



# **RESEARCH FELLOWSHIPS FUNDING RULES**

for funding commencing in 2013

Applications open on 12 December 2011 and close at 17:00hrs (5pm) (AEDST) on 9 February 2012

Late applications will not be accepted.

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## OVERVIEW

The National Health and Medical Research Council (NHMRC) is Australia's leading funding agency promoting the development and maintenance of public and individual health standards. It is established under the *National Health and Medical Research Council Act 1992*, (the NHMRC Act) which is available on the NHMRC website at:

<http://www.nhmrc.gov.au/about/organisation-overview/nhmrcs-role>.

The object of the NHMRC Act is to make provision for a national body to pursue activities designed to:

- raise the standard of individual and public health throughout Australia;
- foster the development of consistent health standards between the States and Territories;
- foster medical research and training and public health research and training throughout Australia; and
- foster consideration of ethical issues relating to health.

The *NHMRC Strategic Plan 2010 – 2012* (Strategic Plan) describes the agency's strategic objectives and provides the context within which its funding schemes operate. NHMRC's strategy for health and medical research is to invest in the highest quality research, as determined through peer review, across the four pillars of health and medical research: biomedical, clinical, public health and health services research.

Further information on the Strategic Plan can be found at:

<http://www.nhmrc.gov.au/publications/synopses/nh132syn.htm>.

The *NHMRC Research Fellowships Funding Rules for funding commencing in 2013* incorporates the NHMRC Universal Funding Rules. The Universal Funding Rules were designed to provide investigators and Research Administration Officers (RAOs) ease of access and consistency across funding schemes. The Funding Rules in Part 1 of this document apply specifically to the Research Fellowships scheme only. The Funding Rules in Part 2, the NHMRC Universal Funding Rules, apply to all NHMRC funding schemes, including the Research Fellowship scheme.

This document, Part 1 and Part 2, must be read in conjunction with the '*Research Fellowships Advice and Instructions to Applicants for funding commencing in 2013.*'

# PART 1 – FUNDING RULES SPECIFIC TO THE RESEARCH FELLOWSHIPS SCHEME

## 1. Introduction

This section provides a guideline for applicants who are applying for National Health and Medical Research Council (NHMRC) Research Fellowships. It should be read in conjunction with the *NHMRC Universal Funding Rules* (Part 2 of this document), *NHMRC Research Fellowships Advice and Instructions to Applicants* in the Research Grants Management System (RGMS) Library and the *Application Form*, which can be accessed by logging in to RGMS at <https://www.rgms.nhmrc.gov.au>

## 2. Summary of Changes for 2012

The new *Research Fellowships Funding Rules for funding commencing in 2013* replace the previous “Research Fellowships Funding Policy”.

Listed below are specific changes from 2011:

- 2.1 *Part 1, Section 3 Who should Apply for a Research Fellowship* revision of wording to remove references to ‘mid career’ researchers to eliminate inconsistencies with the Aims and Selection Criteria.
- 2.2 *Part 1, Section 4 Description and Aims* revision of wording to align with the *NHMRC Strategic Plan (2010-2012)* in relation to contributing to building Australia’s research capacity and to emphasise the importance of an applicant’s contribution to the research community.
- 2.3 *Part 1, Section 5 Critical Dates* has been included to highlight important dates in the Research Fellowship timeline for funding in 2013.
- 2.4 *Part 1, Section 6 Selection Criteria and Attachment 2 NHMRC Research Fellowship Ranking Category Descriptors* revision of wording to ensure properly aligned and accurate descriptions are provided.
- 2.5 *Part 1, Section 7.3 Citizenship* revision of wording to highlight Fellows must be based in Australia for the duration of the Fellowship.
- 2.6 *Part 1, Section 8.2 Additional Funding* removal of provision to continue payment of additional funding in the form of SEO or Trans-Tasman Awards for Retiring Fellows.
- 2.7 *Part 1, Section 8.3 Elizabeth Blackburn Fellowships* has been included to highlight the prestige of this new award associated with Research Fellowships.
- 2.8 *Part 1, Section 9.1.3 Honorary Research Fellowships* and *Part 1, Section 7.4 Multiple Grant Eligibility* revision of wording to outline the options available to Australia Fellowship holders who will be applying for a Research Fellowship on the completion of their current award.
- 2.9 *Part 1, Section 9.1.4 Howard Florey Emeritus Fellowships* removed because it has been superseded by One Year Extension of Fellowship for Retiring Fellows.
- 2.10 *Part 1, Section 10.1 Initial Application at Senior Research Fellow (SRF) Level* now includes additional requirement for initial applicants with a ‘Professor’ title to justify an application at this level in order to strengthen existing policy.

- 2.11 *Part 1, Section 10.3.1 Sixth Year Extensions* wording revised to clarify current rules on reapplication during a Sixth Year.
- 2.12 *Part 1, Section 11.1 Interviews* provides clarification on options available for those proceeding to interview regarding delivery, time and date and to only provide a one page CV update.
- 2.13 NHMRC descriptions of **Relative to Opportunity** and **Career Disruption** are now contained in the *Universal Funding Rules*, Part 2 of this document.

### **3. Who Should Apply for a Research Fellowship?**

The purpose of the Scheme is to provide support for outstanding health and medical researchers to undertake research that is of major importance in its field and of significant benefit to Australian health and medical research.

Research Fellowships are open to all researchers in Australia who have a sustained track record of significant output as demonstrated in peer-reviewed literature, and a strong commitment to quality research outputs as judged relative to opportunity.<sup>1</sup>

Research Fellowships offered by NHMRC are prestigious and highly competitive awards for high performing researchers. Recipients of Research Fellowships are generally in the top 10% of their field and are viewed as ‘pushing the boundaries’ of research.

### **4. Description and Aims**

Significant contributions to health research are made from a diverse community which includes people with additional roles such as teaching and clinical care. NHMRC seeks to enrich this broad spectrum of roles, by providing the opportunity for researchers to be active on a full-time basis, in any discipline, so that the frontiers of our understanding of health and disease are expanded aggressively and with maximum impact. To this end, the NHMRC Research Fellowships Scheme aims to recruit and support Australia’s very best medical and health research talent in full-time research during the most productive years of their research life to further develop as leaders in their field and contribute to the Australian research community through active participation.

This commitment is outlined in the *NHMRC Strategic Plan 2010-2012*, in particular *Objective 3: To foster medical research and training and public health research and training throughout Australia*.

A critical objective of the scheme is to foster an intellectual environment which supports and builds the capacity of Australian research for the future and in so doing, creates knowledge through investment in research which improves health and thus contributes to Australia’s prosperity.

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<sup>1</sup> Refer to *Universal Funding Rules*, Part 2 of this document, for further information relating to ‘Relative to Opportunity’.

## 5. Critical Dates

Applicants applying for a Research Fellowship for funding commencing in 2013 should note the following critical dates.

Activity	Date
Applications open (in the NHMRC Research Grants Management System, RGMS)	12 December 2011
Closing date for submission of applications*	9 February 2012
Announcement of shortlisting outcomes	10 May 2012
Interviews Conducted	25-27 June 2012
Completion of Peer Review of applications	July 2012
Announcement of successful applicants	October 2012

\*Application must be submitted by 17:00 pm (5pm) (AEDST) 9 February 2012. Late applications or changes to applications will not be accepted.

## 6. Selection Criteria

All applicants will be assessed and ranked against the Selection Criteria listed below and on how well their application meets the aims of the scheme. All criteria are assessed relative to opportunity and taking into consideration any career disruptions<sup>2</sup>.

1. Vision for the next five years, intellectual leadership and contribution relative to opportunity.
2. Quality of Research Output relative to opportunity (with particular emphasis on the past five years and demonstrating an upward trajectory), success in obtaining grants, national and international profile.
3. Research supervision, mentoring, peer review and research administration relative to opportunity.

The *Ranking Category Descriptors* at Attachment 2 are used as a guide by the Peer Review Panels to score an application against each of the selection criteria.

## 7. Eligibility

Applications for all NHMRC funding schemes are subject to eligibility rules. Applications which do not meet these eligibility guidelines may be removed from the assessment process (refer to Part 2, Universal Funding Rules, *Removal of Applications*).

### 7.1 Qualifications

Applicants must hold a PhD or equivalent research qualification.

### 7.2 Directors of Institutes

A Director of a Medical Research Institute, a Dean or a Deputy Vice-Chancellor (DVC) Research is ineligible to hold a fellowship. The administrative and financial responsibilities of these roles make them inconsistent with the requirements and full-time nature of a Research Fellowship. A Director of a Centre under university or hospital governance who does not have the same administrative and financial responsibilities may be eligible to hold a Research Fellowship, subject to clarification during peer review or at any subsequent time during the life of the Fellowship.

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<sup>2</sup> Refer to *Universal Funding Rules*, Part 2 of this document, for further information relating to 'Career Disruption'.

### **7.3 Citizenship**

Applicants must be an Australian citizen, an Australian Permanent Resident, or a New Zealand citizen and must be based in Australia for the duration of the award. Applicants who have not yet been granted Permanent Resident status may apply provided that such status has been sought. However, a Fellowship cannot commence until permanent residency has been attained. Evidence that this status has been granted must be provided prior to commencement of the Award. Offers of a Fellowship will not be held open beyond the acceptance date in anticipation of permanent residency being granted.

### **7.4 Multiple Grant Eligibility**

Australia Fellowship holders who are within the final two years of their Australia Fellowship are permitted to apply for a Research Fellowship, and if successful, will be awarded an honorary Research Fellowship. They are able to continue receiving their normal Australia Fellowship benefits for the period that their two Fellowships overlap, provided that they hold their Research Fellowship in an honorary capacity. Benefits available under the Research Fellowship will commence only after the Australia Fellowship concludes.

In all other circumstances, NHMRC Research Fellows are not able to personally receive salary from another comparable Fellowship (e.g. Future Fellowship), full-time academic position, or other full-time position in conjunction with their NHMRC Research Fellowship. NHMRC Research Fellows are required to inform the NHMRC if changes to their employment circumstances occur while holding a Research Fellowship. The NHMRC will review such appointments and make recommendations on the course of action required, on a case-by-case basis. Applicants should refer to Part 1, Section 9.1.3 *Honorary Research Fellowships* for further information.

