral research experience at the time of applying.

Following completion of the TRF the Fellow is expected to have successfully completed a robust research (if applicable) and training programme, be competitively prepared to apply for further NIHR Fellowship and be able to show evidence of:

- A step change in research skill acquisition (if making a transition from basic or experimental research)
- Completion of a substantial and wide-ranging training element, as detailed in the application, some of which may be credit bearing at a level appropriate to the applicant
- Experience in a new area of research and completion of the research proposed in the application, if applicable, which should be within the NIHR remit (described above)
- Involvement in collaborative relationships

Evidence of the above will be sought through annual and final report monitoring.

Eligibility

1. Applicants for a TRF must have a research doctorate (PhD or MD) in health-related or relevant research at the time of application. Professional or taught doctorates are not accepted as research doctorates.

2. Fellowships are open to clinically and non-clinically trained individuals working within the NHS or recognised HEIs.

3. Applicants with a clinical background pursuing a clinical academic career will have completed their clinical pre-registration training.

4. Applicants should not have more than 5 years post-doctoral research experience (i.e. 5 years WTE) at the time of application (December 2017).

5. Applicants must have a strong publication record from both their pre-doctoral and post-doctoral research in peer reviewed journals (relative to career stage).

6. Applicants must be able to show evidence of, or potential for, research leadership.

7. Applications are welcome from:

   a. Individuals from any scientific discipline and sector who propose to transition from one research area to another that falls within the NIHR remit of clinical and applied health research. For example, basic or experimental scientists who wish to move into applied or clinical health research within the remit of NIHR.

   b. Individuals who wish to transition from one area of focus in their research to another. For example, individuals working in clinically focused research activities who wish to work in the more 'translational' area of the NIHR remit, ('bench to bedside' [T_1] and 'campus to clinic' [T_2]). Any proposed research component of the application must be within NIHR remit.

   c. Individuals with experience in applied health or clinical research who have had a significant break in their research careers. They must be able to identify clear training and development requirements to help re-establish their career and demonstrate commitment to a research career.

   d. Individuals with experience in applied health or clinical research who are looking to transition to become a future health research leader competent in clinical trials. The fellowship should provide a period of intense training in a wide range of subjects relevant to clinical trials and applicants are encouraged to partner with a Clinical Trials Unit (CTU) and undertake masters level training where appropriate. Applicants are strongly encouraged to read the additional guidance for applicants looking to include research and/or research training relevant to clinical trials in their fellowship application, particularly the key skills for competent clinical trialists. (http://www.nihr.ac.uk/traineeCTguidance). It isn't necessarily expected that an applicant looking to use a TRF for this purpose would include a clinical trial or feasibility study in their application and anyone wishing to do so should seriously consider the feasibility of completing the study within the timeframe of the award. What is important is that the fellowship as a whole must represent a high quality training vehicle for someone who wants to make a step change in their trajectory towards becoming a future health research leader competent in the design and conduct of clinical trials.

Applicants need to consider where they are going to take their research upon completion of the TRF. Applicants, especially at more senior levels, will probably be looking to other NIHR programmes, for example the Health Technology Assessment (HTA) programme, upon completion of their fellowship. If this is the intention of an applicant, it is worthwhile understanding the remit and scope of the different NIHR programmes and the nature of the research evidence that each requires as the starting point for a convincing application. TRF applicants need to be particularly mindful of this because the Panel will be looking for clear evidence that a TRF proposal will place the applicant in a strong position to apply for further NIHR funding upon completion. With

this in mind, candidates should clearly describe the transition they hope to make in their application and describe how they will make that transition during the fellowship.

NIHR Career Development Fellowship

The Career Development Fellowship (CDF) offers 3 years full-time funding (or 4 or 5 years part-time) to individuals who have significant and successful post-doctoral experience. Applicants should be able to provide evidence of a clear commitment to a research career, success in the form of outputs from doctoral and post-doctoral research and the likelihood that during a Fellowship they would become fully independent researchers. Applicants will not have more than 7 years WTE post-doctoral research experience at the time of applying. Applicants who have had a career break may be able to apply with up to 8 years WTE post-doctoral research experience.

Career Development Fellowships are personal awards and may not be used as a means to fund research projects, programmes or individuals other than the award holder and one specific support post.

Following completion of the CDF, the Fellow is expected to have successfully completed a robust research programme and be able to show evidence of:

- Completion of the research proposed in the application, which should be within the NIHR remit (described above)
- Securing additional funds as required to complete the proposed research
- Completion of a substantial and wide-ranging training element
- Increased research skills – in existing and new areas
- Independence as a researcher
- Significant publications arising from the Fellowship
- Research capacity development of self and others
- Increased management skills
- Established collaborative relationships

Evidence of the above will be sought through annual and final report monitoring.

Eligibility

1. Applicants for a CDF must have a research doctorate (PhD or MD) in health-related or relevant research at the time of application and significant post-doctoral research experience. Professional or taught doctorates are not accepted as research doctorates.

2. Fellowships are open to clinically and non-clinically trained individuals working within the NHS or recognised HEIs.

3. Applicants with a clinical background pursuing a clinical academic career will have completed their clinical pre-registration training.

4. Applicants should normally not have more than 7 years post-doctoral whole time equivalent research experience (i.e. 7 years WTE) at the time of application (December 2017). Applicants who have had career breaks due to maternity/paternity/adoption/sickness leave since being awarded their PhD may be eligible if they have up to 8 years WTE post-doctoral research experience.

Any extension of eligibility to 8 years WTE will require justification which applicants should detail within the 'employment breaks' section of the application form. Please note that any period(s) of leave must total 9 months or more as these periods of leave will not themselves be counted towards total post-doctoral research experience. Applicants fulfilling these criteria are advised to speak to NIHR TCC prior to submitting an application.

5. Applicants must have a strong publication record from both their pre-doctoral and post-doctoral research in peer reviewed journals.

6. Applicants must be able to show evidence of developing research capacity and research capability of others.

NIHR Senior Research Fellowship

The Senior Research Fellowship (SRF) offers 5 years funding to undertake a programme of research and is aimed at outstanding individuals who are currently independent researchers and can demonstrate the potential to become academic and research leaders within the duration of an award. The SRF is expected to enhance existing career opportunities for both the award holder and others in health related research and support the development of collaborative partnerships within and between HEIs and the NHS in response to identified health needs.

Senior Research Fellowships are personal research training Fellowships and may not be used as a means to fund research projects, programmes or individuals other than the award holder and one specific support post.

Following completion of the SRF, the Fellow is expected to have:

- Completed a robust research programme arising from this application, which should be within the NIHR remit (described above)
- Attracted significant further research funding
- Have substantially increased their publications record
- Be able to show significant career progression (e.g. securing a Chair)
- Be able to demonstrate a significant contribution to the development of health research capacity

Evidence of the above will be sought through annual and final report monitoring.

Eligibility

1. Applicants will have a research doctorate (PhD/DPhil or MD) in health-related research. Professional or taught doctorates are not accepted as research doctorates.