### **7.5 Other Funding Sources**

Applicants are required to declare the source, duration and level of funding already held for research in the particular area of the application, including all NHMRC funding, in order to ensure funding is not duplicated by the Commonwealth or Funding Partner.

NHMRC may liaise with other funding agencies to discuss any overlap between applications in order to avoid duplication of funding.

## **8. Fellowship Packages and Awards**

### **8.1 Research Fellowship Levels and Packages**

There are three Research Fellowship levels available in increasing order of experience and seniority. These are:

- Senior Research Fellow (SRF A and SRF B)
- Principal Research Fellow (PRF)
- Senior Principal Research Fellow (SPRF)

Each level provides a salary package for five years.

Further details on the funding levels and packages are contained in Attachment 4 - *Research Fellowship Packages commencing in 2013*.

An NHMRC Research Fellow is employed by the institution which administers the Fellow's award. The grant to an institution for a Research Fellowship is a package provided to assist the Institution to employ the Fellow.

The actual level of remuneration received by a Fellow is agreed through negotiation between the Fellow and the Institution.

NHMRC is aware that there are varying levels of remuneration for Fellows at different institutions. No additional claims may be made to NHMRC over and above the package, including additional claims for salary on-costs (payroll tax, workers compensation, superannuation, long service leave).

Funding provided by the package will apply for the duration of the fellowship and, with the exception of annual indexation, no additional funds will be provided.

## **8.2 Additional Funding**

Applicants may apply for additional funding as follows:

### **8.2.1 Trans Tasman Joint Initiative Award**

NHMRC and the Health Research Council of New Zealand have established the Trans-Tasman Joint Initiative Award to foster the development of collaborative research initiatives between Australian and New Zealand health and medical researchers.

This award provides \$10,000 per annum for five years in addition to the Research Fellowship Package. It will be awarded to the most highly ranked applicant for this award in that funding cycle. The Trans Tasman Joint Initiative Award recipient must provide a one page report attached to their mid term Progress Report and their Final Report. These reports should detail the activities undertaken to enhance collaborations with New Zealand researchers. (Refer to Part 1, Section 15 – *Reporting*).

#### *Payment of existing Trans Tasman Joint Initiative Awards for Sixth Year Extensions*

Current Fellows who are granted a sixth year extension and were awarded a Trans Tasman Joint Initiative Award under their existing fellowship, will continue to receive their Trans Tasman Joint Initiative Award payment for the sixth year extension of their award.

### **8.2.2 Support Enhancement Options**

Funding via a Support Enhancement Option (SEO) is available to assist Fellows translate research outcomes into improved health practice or to commercialise research discoveries. The SEO is designed to help bridge the gap between health research and health practice or policy, or between health research and commercial or industry developments. The activity proposed for funding by the SEO must be considered beyond the scope of regular research activities undertaken by the applicant.

For Research Fellowships the SEO is \$15,000 per annum for five years in addition to the base Research Fellowship Package.

Two categories of SEO are available – Health Practice or Industry. Applicants may apply for an SEO in one category only.

A Health Practice SEO supports the practical application of research outcomes. Applicants need not have medical or dental qualifications.

An Industry SEO is available to Fellows who can demonstrate against the justification for award points listed below, that their activities will result in sustained research and development links with industry in order to strengthen their capacity to translate their research into commercial products or applications.

SEO are not a “clinical loading”. The SEO may be used, for example, to pay for critical resources such as part-time staff to facilitate development or implementation of health practice or commercial translation activities. An application cannot be made during an existing Fellowship, but only on application for a new five year Fellowship.

#### *Reporting Requirements*

SEO awardees must provide a one page report attached to their mid-term Progress Report and their Final Report. These reports should detail current progress against the action plan which formed the justification for the original SEO request. (Refer to Part 1, Section 15 – *Reporting*).

#### *Justification for the Award of an SEO*

Applicants must make a strong case for the award of an SEO by addressing the following points in their application within the required character limit. Failure to do so will result in an SEO not being awarded.

- Provide an action plan outlining the health practice or commercialisation activity that will be undertaken.
- Justify why SEO funds are needed to implement the action plan.
- Demonstrate how the activity extends beyond the work done to achieve their research objectives.
- Describe the links between the health practice/commercialisation activity and the research objective.
- Demonstrate how the activity will enable others to use and apply the research results.

The Peer Review Panel will consider applications for SEO as part of the peer review of each application at interview and make a recommendation to the NHMRC Research Committee on its award.

#### *Payment of existing SEO for Sixth Year Extensions*

Current Fellows who are granted a sixth year extension and were awarded an SEO under their existing fellowship, will continue to receive their SEO payment for the sixth year extension of their award.

### **8.3 Elizabeth Blackburn Fellowships**

NHMRC Elizabeth Blackburn Fellowships recognise one of Australia’s Nobel Laureates, Professor Elizabeth Blackburn. The Elizabeth Blackburn Fellowships were established to promote and foster the career development of female researchers and are awarded annually to the highest ranked female applicant in each of the biomedical, clinical and public health pillars of the Research Fellowship scheme. Recipients of this award will form an advisory group for NHMRC with a special focus on women in science.

### **8.4 Bernie Banton Fellowship**

NHMRC has established the Bernie Banton Fellowship as an annual Fellowship to commemorate the life of Bernie Banton through supporting health and medical research related to mesothelioma. To be eligible to apply for this fellowship, an applicant should be working in the field of mesothelioma and asbestosis. The fellowship will be awarded to the most highly ranked applicant for this award in that funding cycle that has been specifically recommended for funding by the Peer Review Panel. This award does not provide any additional funding to the Research Fellowship package.

## 8.5 Research Grant Support

Applicants must either have already obtained financial support for their research activity or have an application pending. Applicants are encouraged to have research grant support from both the NHMRC and other external funding bodies. Research grant support from NHMRC is available through a variety of schemes, for example Program, Project and Partnership Projects. Information is available on the NHMRC website <http://www.nhmrc.gov.au/grants>

## 9. Scope of the Scheme

An NHMRC Research Fellowship is a full time award, available for researchers working in biomedical, clinical, public health and health services research areas. Research Fellows may spend up to 20% of their time on other activities directly related to the research activity including, but not limited to, clinical responsibilities, commercial activities, policy development, and public health activities.

### 9.1 Categories of Awards

There are five categories of awards as follows:

#### 9.1.1 Full-time five-year Fellowships

These are renewable in the fifth year. Fellows may also apply for Promotion Out of Synchrony, in which case a new five year Fellowship will be awarded.

#### 9.1.2 Part-time five-year Fellowships

These are awarded only in exceptional circumstances and providing that the request is consistent with the aims of the NHMRC Research Fellowship scheme. Requests will be considered on a case-by-case basis. Exceptional circumstances may include:

- parental or carer responsibilities where available work time is reduced
- personal circumstances such as illness
- clinical or public health practitioners whose research is of a highly competitive standard of scientific excellence comparable to full-time researchers.

#### 9.1.3 Honorary Research Fellowships

Honorary Research Fellowships are awarded in certain circumstances when

- an NHMRC Australia Fellowship holder, within the final two years of their Australia Fellowship, successfully applies for a Research Fellowship, and there will be a period of overlap between January 1st when the Research Fellowship commences and the time when the Australia Fellowship is due to conclude. In this case the Research Fellowship will be deemed honorary and will run concurrently with the Australia Fellowship.
- an NHMRC Research Fellow (either a current or newly awarded Fellow) accepts an appointment to another prestigious position in health and medical research.

The following conditions apply to Honorary Research Fellowships:

- the alternative appointment must be for the conduct of health and medical research
- the alternative appointment must be based in Australia

- the Honorary Research Fellowship cannot be held for longer than the five year period for which the Research Fellowship was originally awarded
- the Fellow must demonstrate that the aims of a non-NHMRC appointment are compatible with the aims of NHMRC Research Fellowships Scheme
- remuneration under the Research Fellowship will not be provided by NHMRC during the term of an Honorary Research Fellowship
- if the other research position ceases before the end of the five-year NHMRC Research Fellowship, or the Australia Fellowship concludes, the Fellow can re-enter (or enter, in the case of concluding Australia Fellowship holders) the NHMRC Research Fellowships Scheme and remuneration will recommence for the remainder of the Fellowship without any loss of status
- as an Honorary Fellowship can only be held for a maximum of five years, if the duration of the other health research appointment extends beyond the expiration date of the NHMRC Research Fellowship, the recipient will need to apply for reapplication/promotion of their NHMRC Research Fellowship in the final year of the NHMRC Honorary Fellowship. Any such application is to be submitted in the normal way, and will be reviewed and ranked with all other applicants. If successful, and the Fellow wishes to continue in an honorary capacity, a new request for honorary status will have to be submitted
- an Honorary Fellow may apply for a promotion in the normal way
- Honorary Fellowships are not open to Fellows who accept remunerated academic positions, institute directorships or equivalent positions where their non-research duties and administrative responsibilities may not be aligned with the aims of the NHMRC Research Fellowships Scheme.

Fellows who wish to apply for honorary status should contact the Research Administration Officer at their Administering Institution for advice.

#### 9.1.4 One Year Extension of Fellowship for Retiring Fellows

Current NHMRC Fellows, who are nearing retirement and intend to remain research active, may apply for a one year extension of their Research Fellowship. Fellows will not be required to complete a full reapplication for a new five year award nor attend an interview. If successful, no further extension will be granted in addition to the one-year extension.

Fellows who are already in their sixth year of funding are not eligible to apply for a one-year extension.

Applications will be reviewed by the Chairs of the Peer Review Panels. If the Peer Review Panel considers the applicant has not demonstrated that they will be research active, the Fellow will not be granted a one year extension. In this case, the applicant's funding will cease at the end of the fifth year and any subsequent Research Fellowship application will be considered as an initial application to the Scheme.

Applicants must:

- apply for their one-year extension in the final year of their current 5 year Fellowship.
- submit a signed statement that, if they are successful in obtaining a one year extension, they will not apply to the Research Fellowship scheme in the future.
- submit a one-page letter of intent and CV to demonstrate that they are and will remain research active, at a level commensurate with an NHMRC Research Fellowship, for the consideration of the Peer Review Panel.

The Chairs of the Peer Review Panels will make a recommendation to the NHMRC Research Committee based on their assessment of the application submissions and applicants will be advised of the outcome following Ministerial approval.

Current Fellows who wish to apply for a one year extension of their Fellowship, should email the NHMRC through their institution's Administration Office, by the closing date for applications, to:

[research.fellowships@nhmrc.gov.au](mailto:research.fellowships@nhmrc.gov.au)

Fellows must attach their signed statement, letter of intent and CV as outlined above.

## **9.2 Suspension of Research Fellowships for Family or Personal Reasons**

Research Fellows may apply for suspension of their fellowship for family-related or personal reasons, including reasons related to the birth and care of children. The suspension must be for either a full twelve months or two year period and requests to suspend the fellowship will be considered on a case-by-case basis. The fellowship will be extended by a period of time equal to the duration of the suspension i.e. one or two years. Remuneration will not be provided by NHMRC during the period of the suspension.

Current Fellows who wish to apply for suspension of their fellowship should contact the Research Administration Officer at their Administering Institution for advice.

## **9.3 Parental Leave**

Parental leave is paid in accordance with the arrangements applicable at the fellow's Administering Institution, up to a limit of 12 weeks. Leave taken beyond the 12 weeks is not paid, and the duration of the fellowship will not be extended if the applicant returns to work at the completion of that 12 weeks.

The fellow is eligible to seek up to forty weeks Leave Without Pay (LWOP) from the fellowship in addition to the 12 weeks parental leave. If the total period of absence is 52 weeks, the fellow may seek to extend the duration of the award by 12 months by application for a suspension of their Research Fellowship (Part 1, Section 10.2).

If the fellow is granted the 12 weeks parental leave and a period less than nine months LWOP, no extension to the life of the fellowship can be sought.

Current Fellows who wish to apply for parental leave should contact the Research Administration Officer at their Administering Institution for advice.

### **9.3.1 Paid Parental Leave Scheme:**

Information concerning the Australian Government's Paid Parental Leave Scheme is available at the following website: <http://www.familyassist.gov.au/payments/family-assistance-payments/paid-parental-leave-scheme>.

## **10. Types of Application**

Details on the types of application are outlined below and also in *Research Fellowships Advice and Instructions to Applicants* which can be accessed in the RGMS Library at <https://www.rgms.nhmrc.gov.au> or on the NHMRC website <http://www.nhmrc.gov.au/grants/apply-funding/fellowship-awards>

Applicants must also carefully read the *Statements of Expectations* (Attachment 1) for details on the three NHMRC Research Fellow levels.

All applicants will be assessed each year in open competition, and the award of a fellowship will be based on merit, relative to opportunity, consistent with the aims of the Research Fellowship scheme.

### **10.1 Initial Application at Senior Research Fellow (SRF) Level**

Most initial applications to the Scheme are expected to be made at the level of Senior Research Fellow (SRF). In the case of initial application to SRF, the panel will decide whether an applicant is to be recommended for SRF A or SRF B level. Applicants should justify their case for award of a fellowship at either SRF A or SRF B level in accordance with the *Statements of Expectations* (Attachment 1) and as outlined in the **Research Fellowships Advice and Instructions to Applicants** which can be accessed at in the RGMS Library at: <https://www.rgms.nhmrc.gov.au>

First time applicants should carefully consider their requested application level and apply at a level commensurate with their research experience and profile. For example, new applicants who have the title 'Professor' will not normally be considered at SRF level and such applicants will be required to submit a justification for their application at SRF level. This will be considered by the panel as part of the peer review process.

### **10.2 Initial Application at Principal Research Fellow (PRF) and Senior Principal Research Fellow (SPRF) Level**

Initial application at Principal Research Fellow (PRF) or Senior Principal Research Fellow (SPRF) levels will require the applicant to submit a justification for their application at this level and will be considered on a case-by-case basis.

Note: Australia Fellows returning to the Research Fellowship scheme must apply as an initial application and provide appropriate justification as an initial applicant in line with the aims of scheme.

#### **10.2.1 Exceptional Circumstances**

Applicants must:

- clearly demonstrate that there are exceptional circumstances which justify their initial application at this level. Exceptional circumstances include, but are not limited to:
  - moving to a different Institution to conduct research in a full-time capacity
  - change of employment focus from a non-research environment
- clearly demonstrate how their award of a Research Fellowship will bring significant new benefit to Australian health and medical research, including the differences between their previous and proposed research plans
- include confirmation as directed in the *Application Form* from the Head of their Institution that:
  - the statement of exceptional circumstances provided by the applicant accurately describes the circumstances of the applicant
  - if successful in obtaining NHMRC PRF or SPRF, the applicant will not be employed by their institution in a continuing or tenured position and
  - acknowledges that the applicant will be assessed in accordance with the level of Research Fellowship requested.

#### **10.2.2 Review Processes for Initial Application at PRF and SPRF levels:**

- The following are the processes for review of these applications:
  - The first review of these applications will be conducted at a meeting of the Chairs of Peer Review Panels.

- At this meeting, applications will be considered on a case-by-case basis in relation to their demonstration of exceptional circumstances.
- The outcomes from this initial review of eligibility will be either that applications:
  - have met the requirements for exceptional circumstances and will proceed to further review and interview or
  - have NOT met the requirements for exceptional circumstances and will be withdrawn from the assessment process or
  - need further clarification of their demonstration of exceptional circumstances and will be reviewed and proceed to interview.

All applicants will be advised of the status of their applications after the initial review is completed.

- Interview processes for those applicants whose statements of exceptional circumstances need further clarification:
  - At the interview of these applicants, the clarification of exceptional circumstances will be addressed as a first consideration.
  - If the applicant is deemed ineligible at interview because they have not clearly established exceptional circumstances, they will not be ranked with other applicants.
  - If, at interview, the applicant successfully establishes the requirements for exceptional circumstances, they will be assessed and ranked by the Panel at PRF or SPRF level in the usual way.
  - Applicants will be provided with reasons in relation to their eligibility as part of the Peer Review Report of the Panel's decision.

### **10.3 Reapplications**

All reapplications are made on merit, relative to opportunity, on the basis of the applications each year. Current fellows will not automatically be granted an interview.

There is no limit to the number of times a Fellow may re-apply to the Scheme. Reapplications must be requested in the fifth year of a current Fellowship. Note that if reapplication has not been sought within the tenure of the Fellowship, the Fellowship will cease at the end of the fifth year and any further application to the Research Fellowships scheme will be considered to be an initial application.

#### **10.3.1 Sixth Year Extensions**

Current Fellows in their fifth year, who are unsuccessful either at short-listing or interview, will automatically be granted a sixth year within the scheme, unless the Peer Review Panel advises the NHMRC that the application represented serious underperformance and recommends that a sixth year should not be granted. In this case, the Fellow may not be granted a sixth year. Fellows who are granted a sixth year may re-apply, however, they may not apply either for Promotion or for a level of Fellowship below their current level. If this reapplication is unsuccessful, the applicant's funding will cease at the end of the sixth year and any subsequent Research Fellowship application will be considered as an initial application to the Scheme.

The employing institution will be advised if NHMRC Research Fellows are unsuccessful in their reapplication to the scheme. Failure to be re-appointed indicates a reduced competitiveness for a Fellowship at the current level. In this event, NHMRC encourages the host institution to provide mentoring and similar support for these researchers with the aim of facilitating the re-establishment of their research competitiveness for a future NHMRC Fellowship application.

Current Fellows in their fifth year, who are nearing retirement, may alternatively choose to apply for a One Year Extension of Fellowship for Retiring Fellows (refer to Part 1, Section 9.1.4).

## 10.4 Promotion

Promotion will be made on merit, relative to opportunity, and is usually sought in synchrony with reapplication. Alternatively, Fellows may apply for a Promotion Out of Synchrony, once only, in either years two or three of their current five year Research Fellowship. Promotions will not be considered in years one or four of a current Fellowship.

Periods of suspension (see Part 1, Section 9.2, *Suspension of Research Fellows for Family or Personal Reasons*) do not contribute to Fellowship time and cannot be included as part of actual Fellowship time that has elapsed. For example, if a Fellow takes a twelve month suspension at the end of the second year of their fellowship and returns at the beginning of the fourth year, they would be able to apply for Promotion Out of Synchrony. They would be in the third year of their Fellowship, even though four calendar years had elapsed since it commenced.

### 10.4.1 Reapplication with Promotion

The following outlines the process for reviewing Reapplication with Promotion:

- Reapplications with Promotion will be assessed at the level of promotion and the current level and, in the case of an applicant applying for promotion two levels above, the lower promoted level.
- In the case of an applicant applying for promotion two levels above their current level and deemed, at initial review, to be non-competitive for promotion at the level sought but considered competitive at a lower level, the application will proceed to external assessment and interview as a Reapplication with Promotion at the lower level without prejudice. For example, applicants seeking promotion from SRF A to PRF may be considered for promotion to the SRF B level if not competitive for the higher level. This consideration applies to both Reapplication with Promotion and Promotion Out of Synchrony.
- If the application is deemed to be non-competitive for promotion at the level sought, but is considered competitive at the current level, the application will proceed to external assessment and interview as a Reapplication only at the determined level without prejudice.
- If the application is deemed to be non-competitive at the current level, then the application will not proceed to external assessment and interview. The Fellow will automatically be granted a sixth year within the scheme, unless the Peer Review Panel advises the NHMRC of serious underperformance.
- Applicants will be advised in writing prior to interview of the level at which their application is being assessed.
- Following interview, applications for promotion will be ranked at more than one level. These applicants will be funded at the highest level which they are considered competitive for the available funding. If unsuccessful at their promoted or current level, they will be granted a sixth year extension.

### 10.4.2 Promotions Out of Synchrony

The process for reviewing applications for Promotion Out of Synchrony is as follows:

- If, at initial review by the NHMRC, the application is deemed to be not competitive for promotion at any level, it will be removed from the peer review process prior to the allocation of external assessors

and therefore no interview will be conducted. The applicant will be advised and their fellowship will continue at the existing level for the duration of their current award.

- In the case of an applicant applying for Promotion Out of Synchrony two levels above their current level and deemed, at initial review, to be non-competitive for promotion at that level but considered competitive at a lower level, the application will proceed to external assessment and interview as a Promotion Out of Synchrony at a level lower than that sought by the applicant.
- If considered competitive for Promotion Out of Synchrony, the application will be externally assessed and ranked with all other applications. To gain promotion, the applicant must be ranked above the funding cut-off for that year.
- Applicants who are successful in gaining Promotion Out of Synchrony will commence a new 5 year award.