2. Fellowships are open to clinically and non-clinically trained individuals working within the NHS or recognised HEIs.

3. Applicants with a clinical background pursuing a clinical academic career will have completed their clinical pre-registration training.

4. At the time of applying candidates should have extensive post-doctoral experience and be able to demonstrate independence as a researcher.

5. Applicants are expected to undertake the Fellowship holding a position at least at, or equivalent to, senior lecturer level.

6. Applicants should have a demonstrable track record in the following areas:
    i.   publishing in peer review journals
    ii.   grant holder as principal or co-investigator
    iii.   establishment of collaborations at a national/international level
    iv.   research team building and management
    v.   research capacity building

7. Applicants must not currently hold a Chair (personal or other).

8. Applicants must have considerable experience in health-related research and be able to demonstrate an ongoing commitment to such research.

Applicants from the Devolved Administrations

Potential applicants from Wales or Northern Ireland must contact their respective Government office to discuss their intentions before completing the application form. Potential applicants must also inform their local Research and Development (R&D) office of their intention and seek their advice prior to completing an application for this programme. Please note that the Welsh Government will only support a limited number of successful applications per year. Scotland is not participating in the programme in Round 11.

The declaration for applicants from the Devolved Administrations must be completed by an authorised representative of the research and development function from the devolved country you are applying from. Applications from the Devolved Administrations received without this declaration completed will be considered ineligible.

Please note that successful applications from applicants based in Wales or Northern Ireland will be managed by their local R&D office. Applicants should seek their advice on the appropriate title to use and access to training opportunities post-award.

Welsh Devolved Administrations Contact Details:

Welsh Government

Department for Health and Social Services

Research and Development Division

Cathays Park

Cardiff

CF10 3NQ

Contact: Mark Boggett

Email: Marc.Boggett@gov.wales

Website: http://www.healthandcareresearch.gov.wales/

Northern Ireland Devolved Administrations Contact Details:

Health & Social Care R&D Division of the Public Health Agency Northern Ireland

12-22 Linenhall Street

Belfast

BT2 8B

Contact: Dr Naomh Gallagher

Email naomh.gallagher@hscni.net Tel: 028 9536 3490

Scope of Funding

1. Applicants need to identify an eligible Host Organisation which will act as their employer for the duration of the Fellowship. Any organisation wishing to host an NIHR Fellowship must be able to provide the applicant with a contract of employment for the duration of the award and be capable of fulfilling the role of research sponsor as set out in the Research Governance Framework for Health & Care (https://www.gov.uk/government/publications/research-governance-framework-for-health-and-social-care-second-edition). Further guidance on the roles and responsibilities of a research sponsor can be found on the Health Research Authority's (HRA) website (http://www.hra.nhs.uk/resources/before-you-apply/roles-and-responsibilties/sponsor). Host Organisations can either be a recognised Higher Education Institute (HEI) or any other organisation which provides health or social care services and is based in England or a devolved nation and in receipt of public funding (for example, social enterprises or local authorities). Applicants with a non-HEI Host Organisation should include details of a partner HEI(s) in the *proposed training and development programme* question of the application form. For DRF applicants from non-HEI organisations one of the partner HEIs must be the institution with which the PhD will be registered.

2. An NIHR Fellowship award requires that the award holder has a contract of employment with the host organisation for the duration of the Fellowship. The Department of Health will enter into a Fellowship contract with the host organisation. Government procurement transparency regulations require the publication of all contracts made with the Department of Health to be made available on the Department of Health website. Confidential information including research proposals (the Plain English Summary will be published), detailed finance information, bank details, and departmental staff names (other than the award holder's name) will be removed from the published versions.

3. The Fellowship may be undertaken on a full-time or part-time basis. Full-time Fellowships are available to undertake research for 3 years at 100% WTE at DRF, PDF and CDF level. In order to provide an opportunity for talented individuals who, for personal reasons, are unable to undertake full-time research, NIHR Fellowships are available for 4 or 5 years part-time (i.e. 75% or 60% WTE) at DRF, PDF and CDF level. SRF awards are five years in duration, with a formal review at the end of year 3 to confirm funding for years 4 and 5. The SRF award can be undertaken on a part-time basis at either 75% or 60% WTE however if undertaken on a part-time basis the maximum duration will still be 5 years. TRF awards may range between 18 months and 24 months in duration and may be undertaken part-time (60% or 75% WTE). If undertaken part-time the maximum duration will still be 2 years for the TRF award. The NIHR is not able to fund awards of any other duration or profile. Activities outside of the Fellowship are at the applicant's discretion and will not be funded by the Fellowship.

4. The NIHR Fellowships are individual training awards which will offer funding to cover the salary costs of the individual, their PhD tuition fees (for DRF applicants only), and the costs of an appropriate research project and training and development programme.

5. The costs that will be met by the Fellowship awards differ slightly depending on the type of host employer that is chosen by the applicant (i.e. NHS or HEI). These costs are summarised in Table 1 below.

6. For non-clinical applicants the Fellowship does not include or pay for any activities other than the research and research-related training proposed in a successful application. For clinical applicants applying for a full-time **DRF** only, up to 2

sessions per week (i.e. 20%) may be allocated to clinical time for service and/or training. The remaining time must only be allocated to the research or research-related training proposed in the application. If the applicant intends to do more than 2 sessions (i.e. 20%) they are only eligible to hold a part-time DRF. Please note that if the applicant decreases their WTE during the award from full-time doing 20% clinical time to part-time, the provision will no longer apply.

7. Please note that the DRF, PDF and TRF levels of award **do not allow funding for a support post**. The CDF and SRF Fellowships do allow funding for a support post. See further details specific to each scheme in the finance section below.

Fellowship Costs		Proportion funded	
		Higher Education Institutions	**NHS organisations**
Direct Costs	**Salary costs**	80%	100%
	Travel, subsistence and conference fees	80% (with the exception of conference related costs, which are paid at 100%)	100%
	Equipment	80%	100%
	Consumables	80%	100%
	Patient and public involvement	80%	100%
	Other direct costs	80%	100%
	Patent and legal	80%	100%
	Sub contracts	80%	100%
	Training and development (but not any travel or subsistence which should appear in *Travel, subsistence and conference fees.)*	100%	100%
Indirect costs	**HEI indirect costs**	80%	n/a
	Commercial indirect costs	n/a	n/a
	Other partner organisation indirect costs	n/a	n/a

Table 1: Summary of Fellowship Costs

Application Procedure and Selection Process

- The NIHR Trainees Coordinating Centre (TCC) uses an adapted version of the NIHR Standard Application Form (SAF), and has introduced a 2-stage application process. The stage 1 form needs to be submitted by the deadline given and those applicants who are shortlisted for interview will need to complete a stage 2 form in advance of attending for interview. To read more about the new standard application form (SAF), please visit the General Information on Training Programmes page.

- The NIHR TCC can advise on eligibility enquiries and answer queries you may have when completing the application form. However, the NIHR TCC cannot comment on the design and/or methodology of specific research projects. Please contact the Research Design Service (RDS) for help and advice with your research design and methodology (http://www.rds.nihr.ac.uk).