All applications for Promotion must be submitted as part of the annual cycle of Research Fellowship applications

## 10.5 Practitioner Fellows applying for Research Fellowships

Practitioner Fellows may apply for an NHMRC Research Fellowship and should do so at the appropriate level.

A Practitioner Fellow who has completed two, five year awards as a Practitioner Fellow is, if he or she wishes, eligible to apply to the Research Fellowships scheme at PRF or SPRF level and is not required to demonstrate exceptional circumstances.

## 11. Application Process

### 11.1 Interviews

Applicants must make themselves available for an interview at the time and date requested during the interview week. Interviews under this funding round are scheduled from **25 June to 27 June 2012**. Interviews will be conducted either face to face in Canberra or via teleconference at the applicant's discretion. Where the applicant would like their interview to be conducted via teleconference or due to extreme circumstances has a preference for a specified interview date, the applicant should contact the NHMRC through their institution's Administration Office **no later than 13 April 2012**. Requests should be sent via email to: [research.fellowships@nhmrc.gov.au](mailto:research.fellowships@nhmrc.gov.au)

Interviewees will have the opportunity to provide the panel with a **one-page** CV update at their interview. However, no additional information pertaining to the application will be accepted nor provided by the panel after the applicant's interview.

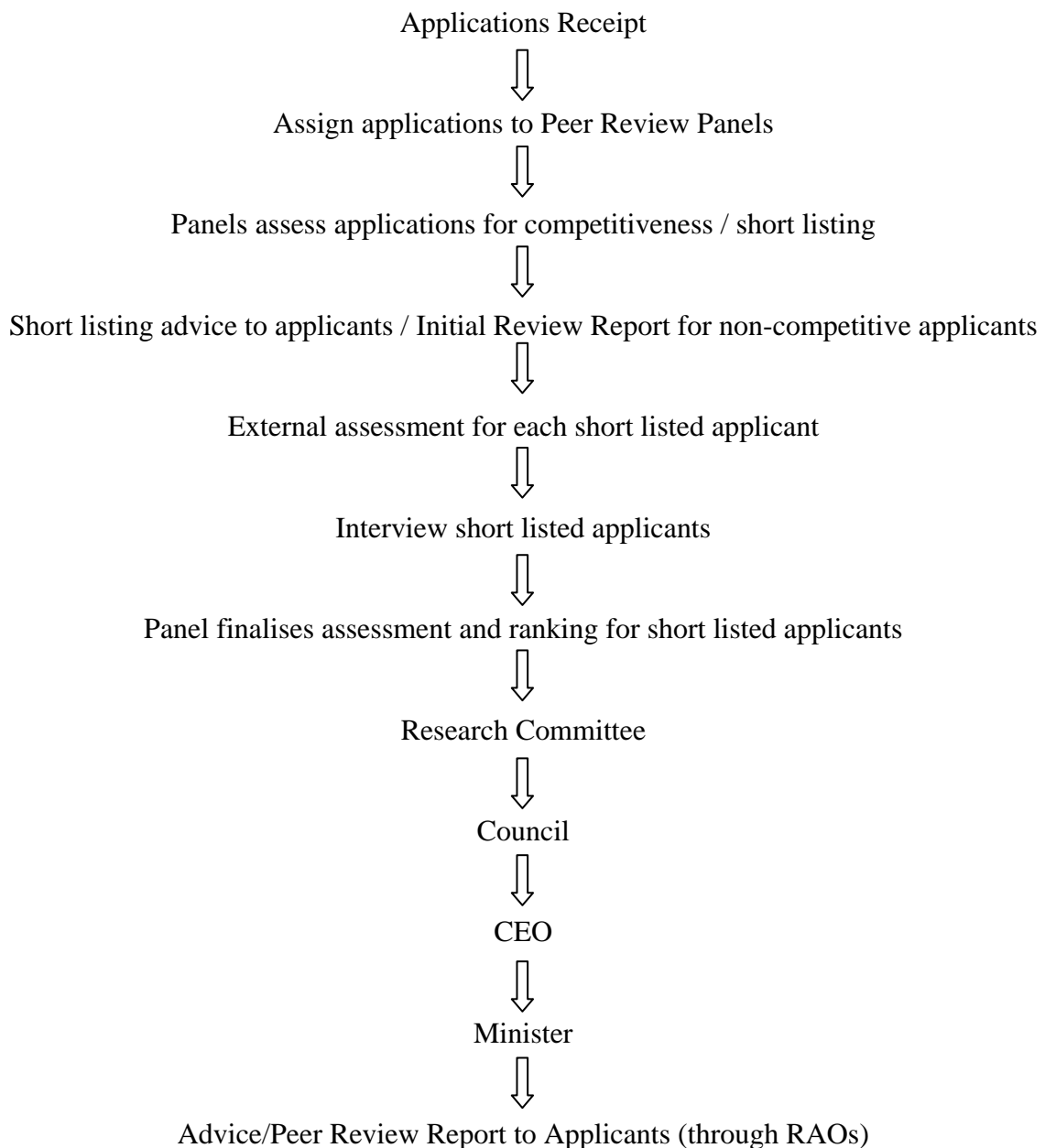
## 12. Peer Review Process

Applications are assessed and evaluated through a peer review process. This process is managed through the Peer Review Panels (PRP), which are appointed by the NHMRC's CEO. The Scoring/Ranking Matrix for Research Fellowships applications is at Attachment 3.

NHMRC encourages applications that address Aboriginal and Torres Strait Islander health and has established certain requirements and processes which are designed to ensure that research into Aboriginal and Torres Strait Islander health is not only of the highest scientific merit but also that it is beneficial and acceptable to

Aboriginal and Torres Strait Islander Peoples. Therefore, applications with an Indigenous focus will be assessed against the Selection Criteria (Appendix 3), but will also be assessed against the *Criteria for Health and Medical Research of Indigenous Australians* available at: <http://www.nhmrc.gov.au/files/nhmrc/file/grants/indighth.pdf>

The sequence of events in the peer review process is as follows:



### 13. Administration

If an applicant's employment circumstances change following submission of an application for a Research Fellowship or during the course of a current Fellowship, e.g. change of employer or additional employment responsibilities being undertaken, the NHMRC is to be notified immediately. This is essential so that the NHMRC is able to determine if the ability of the Fellow to undertake the roles and responsibilities of the Fellowship is affected by the change in circumstances. The notification will need to detail the extra financial and administrative implications for the Fellow, and implications of the change on their ability to undertake the roles and responsibilities of the Fellowship.

**Any enquiries regarding post award administration should be directed to:**

[postaward.management@nhmrc.gov.au](mailto:postaward.management@nhmrc.gov.au)

### 14. Reporting

Research Fellows are required to submit a number of reports through the RAO at their Administering Institution to NHMRC. For the Research Fellowship Scheme, the specific reporting requirements are as follows:

- Mid-Term Progress Report (as outlined in Part 1, Section 14.1 below)
- Financial Reports (refer to Part 2, *Universal Funding Rules, Reporting on NHMRC Grants*)
- Final Report (as outlined in Part 1, Section 14.2 below)
- Trans-Tasman Joint Initiative Award Report, if applicable (as outlined in Part 1, Section 14.3 below)
- Support Enhancement Option Report, if applicable (as outlined in Part 1, Section 14.4 below)

*Please note: Annual Progress Reports are not required for the Research Fellowships scheme.*

#### 14.1 Mid-Term Progress Report

A one-page executive summary addressing achievements and progress against the aims of the Research Fellowship Scheme is required by 30 September in the third year of the grant. The purpose is to report on the first 2.5 year period of the grant. In a separate attachment to the executive summary the Fellow should provide detailed lists updating publications, grants, peer recognition, prizes and awards, research translation, commercialisation, clinical activities, public health activities, research training, and contribution to professional activities (refer to *Ranking Category Descriptors - Attachment 2*) during the tenure of the current Fellowship. The report is to be prepared with a minimum font size of 10 point and with a serif font such as Times New Roman.

Progress Reports will be submitted to the NHMRC for consideration and any appropriate action could involve a member of NHMRC making personal contact with the Fellow or his/her institution to discuss any concerns.

The mid-term Progress Report form can be downloaded from the NHMRC's website at:

<http://www.nhmrc.gov.au/grants/admin/progreport.htm>

#### 14.2 Final Report

This report enables NHMRC to assess whether the objectives of the award have been achieved and also to gather information that may be useful in NHMRC's internal performance measurement activities.

The Final Report is to be submitted within six months of completion of a five year Fellowship or termination of the award except where a sixth year of support is provided. In this instance the final report will be required within six months of completion of that additional year of funding.

The Final Report form, supplementary forms and Instructions for End of Funding Reports can be downloaded from the NHMRC's website at:

<http://www.nhmrc.gov.au/grants/admin/progreport.htm>

In completing the final report, Fellows are required to provide information on research achievements, outputs and outcomes, compliance with terms of the Funding Agreement, certification and a list of publications for the five years of the Fellowship. All sections in the final report form should be addressed.

Failure to provide the Final Report for Research Awards is a breach of the Terms of the Funding Agreement and may seriously prejudice consideration of further applications for NHMRC funding.

### **14.3 Trans-Tasman Joint Initiative Award Report**

The recipient must provide a one-page report on their collaborative associations with New Zealand researchers. The report is to be attached to the mid-term progress report and final report.

### **14.4 Support Enhancement Option Report**

SEO awardees must provide a one page report attached to their mid-term Progress Report and their Final Report. These reports should detail current progress against the action plan which formed the justification for the original SEO request.

## PART 2 - NHMRC UNIVERSAL FUNDING RULES

### 1. Introduction

The National Health and Medical Research Council (NHMRC) is Australia's leading funding agency promoting the development and maintenance of public and individual health standards. It is established under the *National Health and Medical Research Council Act 1992*, (the NHMRC Act) which is available on the NHMRC website at:

<http://www.nhmrc.gov.au/about/organisation-overview/nhmrcs-role>.

The object of the NHMRC Act is to make provision for a national body to pursue activities designed to:

- raise the standard of individual and public health throughout Australia;
- foster the development of consistent health standards between the States and Territories;
- foster medical research and training and public health research and training throughout Australia; and
- foster consideration of ethical issues relating to health.

The *NHMRC Strategic Plan 2010 – 2012* (Strategic Plan) describes the agency's strategic objectives and provides the context within which its funding schemes operate. NHMRC's strategy for health and medical research is to invest in the highest quality research, as determined through peer review, across the four pillars of health and medical research: biomedical, clinical, public health and health services research.

Further information on the Strategic Plan can be found at:

<http://www.nhmrc.gov.au/guidelines/publications/nh132>.

NHMRC will only support excellence in research because the best outcomes flow from the best research. NHMRC is committed to all research relevant to health (including biomedical, clinical, public health and health services research) and recognises that multidisciplinary approaches are needed to solve the complex problems of health.

These rules apply to all NHMRC funding schemes. They were designed to provide researchers and the Research Administration Officers (RAOs) ease of access and consistency across funding schemes. They must be read in conjunction with the scheme specific *Funding Rules* and *Advice and Instructions to Applicants* documents.

## 2. Enquiries

Enquiries about the content of NHMRC *Funding Rules* should be addressed to your Administering Institution's RAO in the first instance. If further assistance is required, please contact the Research Help Centre on 1800 500 983, or at [help@nhmrc.gov.au](mailto:help@nhmrc.gov.au) or refer to the relevant funding scheme web page on the NHMRC website: <http://www.nhmrc.gov.au/grants/types-funding>.

Applicants must not contact grant review panel members or external assessors in relation to their application, or the peer review process. Doing so may constitute a breach of *The Australian Code for the Responsible Conduct of Research 2007* (the Code) (refer to subsection 2d) and the application may be excluded from further consideration. Applicants are to direct any queries concerning the peer review process to their Institution's Research Office.

## 3. Submitting an Application

All applications must be submitted electronically using NHMRC's Research Grant Management System (RGMS). <https://www.rgms.nhmrc.gov.au/>.

Applicants who are not yet registered on RGMS should contact [help@nhmrc.gov.au](mailto:help@nhmrc.gov.au) for more information.

When completing an application, refer to - *Advice and Instructions to Applicants* documents available from <https://www.nhmrc.gov.au/grants/apply-funding>.

For help in learning to use RGMS, applicants are advised to use RGMS Tutor, a training tool, available at the RGMS Library within RGMS at: <https://www.nhmrc.gov.au/grants/apply-funding>.

The application should contain all information necessary for assessment without the need for further written or oral explanation, or reference to additional documentation. All details included must be current at the time of application, as this will be used as the prime source of information available to the peer review panel.

Applications must be certified and submitted by an NHMRC registered Administering Institution. Further information on becoming an Administering Institution can be found in the *NHMRC Administering Institutions Policy* at: <http://www.nhmrc.gov.au/grants/admininst.htm>.

It is important to check the closing dates for the funding schemes you wish to apply to. The closing dates for NHMRC funding schemes which can be found at: <http://www.nhmrc.gov.au/grants/funding-calendar>.

Applicants should note that Administering Institutions may have a submission date well in advance of NHMRC's closing date, and should consider relevant institutional timeframes when preparing the application.

Applications submitted after the closing date will not be considered by NHMRC. Once submitted to NHMRC, the application will be considered final and no changes will be permitted.

Further information in relation to the completion of the application is located in the Library section of RGMS.

### **Retracted Publications**

If a publication relevant to an application is retracted after the application has been submitted, applicants must advise NHMRC of the retraction at the earliest opportunity by email ([help@nhmrc.gov.au](mailto:help@nhmrc.gov.au)) with an appropriate explanation regarding the retraction. Applicants are required to send this information to NHMRC through their RAO.

In addition, where the publication forms part of the applicant's Track Record, that information must be immediately recorded in their Profile & CV in RGMS.

If an application is largely dependent on the results of a retracted publication, applicants should also consider withdrawing the application. If, under these circumstances, applicants choose not to withdraw the application, they should make their reasons clear in their communications with NHMRC.

### **3.1. Profile and CV**

RGMS provides an online Profile and CV function. This function must be used when applying for all types of grants in RGMS. Relevant information from the Profile and CV will be uploaded automatically into the application form. It is therefore important that the Profile and CV are up to date.

NHMRC has made a significant investment to ensure that RGMS has sufficient capacity for all applicants to have adequate access to the system to prepare their applications in a timely manner. However, congestion management may be necessary during times of extreme load on the system. To avoid any inconvenience applicants are encouraged to complete their Profile and CV as early as possible following the opening of applications for the funding round.

### **3.2. Withdrawal of Applications**

Applicants may withdraw their application at any time in writing, through their Administering Institution's Research Office to NHMRC.

### **3.3. Incomplete, False or Misleading Applications**

All details in the application, particularly concerning any successful grants and other current applications, must be current at the time of application.

If an application is incomplete or contains information that is considered misleading, it will be excluded from any further consideration for funding.

Under section 136.1 of the *Commonwealth Criminal Code Act 1995*, it is an offence to provide false or misleading information to a Commonwealth body in an application for a benefit. Such action can be punishable by up to 12 months imprisonment. If an application contains information that is false or misleading, it will be excluded from any further consideration for funding.

Examples of false or misleading information in an application include, but are not restricted to:

- a) providing a dishonest statement regarding time commitments to the research for which support is being sought;
- b) providing incomplete or inaccurate facts regarding other sources of funding;
- c) providing fictitious track records; and
- d) falsifying claims in publication records (such as describing a paper as accepted for publication when it has only been submitted).

If NHMRC believes that omissions or inclusion of misleading information are intentional, it may refer the matter for appropriate legal action.

### **3.4. Responsible Conduct of Research and Research Misconduct**

NHMRC expects the highest levels of research conduct and integrity to be observed in the research that it funds. Institutions that administer grants, as well as Chief Investigators, are bound by the conditions of the *NHMRC Funding Agreement* (Funding Agreement), and through this agreement by the requirements of the Code available at:

<http://www.nhmrc.gov.au/guidelines/publications/r39>.

The purpose of the Code, which was issued by NHMRC in partnership with the Australian Research Council and Universities Australia, is to guide institutions and researchers in responsible research practices. The Code promotes integrity in research and provides a mechanism by which a breach of the Code or an incident of research misconduct can be resolved.

All institutions should have a mechanism in place to handle and investigate research misconduct. All staff should be aware of this process. Researchers who become aware of research misconduct should follow the process outlined in the Code and can report on scientific misconduct by completing an e-form available from the NHMRC website at: <https://www.nhmrc.gov.au/about/contact-us/complaint-form>.

Administering Institutions are required to inform NHMRC of cases of research misconduct and NHMRC may exclude these applications from further assessment if the applicant is found to have committed serious research misconduct.

### **3.5. Removal of Applications**

NHMRC reserves the right, at its absolute discretion, to remove applications from further consideration.

Exclusion of applications may take place at any time during the assessment process if they contravene these *Funding Rules*.

The application must:

- a) be submitted using RGMS by the advertised closing date;
- b) declare the source, duration and level of funding already held for research in the particular area of the application;
- c) be certified and submitted through the appropriate Research Office of an NHMRC approved Administering Institution;
- d) be within the specified page limits; and
- e) be formatted (including font sizes and margins) as specified in the *Advice and Instructions to Applicants* document.

Applications may be excluded under the following circumstances:

- a) the application is clearly of a standard that will not gain support via the competitive funding scheme (note: NHMRC would only determine an application to be non-competitive on advice from a review panel);
- b) the application does not comply with the eligibility criteria specified in either this document or scheme specific *Funding Rules*;
- c) the application includes any incomplete, false or misleading information;

- d) the application is inconsistent with the objectives of the NHMRC Act and the purposes of the Medical Research Endowment Account (MREA) (refer to sections 3 and 51 of the NHMRC Act);
- e) the application does not comply with the requirements of these rules, scheme specific *Funding Rules*, or the *Advice and Instructions to Applicants* document; and
- f) the application involves researcher/s against whom a finding of research misconduct has been made.

### **3.6. Relative to Opportunity**

Peer reviewers' consideration of relative to opportunity may take into account the amount of time spent as an active researcher; career disruption (see section 3.7); available resources; clinical, administrative or teaching workload; relocation of an applicant and his/her research laboratory or clinical practice setting; restrictions on publication associated with time spent working in other sectors (e.g., industry, policy and government) and the typical performance of researchers in the research field in question.

A number of the assessment criteria for NHMRC funding schemes are assessed relative to opportunity. This reflects NHMRC's aim that assessment processes accurately measure an applicant's track record relative to stage of career, including consideration as to whether productivity and contribution is commensurate with the opportunities available to the applicant.

### **3.7. Career Disruption**

Career disruption represents a special category within the assessment of relative to opportunity, and includes pregnancy; major illness; and carer responsibilities including parental leave. Employment outside the research sector including time spent working in industry; clinical, administrative or teaching workload; relocation of laboratory or clinical practice setting or other similar circumstances that impact upon research productivity are not considered to be career disruption and are considered under relative to opportunity (see section 3.6).

## **4. Confidentiality and Privacy**

Section 80 of the NHMRC Act prevents NHMRC Officers (including staff and members of NHMRC Council and committees) from disclosing commercial-in-confidence information acquired in the course of their duties and relating to matters under consideration by NHMRC, unless the disclosure is made in the performance of duties under the NHMRC Act. Information which may properly be regarded as confidential commercial information should be designated as such.

Information comprising the names of successful grant applicants and their Administering Institutions, together with the title of the research project and the funding awarded, may be published in the NHMRC Annual Report and are available through NHMRC's website. NHMRC may also release information about the areas of research of the grant, funding partners and a brief description of the grant. This information is provided by the applicant in response to the question on the application form designated as Media Summary.

### **4.1. Privacy**

Documents containing personal information are handled and protected by NHMRC in accordance with the provisions of the *Privacy Act 1988* (the Privacy Act), which sets standards for the collection, storage, use and disclosure of, and access to, personal information. Personal information is disclosed only with permission of the individual to whom it relates or where the Privacy Act allows.

### **4.2. Freedom of Information Act 1982 (Cth)**

NHMRC is subject to the *Freedom of Information Act 1982* (Cth) (The FOI Act) and is committed to meeting the Australian Government's transparency and accountability requirements. Recent changes to the

FOI legislation have implications for the way in which NHMRC responds to and reports on, requests for information under the FOI Act.