- Fellowships will be awarded following open competition.

- If you are successful in being selected for interview, you will be invited to Leeds and interviewed by a panel of experts. Details of panel membership can be found on our website www.nihr.ac.uk/fellow. You will be asked to give a 5 minute presentation to the panel that will be followed by 20-35 minutes of questioning depending on the level of award.

- The expert Panel will make recommendations that will be considered by the Chief Scientific Adviser and the Director for Department of Health (DH) Science, Research and Evidence (SRE) Directorate to inform funding decisions.

- Applicants will be informed of the outcome of panel meetings by email when all required processes are complete. No outcome indications will be given before that.

- The selection process and subsequent management of the Fellowships will be managed by the NIHR TCC (with the exception of devolved nation candidates).

- All documents must be submitted in English.

- Fellowships cannot be deferred.

- If applicants are successful in being awarded an NIHR research training award while simultaneously being involved in another NIHR research training award competition, they will be asked to decide which programme they would like to continue with and will be withdrawn from the other.

- Research projects undertaken as part of a NIHR Fellowship may be included on the NIHR portfolio (https://www.nihr.ac.uk/research-and-impact/nihr-clinical-research-network-portfolio/).

Submitting your application

The deadline for stage 1 submission is:

- **1pm on Tuesday 5 December 2017 (PDF, TRF, CDF, SRF)**

- **1pm on Tuesday 19 December 2017 (DRF)**

The deadline for stage 2 submission is:

- **1pm on Friday 1 June 2018 (PDF, TRF, CDF, SRF)**

- **1pm on Friday 4 May 2018 (DRF)**

Your application must have been submitted by the deadline and any signatories must have approved your application by this time using the TCCi online application system.

All components of your application including supporting documents (i.e. references, CTU support letter) must be submitted by the deadline. No additional supporting documents will be accepted after the deadline.

Please give yourself sufficient time to obtain your signatory's approval before the deadline. No exceptions will be made.

See the below timetable for details of the selection process.

Timetable

Applicants are asked to keep the interview dates available to attend an interview in Leeds. Please note these dates are not negotiable.

DRF Timetable

Competition opens for applications **for all Fellowships**	3 October 2017
DRF Stage 1 closing date for submission of online application	19 December 2017 by 1pm
DRF Stage 2 invitation	*w/c 2 April 2018**
DRF Stage 2 deadline	*Friday 4 May by 1pm**

Interviews held in Leeds	5 - 7 June 2018
Awards start on 1st of month	1 September 2018 to 1 January 2019

PDF/TRF/CDF/SRF Timetable

Competition opens for applications **for all Fellowships**	3 October 2017
PDF/TRF/CDF/SRF Stage 1 closing date for submission of online application	5 December 2017 by 1pm
Stage 2 invitation	*w/c 23 April 2018**
Stage 2 deadline	*Friday 1 June by 1pm**
Interviews held in Leeds	10 - 12 July 2018
Awards start on 1st of month	1 October 2018 to 1 January 2019

*please note that these are provisional dates and could be subject to change.

Assessment Criteria

DRF Assessment Criteria

Applications for the DRF Fellowship are assessed on the following criteria:

Applicant

- Previous research experience or formal training (e.g. Masters)
- Relevance of previous research experience
- Output from previous research experience
- Evidence of commitment to a research career
- Evidence of potential as a career researcher

Research

- Quality of research project proposed
- Scope of research appropriate for PhD
- Relevance to the NHS of the proposed research
- Appropriateness of chosen research methods & design
- Appropriateness of statistical component(s)
- Likely impact of research
- Where already registered, quality of doctoral research undertaken to date
- Appropriateness and level of patient and public involvement
- Quality, scope and relevance of the review of existing evidence
- Quality of plain English summary

Site, Training and Supervision

- Suitability of proposed training programme for proposed research
- Suitability and appropriate experience of proposed supervisor(s)
- Suitability of the proposed academic host and institutional support

PDF Assessment Criteria

Applications for the PDF Fellowship are assessed on the following criteria:

Applicant

- Experience at doctoral or post-doctoral level appropriate for undertaking proposed research
- Peer-reviewed publications from research undertaken to date
- Other output from research undertaken to date
- Impact of research undertaken to date
- Research funding (including travel grants)
- Evidence of collaborations
- Long-term research career potential & commitment

Research

- Quality of research project proposed
- Scope of research appropriate for PDF
- Relevance of proposed research to NHS
- Appropriateness of chosen research design and methods
- Appropriateness and strength of statistical component(s)
- Appropriateness and level of patient and public involvement
- Quality, scope and relevance of review of existing evidence

- Quality of plain English summary

Site and Career Development

- Strength of chosen site in chosen research area
- Strength of proposed research support plan
- Research training and development programme

TRF Assessment Criteria

Applications for the TRF level are assessed on the following criteria:

Applicant

- Experience at doctoral or post-doctoral level appropriate for undertaking proposed research within the training and development programme
- Peer-reviewed publications from research undertaken to date
- Other output from research undertaken to date
- Research funding (including travel grants)
- Evidence of collaborations
- Long-term research career potential & commitment

Research

- Quality of research proposed within the training and development programme
- Relevance of proposed research to NHS
- Evidence that the fellowship will support a change in career within NIHR remit based research
- Appropriateness and level of patient and public involvement
- Quality, scope and relevance of review of existing evidence (if applicable)
- Quality of plain English summary

Site, Training and Supervision

- Strength of chosen site in chosen research area
- Strength of proposed supervisory arrangements and mentoring plan
- Research training & development programme
- Likelihood that the fellowship will enable the applicant to be competitive in a future application for a NIHR Career Development Fellowship or equivalent.

CDF Assessment Criteria

Applications for the CDF level are assessed on the following criteria:

Applicant

- Peer-reviewed publications from doctoral research
- Peer-reviewed publications from post-doctoral research
- Impact of research undertaken
- Research funding secured to date
- Research career trajectory
- Collaborations established
- Research capacity and capability building of others to date
- Potential to become independent researcher

Research

- Quality of research programme proposed
- Scope of research appropriate for CDF
- Relevance of proposed research to NHS
- Appropriateness of chosen research design and methods
- Appropriateness and strength of statistical component(s)
- Appropriateness and level of patient and public involvement
- Quality, scope and relevance of systematic review
- Quality of plain English summary

Site and Career Development

- Strength of chosen site in chosen research area
- Strength of proposed research support plan
- Research training & development programme

SRF Assessment Criteria

Applications for the SRF level are assessed on the following criteria:

Applicant

- Peer-reviewed publications from doctoral & post-doctoral research
- Impact of research undertaken
- Research funding secured to date
- Independence as a researcher
- Collaborations established
- Capacity building undertaken to date
- Research management undertaken to date
- Research career trajectory
- Potential to become research leader in chosen field

Research

- Quality of research programme proposed
- Scope of research appropriate for SRF
- Relevance of proposed research to NHS
- Appropriateness of chosen research design and methods
- Appropriateness of statistical component(s)
- Likely impact of research
- Appropriateness and level of patient and public involvement
- Quality, scope and relevance of systematic review
- Quality of plain English summary

Site and Career Development

- Strength of chosen site in chosen research area
- Strength of proposed mentoring plan
- Evidence of commitment to applicant from chosen site

Points to consider when preparing an NIHR Fellowship Application

NIHR will only fund primary research* where the proposed research is informed by a review of the existing evidence.

If your application includes primary research then it should include reference to the existing evidence and explain how this evidence has informed the proposed research. Where a systematic review already exists that summarises the available evidence this should be referenced, as well as including reference to any relevant literature published subsequent to that systematic review. Where no such systematic review exists it is expected that the applicant will undertake an appropriate review of the currently available and relevant evidence (using as appropriate a predetermined and described methodology that systematically identifies, critically appraises and then synthesises the available evidence) and present a summary of the findings of this in their proposal. All applicants must also include reference to relevant on-going studies, e.g. from trial registries.

For NIHR research training applications at the early career stage (up to and including the first Post-Doctoral level), a systematic review may be included as part of the training award, provided that the proposal is **also** informed by any existing evidence and existing systematic reviews are referenced.

NIHR research training applications differ from other NIHR applications, for example to the HTA and RfPB programmes. In NIHR research training applications, the research project proposal does not stand alone, but is part of a package of elements expected to provide an excellent training experience that will allow the successful applicant to take his / her skills and experiences to a still higher level. Thus, along with the research proposal, NIHR panels will assess the abilities, academic trajectory, existing experience, commitment to a career in health research, ambition and aspirations of the applicant, the standards in the research training environment, and the plans for explicit training in research methods. The research proposal provides a framework for research experience so has to be of high quality, but a good research proposal will not be supported if other elements are weak.

The panels' expectations of the research training application, including prior work to support the research proposal, will vary with the seniority of the award. At early career stages (up to and including the first postdoctoral level), plans to perform or update a systematic review may be included as part of the training award, provided that the proposal is **also** informed by any existing evidence, and that existing systematic reviews are referenced. The rationale for this is that the systematic review provides a training experience in a research methodology – evidence synthesis. However, the review also needs to be justified within the context of the research proposal (and not be too ambitious or perfunctory e.g. where there are likely to be no studies to synthesise).

For more senior awards (Career Development Fellowship, Senior Research Fellowship), applicants will be expected to demonstrate clearly that their planned research project addresses a question that still needs to be addressed. This may often be done by including, in the application, the results of one or more systematic reviews of relevant literature.

When relevant systematic reviews do not exist, the applicant may wish to undertake a systematic review of the literature by (1) pre-specifying patient groups / research methods / interventions and outcomes where relevant, (2) undertake a comprehensive

electronic literature search, (3) assess and collate the eligible data in an objective fashion that may or may not include pooling using meta-analysis.

This principle is relevant to other aspects of preparation of an application for a senior research award – the award panel must be clear what are the applicant's aims and objectives over the duration of the fellowship and what methods will be used to achieve these. If the proposal centres on assessing the impact of a clinical or population intervention, for example, the nature of the intervention should be clear to the panel, or how the applicant plans to develop and refine the intervention during the fellowship.

* Primary Research defined as: Experimental studies generating new data (cf. secondary research, which analyses existing data). [Source: Health Technology Assessment Programme A-Z of useful terms: http://www.nets.nihr.ac.uk/glossary]

Registering, Completing and Submitting the Application

Registering

All applications must be completed and submitted via the online application system. This can be accessed via: https://tcci.nihr.ac.uk/Login.aspx.

Before you can start an application you will be required to register on the system. You will be asked to supply a valid email address and to complete some basic information. Once this has been submitted you will receive an email confirming your registration and a temporary password. You should follow the instructions in the email to log onto the system.

Once signed into the system you will be able to update various details including your CV (in 'manage my details') and apply for any open applications. To start an application you will need to go to 'My Applications' and select 'New Application'. You should then select the level of fellowship you wish to apply for from the list provided.

Only one application to the NIHR Fellowship Programme is permitted in each Round.

Multiple applications or applications at more than one level (DRF/PDF/TRF/CDF/SRF) will not be accepted.

After answering all the eligibility questions you will be able to start completing the online form. Please make sure you read all available guidance text including this document as well as any online instructions thoroughly whilst you are completing the form.

PLEASE NOTE THAT THE DOCTORAL AND POST-DOCTORAL LEVELS HAVE DIFFERENT DEADLINES.

Completing and submitting the form

Please see Annex B for flow diagrams of the application submission process.

STAGE 1

Applicant:

You will need to complete all of the mandatory sections of the form and enter under the '**Participants and Signatories'** section the names and contact details of participants and signatories. Once all other parties have made their contribution, you will be required to '**Submit**' the application to the signatories for final sign off before the closing date. Please note that you will need to read and be aware of the roles of participants and signatories as described in these guidance notes.

You will only be able to press the **'Submit'** button, which will send the application for final sign off by the signatories when:
- all mandatory sections of the application form are complete;
- all participants have agreed to be part of your application;
- the signatory has agreed to their role;
- the Head of Department has completed the 'Host Organisation Support Statement'.

Please note; when completing the application form, you are advised to validate your application as you go. You will find a **Validation Summary** button in the left hand menu. This section will detail any points within your application that are either incomplete or incorrect. Failing to validate your answers may result in you being unable to submit your application by the required deadline.

Participants:

You are required to supply the names and email addresses (if not already registered on the TCCi application system) of the individuals who will be undertaking 'participant' roles as part of your application. Everyone named in this section will be acting as a 'participant' to your application and will need to agree to be part of this application. Participants are required to review the declaration for the role before confirming participation as part of the one-click 'confirm' process.

By confirming participation, participants are acknowledging their involvement and input into this application and agree to be involved in it *before* it is submitted. You must ensure all participants are happy for your application to be submitted before submitting it on the online system. Details of the individuals who will be required to approve your application after submission (signatories) should be entered in the 'Participants & Signatories' section. Please note it is often the case that one or more of the participants named in this section are also named in the "Participants and Signatories" section of the form.

Required Participants (if applicable):

Participants at Stage 1:

- **Devolved Administrations:** This participant is only mandatory if you are applying from Wales or Northern Ireland. This needs to be an authorised

signatory of the research and development function of the devolved country you are applying from.

- **Primary Supervisor (DRF):** The individual named as your primary supervisor for your PhD must agree to participate in the application and confirm they will act as your Primary Academic Supervisor, support your career development and abide by the conditions under which an award may be granted. The Primary Supervisor must also confirm that the information provided by you describes the status of your current / proposed research doctorate studies and also confirm that any proposed part-time study arrangements have been agreed and meet University regulations.

- **Primary Supervisor (PDF):** If you are a PDF applicant and currently registered for a PhD/MD programme or masters leading to a PhD your supervisor will need to declare that the information supplied in your research doctorate is a current and accurate reflection of its current status. If you have indicated that your research degree has not yet been awarded in the research degree section then it is mandatory to include your primary supervisor in the application.