However NHMRC remains committed to maintaining the confidentiality of grant applications, the peer review process and the privacy of people participating in peer review and will be working with the Australian Information Commissioner in relation to the conditional exemptions under the FOI Act.

## **5. Outcome of Application**

NHMRC will advise applicants via RGMS on the nominated Administering Institution's Research Office of the outcome of the application as early as possible following approval of funding. This advice may initially be provided on a confidential basis. If so, NHMRC will regard any breach of this confidentiality as a serious matter.

NHMRC will publish the following information on its website for all successful grants:

- a) Application Identity;
- b) All Chief Investigator names;
- c) Administering Institution;
- d) Scientific title and/or simple title;
- e) Broad Research Area;
- f) Funding partners (if relevant); and
- g) Total funding awarded and duration.

NHMRC may publish this information in a manner that allows it to be searched and viewed in a variety of ways, including by Chief Investigator name, State, Institution and/or Application ID.

The media summary may also be published.

## **6. Objections and Complaints in Relation to the Outcome of Funding Applications**

Applicants may contact NHMRC seeking clarification on the outcome of their application for funding, or to state an objection to any part of the process. The objection must be lodged in writing through the Administering Institution's Research Office and be received within four weeks of the date on the letter notifying the outcome of the application.

The objection should be directed to the Complaints Officer at:

Complaints Officer

National Health and Medical Research Council

GPO Box 1421

CANBERRA ACT 2601

Or via email to: [complaints@nhmrc.gov.au](mailto:complaints@nhmrc.gov.au).

The NHMRC will provide a written response to all objections.

The NHMRC policy on complaints can be found at:

<https://www.nhmrc.gov.au/about/contact-us/complaint-form>.

## **6.1. Formal Complaints to the Commissioner of Complaints**

The NHMRC Act provides for the Commissioner not to investigate a complaint where the complainant has not initially approached the CEO for resolution.

If an applicant is not satisfied with the outcome, they may lodge a formal complaint with the NHMRC Commissioner of Complaints, as detailed in Part 8 of the NHMRC Act.

A person whose interests are affected may at any time lodge a complaint under section 59 of the NHMRC Act. Section 61 of the NHMRC Act provides the Commissioner of Complaints with discretion, including where a complainant has not approached the CEO with the complaint, to choose not to investigate and refer the complaint to the CEO.

Complaints to the Commissioner should be addressed to:

NHMRC Commissioner of Complaints  
National Health and Medical Research Council  
GPO Box 1421  
CANBERRA ACT 2601

Formal complaints can be mailed to the above address, or sent by email as a PDF letter to [complaints@nhmrc.gov.au](mailto:complaints@nhmrc.gov.au).

Complaints must be in writing, be signed by the complainant, describe the action complained about and specify the nature of and grounds for the complaint.

Complaints can only be considered against administrative process and not the merits of a particular decision. The grounds of complaint are detailed at section 58 of the NHMRC Act and are that:

- a) the action involved a breach of the rules of natural justice;
- b) the action was induced or affected by fraud;
- c) there was no evidence or other material to justify the action;
- d) an irrelevant consideration was taken into account in relation to the action;
- e) a relevant consideration was not taken into account in relation to the action;
- f) in the course of the action a discretionary power was exercised for a purpose other than the purpose for which the power is conferred;
- g) the action involved the exercise of a discretionary power in bad faith;
- h) in the course of the action, a personal discretionary power was exercised at the direction of another person;
- i) the action involved the exercise of a discretionary power in accordance with a rule or policy without regard to the merits of the particular case; or
- j) the action involved any other exercise of a power in a way that constitutes abuse of the power.

Complainants are advised to contact their RAOs prior to making a complaint to the Commissioner.

## **7. Approvals to be Obtained Prior to Funding Commencing**

Funding for an NHMRC Grant (other than Research and Practitioner Fellowships and TRIPs) will not commence until all relevant approvals, particularly in relation to ethics and biosafety, have been received from the appropriate institutional committees and lodged with the Administering Institution's Research Office prior to the commencement of the research. Provisional approvals are not acceptable and no funding will be provided on the basis of a provisional approval.

The grant offer may be withdrawn if ethics approvals are not obtained within six months of the original grant commencement date.

Applicants must ensure that where appropriate, a copy of the application is referred to the relevant institutional committees or approval bodies.

The Research Administration Officer, who is responsible for the application, must advise NHMRC when clearances have been granted by the relevant committees.

NHMRC reserves the right to request further information in relation to decisions made in response to an application for ethics committee or biosafety committee approval.

Where an ethics clearance or regulatory approval is not required until the latter years of a Grant and the relevant committee cannot review the proposal without the results of the preliminary findings of the research then, NHMRC approval can be sought for the funds to be released. These requests will be considered by NHMRC on a case by case basis.

## **8. Approvals and Licenses**

### **8.1. Research Involving Humans**

Research funded by NHMRC that involves human participants must be reviewed by a Human Research Ethics Committee (HREC) or an institutional low risk review process in accordance with the *National Statement on Ethical Conduct in Human Research 2007* (the National Statement). Consideration must also be given to the Privacy Act.

The National Statement is available on the NHMRC website at:

<http://www.nhmrc.gov.au/guidelines/publications/e72>.

Human research, in this context, includes research involving any human tissue, no matter what the source, and also includes research in which there is any intervention (physical or psychological) in the normal lives of humans.

All research involving the administration of drugs, chemical agents or vaccines to humans must be considered by a HREC to assess the appropriateness of their use. If such research is part of a clinical trial, then it falls under the responsibility of the Therapeutic Goods Administration (TGA) which administers the Clinical Trials Notification/Exemption schemes. Further information on these schemes can be obtained from the TGA:

<http://www.tga.gov.au/industry/clinical-trials.htm>.

In the case of multi-centred clinical trials, the relevant institutions and their HRECs may agree that the primary ethical and scientific assessment be made at one institution/organisation, with copies of the approvals being sent to the other institutions/organisations involved. Further information on multi-centre research approval is provided in the National Statement.

### **8.2. Human Embryo Research**

Research involving certain human embryos requires a licence issued by the Embryo Research Licensing Committee of NHMRC in accordance with *Research Involving Human Embryos Act 2002* and *Prohibition of Human Cloning for Reproduction Act 2002*.

For further information about the legislation refer to the NHMRC website at:  
<http://www.nhmrc.gov.au/guidelines/publications-0>; and  
<http://www.nhmrc.gov.au/guidelines/publications/prohibit>.

### **8.3. Use of Personal Information in Research**

Section 95 of the Privacy Act provides that the CEO of NHMRC may, with the approval of the Commissioner, issue guidelines for the protection of privacy in the conduct of medical research.

Any research involving humans that uses personal information held by Commonwealth agencies where identified information needs to be used without consent from the individual(s) involved should abide by NHMRC guidelines approved under Section 95 of the Privacy Act (Section 95 guidelines). In these situations, the proposed medical research must be approved by a properly constituted HREC in accordance with the Section 95 guidelines.

NHMRC guidelines approved under Section 95A of the Privacy Act (Section 95A guidelines) are broader than the Section 95 guidelines and apply to the collection, use and disclosure of health information held by organisations in the private sector for the purposes of research or the compilation or analysis of statistics, relevant to public health or public safety, without the consent of the individual(s) involved. Under the Section 95A guidelines, a HREC must give approval for the use of this information.

### **8.4. Research Involving Animals**

Research funded by NHMRC that involves the use of animals must be reviewed and approved by a properly constituted Animal Ethics Committee in accordance with the *Australian Code for the Care and Use of Animals for Scientific Purposes 2004* (the Animal Code). The Animal Code is available on the NHMRC website at: <http://www.nhmrc.gov.au/guidelines/publications/ea16>.

### **8.5. Generation or Use of Genetically Modified Organisms**

Applicants proposing to undertake research involving genetically modified organisms (GMO) must ensure that all the requirements of the *Gene Technology Act 2000* and *Gene Technology Regulations 2001* have been met.

In the first instance, applicants should seek advice from their Institutional Biosafety Committee on the level of authorisation needed for any proposed GMO research. Information on the gene technology regulatory scheme, including the Act and Regulations, is also available from the Office of the Gene Technology Regulator website at:  
<http://www.ogtr.gov.au>.

## **9. Considerations Relevant to NHMRC Funded Research**

### **9.1. Health Research Involving Aboriginal and Torres Strait Islander Peoples**

Ethics applications for research that involves the participation of Aboriginal and Torres Strait Islander Peoples should be developed with reference to the Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (2003). Further information is available from the NHMRC website at: <http://www.nhmrc.gov.au/guidelines/publications/e52>.

### **9.2. Use of Carcinogenic or Highly Toxic Chemicals**

All research that involves the use of carcinogenic or highly toxic chemicals must adhere to the National Occupational Health and Safety Commission guidelines, *National Code of Practice for the Preparation of Material Safety Data Sheets 2<sup>nd</sup> Edition 2011*. Further information is available from the Safe Work Australia web site at:  
<http://safeworkaustralia.gov.au/>.

### **9.3. Use of Cultured Cell Lines for Research**

Concern exists within the scientific community regarding the impact of contamination with mycoplasma and other cells in eukaryotic cell lines and the use of incorrectly characterised cells lines, on the validity of research outcomes. NHMRC recommends that researchers employ quality assurance procedures to ensure their eukaryotic cell lines are free from mycoplasma.

### **9.4. Use of datasets for research purposes**

The use of datasets for research purposes must comply with the *Minimum Guidelines for Health Registers for Statistical and Research Purposes*. Further information is available from the Australian Institute of Health and Welfare website at: <http://www.aihw.gov.au/publications/index.cfm/title/9792>.

### **9.5. Nagoya Protocol**

Applicants should be mindful of the Nagoya protocol and the likelihood of Australia becoming a signatory. The protocol seeks to establish a legally-binding framework for biotechnology researchers and other scientists to gain access to genetic resources. It also establishes a framework for researchers and developers to share any benefits from the use of genetic resources, or traditional knowledge associated with those resources, with the provider country. More information can be obtained at: <http://www.environment.gov.au/biodiversity/science/access/biological-diversity.html>.

## **10. Consumer and Community Participation in Health and Medical Research**

The Statement on *Consumer and Community Participation in Health and Medical Research* (the Statement) has been developed because many consumers and researchers recognise the contribution that consumers can make to health and medical research. The Consumers Health Forum of Australia Inc (CHF) and NHMRC worked in partnership with consumers and researchers to develop the Statement in recognition of the contribution that consumers can make to research, as well as their right to participate in research. Researchers are encouraged to consider the benefits of actively engaging consumers in their proposed research. Applicants should refer to the CHF and NHMRC Statement available at: <http://www.nhmrc.gov.au/guidelines/publications/r22-r23-r33-r34>.

## **11. Administration of NHMRC Grants**

Any enquiries regarding the administration of NHMRC grants should be directed firstly to the applicant's RAO, then by email to [postaward.management@nhmrc.gov.au](mailto:postaward.management@nhmrc.gov.au).

### **11.1. Employment at NHMRC Administering Institutions**

The NHMRC Administering Institution Policy states "...to administer NHMRC funds all institutions must: Employ Chief Investigator A (CIAs) named on research grants funded by NHMRC or researchers who are awarded NHMRC Fellowships, or have appointed the CIA to an academic position through that university's academic appointment process; and Establish formal agreements with institutions employing, or responsible for, other Chief Investigators on grants funded by NHMRC."

Further information can be obtained from the NHMRC Administering Institution Policy which is available at <https://www.nhmrc.gov.au/grants/admininst.htm>

### **11.2. NHMRC Funding Agreement**

All grants are offered in accordance with the conditions specified in the Funding Agreement which is an agreement between NHMRC and the Administering Institution. In signing the Signature Block for

Schedules, the Administering Institution is agreeing to the conditions contained in the Funding Agreement and the Schedule.

Details of the Funding Agreement can be found at:

<http://www.nhmrc.gov.au/grants/administering-grants/nhmrc-funding-agreement>.

A grant may not commence, nor grant funds be expended, prior to:

- the Funding Agreement between NHMRC and the Administering Institution being in place; and
- the appropriate Signature Block for Schedules being signed by the signatories to the Funding Agreement, or an appropriate delegate, and signed and executed by NHMRC.

### **11.3. Payments**

Subject to appropriations provided by the Commonwealth Department of Finance and Deregulation, payment of funds will be made to Administering Institutions in regular instalments, in accordance with approved payment arrangements made for assistance provided from the MREA. Funds must be used only for the purposes approved and detailed in the Funding Agreement and its Schedule.

### **11.4. Research Misconduct**

Research funded by NHMRC must comply with the Code, which can be found at:

<http://www.nhmrc.gov.au/guidelines/publications/r39>.

The Funding Agreement contains provisions for the handling of allegations of research misconduct. Applicants and grant holders are referred to the NHMRC policy on *Actions to be Taken in Response to Research Misconduct Involving NHMRC Funding*. This is available on the NHMRC website at:

<http://www.nhmrc.gov.au/grants/administering-grants/nhmrc-funding-agreement>.

### **11.5. Intellectual Property**

Unless otherwise approved by NHMRC, applicants must agree to comply with the *National Principles of Intellectual Property Management for Publicly Funded Research (2001)* available at:

<http://www.nhmrc.gov.au/grants/policy/intellectual-property-management>.

## **12. Reporting on NHMRC Grants**

### **12.1. Progress Reports and Financial Reports**

Annual progress and financial reports will be required in a form prescribed by NHMRC. At the completion of the grant, a final report and financial acquittal will be required within six months after the period of funding ends.

Additional reporting requirements and reporting exemptions may apply: please check the specific *Funding Rules* for the scheme (e.g. People Support Schemes).

NHMRC has designated Section A of the End of Grant – Final Report as information that NHMRC may publicly release. Use of this information may include publication on the NHMRC website, publicity (including release to the media), and the promotion of research achievements.

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

The reporting requirements are included in the Schedule to the Funding Agreement and can also be found at:

<http://www.nhmrc.gov.au/grants/administering-grants/progress-and-final-reporting>.

NHMRC may suspend payment of further instalments of:

- the relevant grant, and/or
- all grants held by the Chief Investigator A, and/or
- all grants administered by that Administering Institution until the appropriate reports have been received and assessed as satisfactory.

In addition, where an institution fails to submit satisfactory reports as required, NHMRC may also terminate funding and determine that all or part of the funding must be repaid. Alternatively, NHMRC may withhold the remainder of the Institution's payments under the scheme for the current year or initiate recovery of funding.

## **13. Open Access Statement**

### **13.1. Dissemination of Scientific Results**

The Australian Government makes a major investment in research to support its essential role in improving the wellbeing of our society. To maximise the benefits from research, findings need to be disseminated as broadly as possible to allow access by other researchers and the wider community.

NHMRC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research. Such considerations include the status and reputation of a journal or publisher, the peer review process of evaluating their research outputs, access by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge. Taking heed of these considerations, both organisations want to ensure the widest possible dissemination of the research supported by their grants, in the most effective manner and at the earliest opportunity.

NHMRC encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository wherever such a repository is available to the researcher(s). If a researcher is not intending to deposit the data from a project in a repository within a twelve-month period, they should include the reasons in the project's Final Report. Any research outputs that have been or will be deposited in appropriate repositories should be identified in the Final Report.

Section 4 of the Code, outlines these and other responsibilities of Institutions and researchers, which apply to all forms of dissemination.

Grant recipients must ensure that they comply with NHMRC policy on the dissemination of research findings, which is available at:

<http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

## 14. Resources

### 14.1. NHMRC Resources

The role of NHMRC at:

<http://www.nhmrc.gov.au/about/organisation-overview/nhmrcs-role>.

Access the Research Grants Management System (RGMS) at:

<http://www.rgms.nhmrc.gov.au/>.

*Australian Code for the Responsible Conduct of Research 2007* at:

<http://www.nhmrc.gov.au/guidelines/publications/r39>.

*Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* at:

<http://www.nhmrc.gov.au/guidelines/publications/ea16>.

*Criteria for Health and Medical Research of Indigenous Australians* at:

<http://www.nhmrc.gov.au/your-health/indigenous-health>.

NHMRC Administering Institutions policy at:

<http://www.nhmrc.gov.au/grants/policy/admininst.htm>.

NHMRC complaints handling policy:

<https://www.nhmrc.gov.au/about/contact-us/complaint-form>.

*NHMRC Funding Agreement* at:

<http://www.nhmrc.gov.au/grants/administering-grants/nhmrc-funding-agreement>.

NHMRC policy on the dissemination of research findings:

<http://www.nhmrc.gov.au/grants/policy/dissemination-research-findings>.

*NHMRC Strategic Plan 2010-2012* at:

<http://www.nhmrc.gov.au/guidelines/publications/nh132>.

*Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* at:

<http://www.nhmrc.gov.au/guidelines/publications/e52>.

### 14.2. Legislation

*Criminal Code Act 1995* at:

<http://www.comlaw.gov.au/Details/C2010C00842>.

*Freedom of Information Act 1982* at:

<http://www.comlaw.gov.au/Details/C2011C00138>.

*National Health and Medical Research Council Act 1992* (NHMRC Act) at:

<http://www.comlaw.gov.au/Details/C2010C00734>.

*Privacy Act 1988* at:

<http://www.comlaw.gov.au/Details/C2011C00157>.

*Prohibition of Human Cloning for Reproduction Act 2002 (PHCR Act)* at:

<http://www.comlaw.gov.au/Details/C2008C00694>.

*Research Involving Human Embryos Act 2002 (RIHE Act)* at:

<http://www.comlaw.gov.au/Details/C2008C00689>.

## Statements of Expectations - Attachment 1

The Statements of Expectations set out broad outline activities, attributes and achievements within the levels of the NHMRC Research Fellowships scheme. In coming to decisions about relative merit of applicants for these positions, assessors will take into account research track record of these baseline activities relative to opportunity. Applicants should note the attached Ranking Category Descriptors (Attachment 2) which identify quality of research and associated outcomes. The list of Ranking Category Descriptors is meant to be indicative rather than exhaustive.

Applicants for an NHMRC Research Fellowship at all levels will be expected to articulate a vision for their research for the next 5 years and to provide convincing evidence of their intellectual leadership in their field. The quality of their research outputs, including publications, patents and any evidence for translation into practice of their work, will be a primary consideration in the assessment of their application for a Fellowship. Similarly, the level of success in obtaining grants funding and their National and International research profile will be major determinants of the outcome of applications for Fellowship. Supervision of research students, mentoring and peer review and research administrative activities will also be factors impacting on the competitiveness of an application.

### Senior Research Fellow

#### SRF A

**General Standard:** To be competitive for award of a Fellowship at SRF A level, an applicant will have provided convincing evidence that he/she has independently conceived and conducted original research and regularly published research findings in high quality peer review international journals, independently or as part of a research team. The Fellow is expected to continue to develop relevant research expertise and research group leadership.

#### SRF B

**General Standard:** To be competitive for award of a Fellowship at SRF B level, an applicant will have provided convincing evidence that he/she has independently conceived and conducted original research and regularly published research findings in high quality peer review international journals. The Fellow is expected to be making independent and original contributions and to exercise leadership in influencing research directions and outcomes. In addition, the Fellow will be contributing significantly to their profession and to research training.

\*NOTE: Applicants with a title of Professor who are submitting an initial application at the level of SRF (General) must provide justification for their appointment at this level as per Part1, Section 12.1.

### Principal Research Fellow

**General Standard:** A Principal Research Fellow is expected to be making substantial and major contributions to research through high quality publication and other communication of their original research findings. In addition, they will be making significant contributions to their profession and discipline and to research training. This level of award recognises marked distinction in the Fellow's research and scholarship. Applicants, who are applying at this level for the first time, must also demonstrate exceptional circumstances for their award of a Fellowship commensurate with the aims of the Research Fellowships scheme, and clearly demonstrate how Australian health and medical research would derive new benefit from their award of a Fellowship.

## **Senior Principal Research Fellow**

**General Standard:** A Senior Principal Research Fellow will be recognised as a leading authority in a research area and will have made substantial and highly original contributions to the area. The Fellow is expected to exercise special responsibility in providing leadership and in fostering excellence in research. They will play a leading role within their profession or discipline in research training in their organisation or institution and within the scholarly and general community. Applicants who are applying at this level for the first time must also demonstrate exceptional circumstances for their award of Fellowship commensurate with the aims of the Research Fellowships scheme, and clearly demonstrate how Australian health and medical research would benefit from their award of a Fellowship.