- **Supervisor (DRF):** All supervisors detailed in the 'Research Supervision' section must agree to participate in the application and confirm they will act as your supervisor for research and career development and agree to abide by the conditions under which an award may be granted.

- **Research Support (PDF, TRF, CDF, SRF):** The individual(s) providing Research Support (mentorship) must confirm that they have read the application and the guidance notes and are willing to act as your mentor for research and career development and agree to abide by the conditions under which an award may be granted.

- **Training Supervision (TRF):** You should provide the names of up to 3 supervisors who will be involved in the training and development programme described.

Participants must confirm their participation on your application before you will be able to press the submit button. They will have no further action to take in the submission process. It is recommended that you contact your participants and signatories as early as possible to ensure they understand any action they must take and will be available to sign off when you submit.

Signatories:

You are required to supply the names and email addresses (if not already registered on the TCCi application system) of the individuals who will be 'signing off' your application. Once their contact details have been entered, the signatories will be invited to log into the system and confirm their participation. Details of what is required and expected of each of the roles can be found below.

Signatories will be required to agree to the role being asked of them in the application before the application is submitted by the applicant, and then approve the final version of the application after it has been submitted via the online system, i.e. all signatories must have agreed to participate and complete their sections before the applicant is able to press the SUBMIT button and send the application for signatory approvals.

Signatories must approve the application after the applicant has selected the SUBMIT option but BEFORE the application submission deadline. Please see the 'Application Submission Process Flow Diagram' (Annex B) for further information. The final signatory approval will result in the application being fully submitted to the NIHR. All parties (applicant, participants and signatories) will be notified of this via an automated system generated email.

NIHR will not accept any applications unless fully approved by your signatories prior to the 1pm deadline, no exceptions will be made.

Required Signatories:

You will be required to include the Head of Department from your host organisation. The Head of Department will be required to complete questions in the 'Training & Development and Research Support' section. The Head of Department of the host organisation in which this award will be based must confirm that they support this application and that, if funded, the research and training will be supported and administrated in the named organisation and that the applicant for whom they are responsible will undertake this work.

Required Signatories (if applicable):

● **Head of Department or Senior Manager:** In agreeing to participate in this application, the Head of Department of the host organisation in which this award will be based must confirm that they support this application and that, if funded, the research and training will be supported and administered in the named organisation and that the applicant for whom they are responsible will undertake this work.

Once the application is ready (see list of required steps under the 'applicant' heading above), you will be able to **'Submit'** the application for final sign off by the signatories. At this point, the signatories will be prompted to log back into the system and approve the finalised application. **The application will not be submitted to the NIHR for consideration until all the required signatories have approved the final version. When the last signatory presses the approve button, the application will be submitted to the NIHR TCC.**

Please note that all of the steps described here need to take place before the deadline of 1:00 pm on Tuesday 5 December 2017 (PDF/CDF/SRF/TRF) or Tuesday 19 December 2017 (DRF), no exceptions will be made.

STAGE 2

Applicants shortlisted for interview will be required to complete a stage 2 application. As above, your application will need to have been submitted to signatories and they must have signed off the application in advance of the deadline.

Participants at Stage 2:

● **Sponsor:** If the award includes a clinical trial then an authorised representative of the organisation that will sponsor the clinical trial outlined in this application must confirm that the organisation supports the application and has, where applicable, confirmed with the CTU named in this application that they support this application and the arrangements for managing the trial.

- **NHS or Partner Facilities:** A representative of the NHS or other partner facilities must agree to participate in this application if any NHS support or treatment costs are being incurred as part of the research.   The representative of the NHS body incurring any NHS Support and Treatment Costs must confirm that they will ensure that all NHS Support and Treatment Costs in the application are correct and the aforementioned organisation is prepared to meet these costs.

Required Signatories:

- **Host Organisation Administrative Authority or Finance Officer:** The Administrative Authority or Finance Officer for the employing host must confirm that they will ensure the accuracy of the financial details of the application and that the host organisation is prepared to carry out this research at the stated costs and to administer the award if made.

Should you require assistance in completing the online form, please contact the NIHR TCC at 0113 346 6277 or by emailing tccawards@nihr.ac.uk

Completing the Application Form

Stage 1 Guidance

1. Application Summary Information

Host Organisation

Please give details of the organisation who will be the contractor if the project is funded.

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 project and to provide ad hoc requests for financial information during the lifetime of the project.

• 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 TCCawards@nihr.ac.uk

Research Title

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

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.

DRF, PDF and CDF applicants: please select whether you wish to hold the fellowship on a full-time basis over 3 years (100% WTE) or part-time over 4 years (75% WTE) or 5 years (60% WTE).

TRF applicants: please select whether you wish to hold the fellowship on a full-time basis, or part-time at 75% or 60% WTE. Please note that the TRF award must be between 18 months and 24 months duration, regardless of WTE.

SRF applicants: please select whether you wish to hold the fellowship on a full-time basis, or part-time at 75% or 60% WTE. Please note that the SRF is always a 5 year award, regardless of WTE.

For **non-clinical applicants** the Fellowship does not include or pay for any activities other than the research and research-related training proposed in a successful application. All other activities, for example clinical work, must be undertaken outside the percentage time declared as the basis of the fellowship.

For **clinical applicants** applying for **a full time DRF award only,** up to 2 sessions per week (i.e. 20%) may be allocated to clinical time for service and/or training. The remaining time must only be allocated to the research or research-related training proposed in the application. If you intend to do more than 2 sessions (i.e. 20%) you are only eligible to hold a part-time DRF. *Please note that if you decrease your WTE during the award from full-time doing 20% clinical time to part-time, the provision will no longer apply. We will then expect you to not do any clinical time but focus solely on the research and research-related training.*

It is not possible to undertake a Fellowship on any other basis other than 100%, 75% or 60% WTE.

* Whole Time Equivalent (WTE) = percentage of full-time hours per week.

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.

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 where there are limits on the amount of post-doctoral experience an applicant can have.

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.).

DRF/TRF level applicants: It is not necessarily expected that applicants at this level will have been awarded research grant funding as a Principal Investigator (PI) or as a co-applicant, however if this type of funding has been obtained please list the details here. This may include travel grants or other small funding awards.

Successful PDF applicants are likely to have already completed at least one research project but may not yet have held a substantial research grant as the lead applicant.

Successful CDF applicants are likely to have already completed two or three research projects but may not yet have held a substantial research grant as the lead applicant.

SRF applicants should provide details of all significant grants obtained as a Principal Investigator and details of roles in collaborative grant applications.

Publication Record

Do not include abstracts, conference proceedings or articles in preparation. If relevant, details of these may be included in the '*Applicant Research Background*' section. Details of articles which are in press and have been accepted as final by the publisher may be included. Depending on professional background and expertise, applicants are not necessarily expected to have an extensive list of publications for DRF, PDF and TRF levels of the programme.

Only publications relevant to your application should be included.

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 with 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 review panel.