## NHMRC Research Fellowship Ranking Category Descriptors - Attachment 2

The following category descriptors are used as a guide to score an application against each of the selection criteria. The descriptors are indicative rather than exhaustive. Evaluation of performance will take into account opportunity, research discipline and be an overall summation of research contributions. It is particularly important that consideration is given to opportunity when assessing applicants for SRF level fellowships.

Note: There is no reference to journal impact factors in the Research Fellowships Funding Rules. For further information on this issue, please refer to the NHMRC website: [http://www.nhmrc.gov.au/about/senior\\_staff/articles/index.htm](http://www.nhmrc.gov.au/about/senior_staff/articles/index.htm)

Score	<b>Criterion 1</b> – Vision for the next five years, intellectual leadership and contribution relative to opportunity Weight 25%	<b>Criterion 2</b> – Quality of research output relative to opportunity (with particular emphasis on the past five years and demonstrating an upward trajectory), success in obtaining grants, national and international profile. Evidence may include: Weight 60%	<b>Criterion 3</b> – Research supervision, mentoring, peer review and research administration relative to opportunity Weight 15%
4.1 -5.0 Highest international quality and research performance (top 5% internationally).	<ul style="list-style-type: none"> <li>• Highly innovative research that is transformative and introduces advanced concepts.</li> <li>• Clear evidence of a vision that will substantially advance the field</li> <li>• Subject to opportunity is highly recognised, or has emerging high recognition, internationally for their contribution to their field of research and intellectual leadership. Driver of research design, conduct and publication of seminal research and/or lead role in reform of public health policy/clinical practice.</li> </ul>	<ul style="list-style-type: none"> <li>• Published research is highly influential making seminal contributions with broad impact.</li> <li>• Research output is exceptional by international standards and continuing on an <b>upward trajectory</b> in terms of quality and quantity.</li> <li>• Success in obtaining major international grants as CIA.</li> <li>• International prizes and major international recognition for outcomes.</li> <li>• Invitations to give plenary presentations at major international meetings, major role in international Policy.</li> <li>• Significant evidence of major collaborative interactions in the national and/or international scientific / clinical / public health arena.</li> <li>• Major transformational contributions to their field of research, either via seminal contributions to fundamental science and/or translation of research to practice, either via commercialisation, clinical medicine, public health or fundamental changes in health policy.</li> </ul>	<ul style="list-style-type: none"> <li>• Extensive evidence of primary supervision and mentoring of PhD candidates (or equivalent) with successful completions.</li> <li>• Major contributions to the profession with respect to peer review of grants and publications, such as Editor of international top ranked generalist journal.</li> <li>• Major professional contribution to the national health and medical research community commensurate with level of fellowship. (Examples depending upon fellowship level: grant review, GRP membership, GRP chair, NHMRC advisory position, membership of Academy).</li> <li>• Holds leadership positions in highly regarded international scientific or professional societies.</li> <li>• Clear evidence of other key contributions to the profession, including public communication /advocacy.</li> <li>• Significant leadership role within a Departmental Centre or Institute.</li> </ul>

<p>3.1 – 4.0 Highly competitive internationally (top 10% internationally)</p>	<ul style="list-style-type: none"> <li>• Internationally and nationally recognised for their contribution to their field of research and intellectual leadership subject to opportunity.</li> <li>• Clear evidence of a vision that is likely to advance the field.</li> <li>• Key but not necessarily lead role in research design, conduct and publication of seminal research and/or key but not lead role in reform of public health policy/clinical practice.</li> </ul>	<ul style="list-style-type: none"> <li>• Published research is highly influential with broad impact.</li> <li>• High research output and continuing on an upward trajectory in terms of quality and quantity.</li> <li>• Major national grants as CIA.</li> <li>• International/National prizes.</li> <li>• Invited speaker at major international meetings; Invited member of international Policy Group.</li> <li>• Evidence of collaborative interactions in the national and/or international scientific / clinical / public health arena.</li> <li>• Evidence of transformational contributions to their field of research expertise, either via seminal contributions to fundamental science and/or translation of research to practice, either via commercialisation, clinical medicine, public health or fundamental changes in health policy.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence of active supervision of PhD candidates or equivalent with successful completions.</li> <li>• Member of peer review committee or panels or similar.</li> <li>• Specific contribution to the national health and medical research community commensurate with level of fellowship.</li> <li>• Member of Editorial Board of international specialist journal.</li> <li>• Holds leadership position in scientific or professional society.</li> <li>• Some evidence of other key contributions to the profession, public communication.</li> </ul>
<p>2.1 – 3.0 The applicant is considered to be very good in terms of the selection criteria but on balance is not competitive.</p>	<ul style="list-style-type: none"> <li>• Recognised nationally to some extent for their contribution to their field of research and intellectual leadership subject to opportunity. May have some evidence of an international profile.</li> <li>• Some vision of their future contribution to their field of endeavour.</li> <li>• Consistent contribution to fundamental science, clinical practice or health policy but not necessarily with a leadership role.</li> </ul>	<ul style="list-style-type: none"> <li>• Published research makes specialised contributions to knowledge.</li> <li>• Acceptable research output quality and quantity.</li> <li>• Major national grants not necessarily as CIA or grant funding primarily from specialist agencies (e.g. Cancer Council, NHR etc).</li> <li>• National/State/Institutional prizes.</li> <li>• Some evidence of significant international profile.</li> <li>• Emerging collaborative activities in the national and/or international scientific / clinical / public health arena.</li> <li>• Some evidence for transformational contributions to their field.</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision, joint supervision of PhD candidates.</li> <li>• Review of grants, and other research applications.</li> <li>• Evidence of some contribution to the national health and medical research community commensurate with level of fellowship.</li> <li>• Membership of or minor role in professional societies (senior office bearer or meeting organiser, editorial board responsibility).</li> </ul>
<p>1.1 - 2.0 The applicant displays a number of good features in terms of the selection criteria but is</p>	<ul style="list-style-type: none"> <li>• Nationally recognised for their contribution to their field of research and intellectual leadership subject to opportunity.</li> <li>• Developing vision of their contribution to their field of endeavour.</li> <li>• Advocacy of public health evidence into policy/practice; local</li> </ul>	<ul style="list-style-type: none"> <li>• Publications demonstrate research sustaining the knowledge base of the discipline.</li> <li>• National grants from specialist agencies (e.g. Cancer Council, NHF etc).</li> <li>• State/Institutional prizes.</li> <li>• Speaker at major national meeting; Member of major national Health Policy Advisory Group (e.g. NHMRC); Member of Editorial Board of local specialist journal.</li> <li>• Developing research translation potential but little</li> </ul>	<ul style="list-style-type: none"> <li>• Some evidence of involvement in supervision of postgraduate students. supervision / joint supervision.</li> <li>• Emerging evidence of a contribution to the national health and medical research community commensurate with level of fellowship.</li> <li>• Membership of professional societies or other evidence of emerging professional activities.</li> </ul>

not competitive.	practitioner; modest participation in local public or private sector governance.	evidence of contribution to date.	
0.0 - 1.0 The application is clearly not of sufficient quality to be competitive against any of the selection criteria. Such an applicant would not proceed to interview.	<ul style="list-style-type: none"> <li>• Leadership role is primarily recognised at the institutional level.</li> <li>• Limited research vision.</li> <li>• Little evidence of research translation or a vision for such.</li> </ul>	<ul style="list-style-type: none"> <li>• Low number and/or quality of research publications in specialized field of research.</li> <li>• Grants funding primarily from local institutional sources rather than competitive grant funding.</li> <li>• Institutional prizes.</li> <li>• Limited evidence for speaking invitations (e.g. invited seminars), committee or board membership.</li> <li>• Little evidence of research translation potential.</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision of Honours research and other higher degree candidates.</li> <li>• Training of postdoctoral staff and general research staff.</li> <li>• Member of professional societies.</li> </ul>

## Scoring/Ranking Matrix for Research Fellowships Applications - Attachment 3

<b>Selection Criteria*</b>	<b>Weights</b>	<b>Weighted Score (rounded up)</b>
Vision for the next five years. Intellectual leadership and contribution.	25% (multiply score by 1.5)	Score X 1.5
Quality of research output (publications, patents, research translation), with particular emphasis on the past five years.  Success in obtaining grants.  National and international profile (impact and significance).	60% (multiply score by 3.6)	Score X 3.6
Research supervision, mentoring, peer review and research administration.	15% (multiply score by 0.9)	Score X 0.9
<b>Total Weighted Score (maximum weighted score = 30)</b>		

\*All criteria are assessed relative to opportunity and taking into consideration any career disruptions.

The weighted scores from each panel member will be combined i.e. a mean score determined and added to the list of scores for all applicants to provide a provisional ranked list. This list is designed to be preliminary in nature and to be used as a guide rather than as the final determinant of rankings i.e. its purpose is to assist the panel in arriving at its final decisions regarding applicant rankings.

## Research Fellowships Packages commencing in 2013 - Attachment 4

<b>Destination</b> <b>Lowest to highest designation</b>	<b>Package</b> <b>Level</b>	<b>Package Provision</b> <b>\$ Per Annum</b>
SRF A	RF Package 1	\$118,157
SRF B	RF Package 2	\$130,553
PRF	RF Package 3	\$142,949
SPRF	RF Package 4	\$161,675

## Peer Review Timetable - Attachment 5

### Research Fellowships Commencing in 2013

Research Fellowship applications open	12 December 2011
<b>Closing Date for Research Fellowship applications</b>	<b>9 February 2012 at 5:00pm AEDST</b>
First Review of RF/PF applications – all Review Panels meet.	April 2012
Deadline to contact NHMRC regarding interview special circumstances ( <i>refer section 11.1</i> )	13 April 2012
External Assessment of applications	May/June 2012
Scheduling and notification of interview and advice to non-competitive applicants.	10 May 2012
Fellowships Interviews	25-27 June 2012 Panel Briefing - evening of 24 June 2012
Final ranking of applications	28 June 2012
Recommendations to NHMRC	August 2012
Recommendations submitted to the Minister	Sept/Oct 2012
Advice to Applicants	Early Nov 2012

Prepared by the  
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Revised 1 December 2012