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, and to undertake the research being proposed. You should include research you have led or made a significant contribution to (making clear what your role was), the research methods you have experience of, and the impact and outputs of the research you have been involved in. You should also detail any other relevant experience such as supervisory, management, teaching, public engagement and involvement, or leadership experience; or any other skills and experience which highlights your suitability for the fellowship you are applying for and which demonstrates your potential as a future health research leader.

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 trainees please indicate whether you have previously or currently hold another NIHR research training award.

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 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:

- those carrying out the review (reviewers and board and panel members) to have a better understanding of your research proposal
- inform others about your research such as members of the public, health 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/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 www.involve.nihr.ac.uk/makeitclear .

For further support and advice on writing a plain English summary, please contact your local Research Design Service www.rds.nihr.ac.uk.

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) useful.

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

6. Detailed Research Plan

Using all of 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 reviewing Panel you should ensure that the information is accurate, succinct and clearly laid out.**

The NIHR expects appropriate and relevant involvement of patients 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 funding Panel 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.

If the research you are proposing includes a clinical trial, feasibility study or pilot study, or if your area of research is related to clinical trials, you are strongly encouraged to read the NIHR Clinical Trials Guide for Trainees before starting an application.

If you are applying for a Transitional Research Fellowship and not including a research project; please use the headings below where appropriate to detail the activities planned for your fellowship. All TRF applicants should use heading 4 (aims and objectives) to describe the objectives for the Fellowship and clearly detail what your transition will be and how it will be achieved by the end of the Fellowship. This should include details of how the TRF will put you in a strong position to apply for further NIHR Fellowships or funding. Details of formal training should be included in the 'Training & Development and Research Support' section.

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 these will be disseminated and what impact there might be. Please consider the following questions when completing this section

- **What do you intend to produce from your research?**
- **How will you inform and engage patients, NHS and the wider population about your work?**
- **How will your outputs enter our health and care system or society as a whole**?
- **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 benefit; changes in NHS service (including efficiency savings); commercial return (which could contribute to economic growth).

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 '10. Uploads' below)

8. Ethics

Outline any ethical and/or other regulatory issues, and arrangements for handling them. 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.

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. Training and Development and Research Support

Proposed training and development programme

Please use this section to detail the training and development you will undertake as part of the fellowship. This should cover both the training you may need to undertake the research being proposed but also training designed to support your development as a future health research leader.

Training may include, but is not limited to; formal courses, training in specialist skills and research methodologies, placements with other research groups or centres, leadership skills, conference attendance and overseas research visits. It is important that the training and development programme is tailored to your specific needs and complements the research being proposed as part of the fellowship.

Research support / Supervisor

The individuals you list here are required to complete the 'Participants and Signatories' section of the application form. Funding for research support and supervision is available for travel and subsistence only (for the applicant) and does not support any fees the individuals who provide research support or supervision may wish to charge the applicant.

DRF applicants should give details of proposed supervisor(s) (up to 4) and the support they will provide. Careful thought should be given to a) the experience of your chosen supervisors, b) maintaining contact, and c) the potential for difficulties of communication and conflicting opinions and advice when there are more than two supervisors. TRF applicants should also detail up to 3 supervisors who will support your training and development.

PDF, TRF, CDF, and SRF should detail individuals providing research support and mentorship. Although we acknowledge that formal supervision may not be appropriate for PDF, CDF and SRF applicants, we believe that the applicant will benefit from research support or mentorship. We believe TRF applicants will also benefit from training and development support in addition to the formal training supervision required for this level of award.

In this context, the research support or mentorship role will encompass providing you with support throughout your Fellowship in both your research endeavours and your overall career development. It is a two-way process that may be challenging for both parties. For this reason choosing who will provide research support will require a great deal of thought. The individuals who provide research support may or may not be based in your host organisation. They should, however, have a clear understanding of the research process, the demands your chosen area of training and development are likely to place on you, and your particular strengths and weaknesses. Research support is referred to in the literature as 'mentorship' and there are numerous models to be found that could be employed. Clearly describe how the proposed arrangements will support your overall development and provide an initial assessment of the time that will be allocated to the research support process.

Collaborations

Explain what collaborations you intend to establish to support your research and, if applicable, your training 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/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 Fellowship. You should include; the training 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.

Host Organisation support statement

The statement should detail how the organisation(s) are going to support the applicant in partnership to successfully complete their research and the training and development programme. This statement should be tailored specifically to the applicant, their research and training needs, and include how the organisation(s) intend to support the applicant to develop their research career in the 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/table: 1 A4 page of figures/tables may be included to supplement your research plan.
- Research timetable: 1 A4 page detailing specific milestone and deliverables.
- CTU letter of support: Where you are working with a CTU please include a supporting letter.

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 added. The flow diagram in Annex B 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 the list below to check that they have included the necessary information prior to submitting their application.

- A good quality Plain English Summary www.involve.nihr.ac.uk/makeitclear
- 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 www.involve.nihr.ac.uk
- A clear, appropriate and relevant plan for dissemination
- A single A4 page of references (document upload)

Stage 2 Guidance

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 in 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.

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.

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 and/ 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 Panel 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. 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://www.nihr.ac.uk/nihr-in-your-area/local-clinical-research-networks.htm.

▪ 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.

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, <u>up to 80%</u> 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:

I) 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 fellowship. Please note immediate promotion to a higher grade as a result of securing a fellowship 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 (CDF and SRF levels only)

The maximum pay points on the JNCHES pay scale are indicated below. Further details can be found at http://www.ucea.ac.uk/en/empres/paynegs/new-jnches/.
  i.   1 x 3 year full time post up to Spine Point 28 (CDF) or Spine Point 33 (SRF).
  ii.   Total costs for support staff must not exceed the cost of a 3-year full time post up to Spine Point 28 (CDF) or Spine Point 33 (SRF).
  iii. Part time funding pro rata over 4 or 5 years is allowed.

iv.   Staff costs are strictly limited to one member of support staff (e.g. research assistant or research technician). It is also possible for the applicant to request support for a PhD studentship instead of a member of staff.

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.

The Apprenticeship Levy can be included in the salary costs from 1st 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.

*NIHR TCC 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 <u>conference</u> 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. These are as follows:

DRF: £3,000
PDF: £4,000
TRF: £4,000
CDF: £6,000
SRF: £10,000

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 verses 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 trainee 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.

Applicant Tuition Fees (DRF only)
NIHR will make an estimated maximum contribution of £4,195 per year, based on Research Council UK 2017 published PhD fees.

Training programme, short courses and workshops
These are costs relating to the applicant's training and development programme.

Overseas Research Visits
Please provide costs for any overseas research visits that the applicant wishes to undertake during the course of the award. NIHR TCC will consider overseas research visits on an individual basis and reserves the right to limit expenditure. Overseas visits (excluding conference attendance) are normally restricted to one visit per Fellowship and a maximum duration of 3 months.

Support post – PhD fees (CDF/SRF only)
Where relevant, NIHR will make an estimated maximum contribution of £4,195 per year, based on Research Council UK 2017 published PhD fees.

Support post – training and development (CDF/SRF only)
NIHR will make a maximum contribution of £3,000 (including any identified travel and subsistence) towards training and develop costs for the support post.

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 Panel 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. NHS Support Costs will be funded via the Clinical Research Networks. NHS Treatment Costs, including any Excess Treatment Costs/Savings, will be met by the NHS through normal patient care commissioning arrangements.

A representative of the NHS body or provider of NHS services - incurring any NHS Support and Treatment Costs - must sign off the application. The 'Declarations and Signatures' page is intended to ensure that the aforementioned organisation is satisfied that all NHS Support and Treatment Costs in the application are correct and is prepared to meet these costs.

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://www.nihr.ac.uk/nihr-in-your-area/local-clinical-research-networks.htm.

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.

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 NIHR TCC's policy on plagiarism, a copy of which is available on request from tcc@nihr.ac.uk.

Data Protection

The Department of Health, National Institute for Health Research (DH NIHR) is the Data Controller under the Data Protection Act 1998 ('the Act'). Under the Data Protection Act, we have a legal duty to protect any information we collect from you. You should be aware that information given to us might be shared with other DH NIHR bodies for the purposes of statistical analysis and other DH NIHR research management purposes. NIHR also reserves the right to share, in confidence, details of your application with other approved research funding organisations outside NIHR, and peer reviewers for the purposes of selection and assessment, in order to coordinate research activity in the UK.

Information collected from you will not be passed to any third party outside the NIHR except specifically as detailed above without your consent except where we are under a statutory obligation or entitled to do so by law. Applicants may be assured that DH NIHR is committed to protecting privacy and to processing all personal information in a manner that meets the requirements of the Act.

Data Security

Personal information will be held on a secure network with strictly controlled user access. Your details will be retained by TCC on behalf of the Department of Health to facilitate the running of our programme. If your application is successful your name, and the details of the host organisation, will appear on the NIHR website (www.nihr.ac.uk). In addition, once funding has been agreed and the contract signed, your details will appear in other literature as an award holder and will be passed to the Department of Health (DH) for inclusion in their publicly available databases of research projects. Your name will be added to our mailing list. This means that you will be sent updates on all the programmes. We may also send you separate literature about the NIHR research training programmes and related events in health research. If you have any questions, or if you would prefer not to receive routine and/or general communications, please contact us at: tcc@nihr.ac.uk.

NIHR Privacy Policy

The privacy policy sets out how the NIHR uses and securely protects any information that you give us when you use TCCi and other websites, systems and services of organisations that are contracted to the Department of Health to improve the health and wealth of the nation through research.
The NIHR may change this policy from time to time. You may check the latest document

content at any time by visiting the privacy policy page of the NIHR website at http://www.nihr.ac.uk/privacy-policy.htm.

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/. 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/research-and-impact/documents/NIHR-Carbon-Reduction-Guidelines.pdf.

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

trainees and applicants is available in the NIHR Clinical Trials Guide for Trainees (https://www.nihr.ac.uk/funding-and-support/documents/Clinical-Trials-Guide.pdf). 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 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/about-us/how-we-are-managed/our-structure/research/research-design-service/.

NIHR INVOLVE

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

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 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.

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 information from an existing database, you should check whether the patients 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.

Contractual Arrangements

Financial support under an NIHR Fellowship is subject to a contract between the NIHR and the host organisation.

Once funding for a Fellowship has been discussed and agreed, NIHR TCC will confirm the financial arrangements with the host organisation. NIHR TCC will provide the host organisation with a contract setting out the details of these arrangements.

The host organisation will be expected to issue the individual with an employment contract commensurate with their experience and seniority.

Government procurement transparency regulations require publication of details of all contracts made with the Department of Health on the Department of Health Website. Confidential information including research proposals (Plain English Summaries will be published), detailed finance information, bank details, and departmental staff names (other than the award holder's name) will be removed from the published versions.

Freedom of Information Act

NIHR TCC manages the NIHR Fellowship Programme on behalf of the National Institute for Health Research (NIHR). As such the findings of researchers funded by the programme are incorporated in to the Department of Health Freedom of Information Publication Scheme: https://www.gov.uk/government/organisations/department-of-health/about/publication-scheme

Equal Opportunities and Diversity

NIHR and DH have a duty as a public body to promote equality of opportunity. All applicants will be contacted shortly after the closure date by NIHR Equality Monitoring.

Monitoring ensures that all applications to NIHR Programmes are treated equally in terms of gender, ethnicity and/or disability.

The information you share with the monitoring system:

- will be stored separately from your application
- only be used for the purpose of monitoring equal opportunities
- be kept securely and in confidence

Guidance and Advice

Please read these Guidance Notes carefully. If you require any further information, advice or guidance please contact:

NIHR Trainees Co-ordinating Centre
Leeds Innovation Centre
103 Clarendon Road
Leeds
LS2 9DF
0113 346 6277
TCCawards@nihr.ac.uk

Annex A: NIHR frequently asked questions (FAQs):

These FAQs are designed to help applicants decide whether the research they are proposing as part of a Fellowship falls within the remit of the NIHR. Please bear in mind that in a Fellowship, the research project proposal does not stand alone, it is part of a package of elements expected to provide an excellent training experience that will enable the trainee to develop new and existing skills and experiences as a researcher. The NIHR panel will assess the research proposal and the abilities, academic trajectory, existing experience, commitment to a career in health research, ambition and aspirations of the applicant, the standards in the research training environment, and the plans for training and development. The research proposal is intended to provide a framework for research experience. As such it is important that the proposed research is of high quality, however a strong research proposal will not be supported if other elements are weak.

If you are proposing a programme of work as part of an application (particularly relevant for more senior awards) it maybe that certain elements of the programme would be outside the remit of NIHR if considered in isolation. If this is the case it is important that you make clear in your application that the research overall fits within the remit of NIHR and why any elements which could be considered out of remit are necessary to include. It is important to note that any elements of the research which are considered out of remit will not be funded by NIHR should your application be successful. This includes any work involving animals or their tissue, which NIHR does not fund

If you have queries over whether the research you are proposing as part of a research training application falls within the NIHR remit you are advised to speak to the TCC office before submitting an application.

Do you fund the evaluation of education and/or training schemes? Yes. Proposed studies should be within the overall remit of the NIHR and the outcomes measured should be health related, or there should be good evidence for a link between the outcome measured and a health outcome.

Do you fund the development and/or evaluation of decision aids for patients? The development or updating of a decision aid will be considered as part of a larger project or programme. The benefit to patients and clinical practice needs to be clearly demonstrated in the application.

Do you fund the development of interventions, devices, technologies or services? The development or adaptation of interventions can be considered as part of a larger project or programme of work. We will not fund standalone developmental studies.

Do you fund the development and/or evaluation of outcome measures, questionnaires or surveys (e.g. Patient Reported Experience/Outcome Measures)? The development, adaptation or updating of outcome measures questionnaires or surveys can be considered as part of a larger project or programme of work. The benefit to patients and clinical practice needs to be clearly demonstrated in the application.

Do you fund the development, evaluation and/or validation of models (e.g. risk factor models, health economic models etc.)?
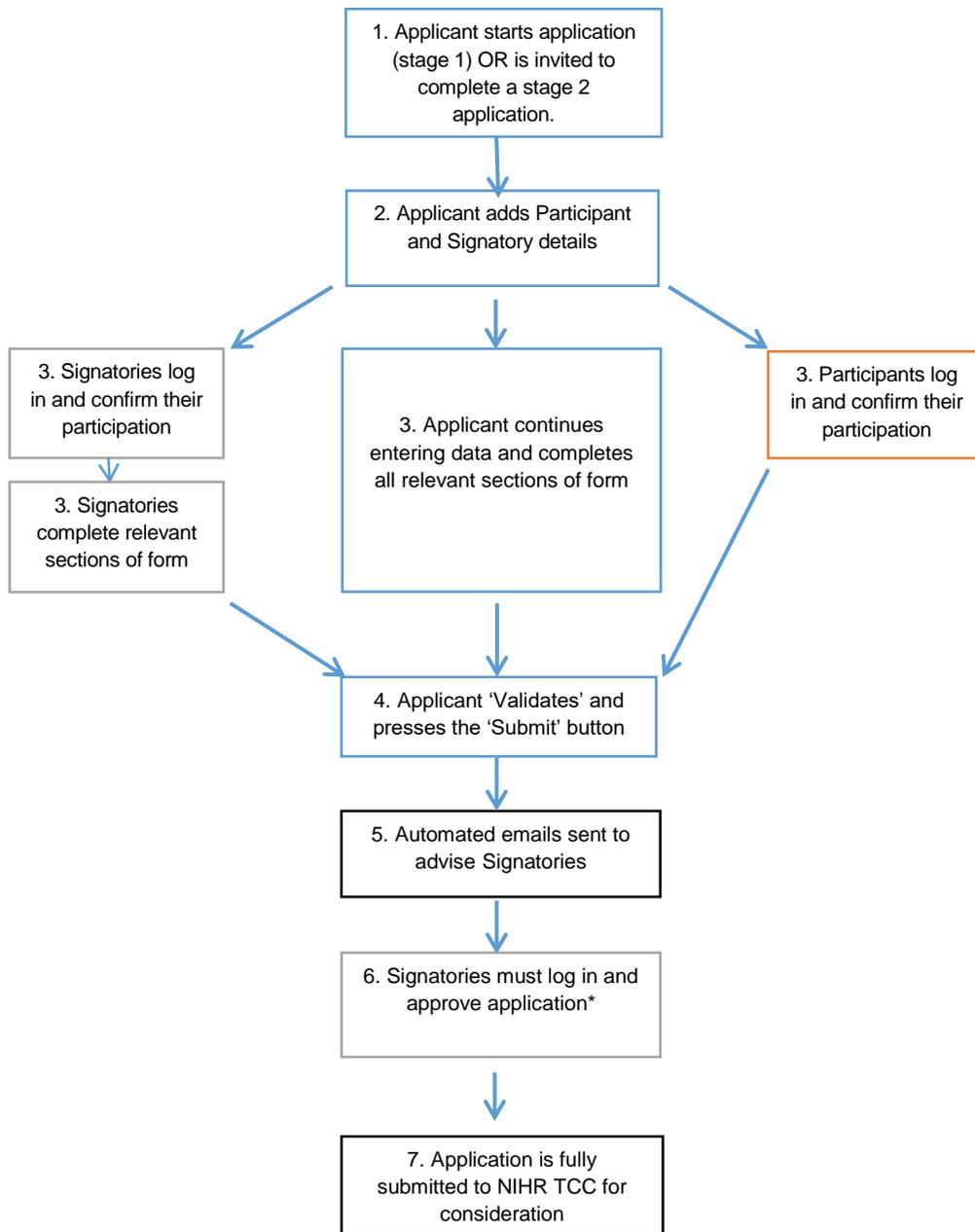
Yes – we will consider funding the development of models where there is a case for service need or patient/public benefit. There should also be an evaluation or validation aspect to the study.

Do you fund research into workforce development? Yes. Proposed studies should be within the overall remit of the NIHR and should concern the impact on health and well-being, whether of patients, the public, or of the workforce itself.

Do you fund research that is relevant to, or takes place outside the NHS? Yes.
We fund research aimed at improving health, public health and health related social care in a broad sense; we therefore fund research to meet the needs of health services, the NHS, public health and health related social care. Proposed studies should be within the overall remit of the NIHR and outcomes measured should be health related, or there should be good evidence for a link between the outcome measured and a health outcome.

Do you fund research requiring observational/applied epidemiological methods? We fund research according to the potential for patient/public benefit rather than according to specific methodologies. We therefore fund research using a wide range of study designs including observational and applied epidemiological methods. Any study that uses observational and applied epidemiological methods should be an evaluation of an intervention itself, or have a clear, credible and articulated trajectory to further research within NIHR remits. An applied epidemiological component can also be considered as part of a larger project or programme of work.

Annex B: Submission Flow Diagram

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                    ┌─────────────────────────────┐
                    │ 1. Applicant starts          │
                    │ application (stage 1) OR is  │
                    │ invited to complete a        │
                    │ stage 2 application.         │
                    └──────────────┬──────────────┘
                                   ↓
                    ┌─────────────────────────────┐
                    │ 2. Applicant adds            │
                    │ Participant and Signatory    │
                    │ details                      │
                    └──────────────┬──────────────┘
           ↙                       ↓                       ↘
┌──────────────────┐  ┌─────────────────────────┐  ┌──────────────────┐
│ 3. Signatories   │  │                         │  │ 3. Participants  │
│ log in and       │  │ 3. Applicant continues  │  │ log in and       │
│ confirm their    │  │ entering data and       │  │ confirm their    │
│ participation    │  │ completes all relevant  │  │ participation    │
└────────┬─────────┘  │ sections of form        │  └────────┬─────────┘
┌──────────────────┐  │                         │           │
│ 3. Signatories   │  │                         │           │
│ complete         │  │                         │           │
│ relevant         │  │                         │           │
│ sections of form │  └────────────┬────────────┘           │
└────────┬─────────┘               ↓                        │
          ↘           ┌─────────────────────────┐          ↙
                      │ 4. Applicant 'Validates' │
                      │ and presses the 'Submit' │
                      │ button                   │
                      └────────────┬────────────┘
                                   ↓
                      ┌─────────────────────────┐
                      │ 5. Automated emails sent │
                      │ to advise Signatories    │
                      └────────────┬────────────┘
                                   ↓
                      ┌─────────────────────────┐
                      │ 6. Signatories must log  │
                      │ in and approve           │
                      │ application*             │
                      └────────────┬────────────┘
                                   ↓
                      ┌─────────────────────────┐
                      │ 7. Application is fully  │
                      │ submitted to NIHR TCC    │
                      │ for consideration        │
                      └─────────────────────────┘
```

Rejection of the application by any individual at step 6 will return the application to step 3.

KEY

- Applicant
- Participants
- Signatories
- Process