

Research and Development Capacity Building Infrastructure Grants Program

Application kit for funding
Round 2, 2006/07–2008/09



NSW DEPARTMENT OF HEALTH

73 Miller Street
NORTH SYDNEY NSW 2060
Tel. (02) 9391 9000
Fax. (02) 9391 9101
TTY. (02) 9391 9900

www.health.nsw.gov.au

This work is copyright. It may be reproduced in whole or in part for study training purposes subject to the inclusion of an acknowledgement of the source. It may not be reproduced for commercial usage or sale. Reproduction for purposes other than those indicated above, requires written permission from the NSW Department of Health.

© NSW Department of Health 2005

SHPN (ERB) 050173
ISBN 0 7347 3884 6

Further copies of this document can be downloaded from the NSW Health website: www.health.nsw.gov.au

December 2005

The Capacity Building Infrastructure Grants Program

The Capacity Building Infrastructure Grants Program (the CBIG Program) is a competitive funding program administered by NSW Health. Its purpose is to build capacity and strengthen research in the key areas of public health, primary health care and the provision of health services.

The Program aims to build these strengths in priority areas which are of importance to the health of the NSW population in the next five to ten years and beyond.

The Program provides grants of up to \$1.5M over a three year period to successful applicants. The first round of the Program ran from 2003–4 to 2005–6. The second round of funding is for the period 2006–7 to 2008–9.

At the end of the second funding round, NSW Health expects that the CBIG Program will have achieved the following objectives:

1. There will be a robust and vibrant research community within NSW conducting high quality and internationally recognised research in the key areas of public health, primary health care and the provision of health services.
2. This capacity will be directed towards generating research findings which address the areas of highest priority for improving and maintaining the health of the people of NSW.
3. Those research findings will be adopted in the policies and practices of health providers and health services, resulting in improvements in the provision of services to the community.

This application kit invites eligible organisations to apply for funding under the CBIG Program in order to fulfil the above objectives.

The Department will be evaluating the CBIG Program to determine how successful it has been in meeting these objectives.

Contents

1	Background Information	1
	History of CBIG	1
	An overview of the CBIG application process.....	1
2	The purpose of the CBIG Program.....	2
	Objectives and outcomes.....	2
	Use of CBIG funding	2
3	Priority research areas for NSW Health	4
4	The selection process: eligibility and selection criteria.....	5
5	Eligibility of applicants.....	6
	Who can be an applicant?.....	6
	Eligibility criteria	6
6	Selection of applicants	10
	Selection criteria.....	10
	Weighting of criteria	12
7	Is the CBIG Program meeting its objectives?.....	13
	Evaluation by and of funded organisations and knowledge transfer.....	13
	Program evaluation	13
8	How to submit an application	14

1 Background Information

History of the CBIG

In 1996, NSW Health implemented the Infrastructure Grants Program (IGP), a competitive program which awarded infrastructure grants to biomedical, clinical, public health and health services research organisations in NSW.

Until 2003, infrastructure funding to public health and health services research organisations was provided through Stream 3 of the IGP.

In 2002, a review of the IGP identified a pressing need to consolidate and grow capacity in public health, primary health care and health services research, and to better align research in these areas with the priorities of NSW Health. These findings were supported by the 1999 Review of Health and Medical Research in Australia (Will's Report), which highlighted the need to strengthen public health and health services research.

The Capacity Building Infrastructure Grants Program (the CBIG Program) was developed to address these needs. Round 1 of funding under the CBIG Program was provided in the triennium of 2003–4 to 2005–6. This kit sets out background information and the application procedure for Round 2 of funding, to be provided in the triennium of 2006–7 to 2008–9.

An overview of the CBIG application process

The NSW Department of Health invites applications for infrastructure grants under the NSW Health Capacity Building Infrastructure Grants Program (the CBIG Program) for the three-year period commencing 1 July 2006.

Recipients of CBIG funding from Round 1 of the Program are eligible to re-apply for funding under this round.

Grants of up to \$1.5M (\$500,000 per annum for three years) are available to successful applicants under the Program. Applicants are required to submit a grant bid within this range, justified by a projected budget.

Applications must be submitted using the CBIG Standard Application Form. A detailed description of the selection process is set out in Part 4 of this Kit.

Applicants should also examine the CBIG Standard Deed of Agreement, which sets out the terms and conditions upon which CBIG funding will be provided.

The first part of the application process is directed towards establishing eligibility for the CBIG Program. Only organisations which can demonstrate that they meet the eligibility criteria for the CBIG Program will be considered for funding. A detailed explanation of the eligibility criteria is set out in Part 5 of this Kit.

The second part of the application process is directed towards the applicant demonstrating its potential contribution to the objectives of the CBIG Program and the outcomes it seeks to achieve over the funding period. Applicants will be required to provide a proposed Research, Capacity and Translation Plan (maximum of 10 pages in length plus a one-page Executive Summary) for the funding period, specifying goals which are linked to the objectives of the CBIG Program and milestones to their achievement against which performance can be measured.

In selecting successful applicants, attention will be paid to considerations of ■ value for money ■ feasibility ■ performance management.

A detailed explanation of the evaluation of applications is set out in Part 6 of this Kit.

Applications close on Friday 10 March 2006.

Applications will be assessed by a Selection Panel appointed by the Chief Health Officer and Deputy Director-General, Population Health. The selection process will take place on 2 and 3 May 2006. The Selection Panel may wish to contact applicants by telephone during the selection process to clarify any issues in their application.

Senior representatives of applicants are therefore requested to be available to be contacted by phone on 3 May 2006.

The Department will be evaluating both the performance of individual organisations awarded funding in this round, and the overall success of the CBIG Program in meeting its objectives. Details of these evaluations are set out in Part 7 of this Kit.

2 The purpose of the CBIG Program

Objectives and outcomes

Objectives

The specific objectives of the CBIG Program are:

1. To build a robust and vibrant research community within NSW conducting high quality and internationally recognised research in the key areas of public health, primary health care and the provision of health services.
2. To direct this capacity towards generating research findings which address the areas of highest priority for improving and maintaining the health of the people of NSW.
3. To encourage those research findings to be adopted in the policies and practices of health providers and health services, resulting in improvements in the provision of services to the community.

Outcomes

Funding provided through the CBIG Program is designed to achieve the following outcomes which are related to the objectives of the Program.

Objective 1: To build a robust and vibrant research community within NSW conducting high quality and internationally recognised research in the key areas of public health, primary health care and the provision of health services.

Related outcomes:

- Increased sustainability of organisations conducting research in the key areas.
- Increased numbers of skilled research staff in the key areas.
- Increased income from peer-reviewed grants and commissioned research in the key areas.
- Increased numbers of higher degree students and more doctoral degrees, scholarships and fellowships awarded in the key areas.

Objective 2: To direct this capacity towards generating research findings which address the areas of highest priority for improving and maintaining the health of the people of NSW.

Related outcomes:

- Increased research output, including peer-reviewed publications, book chapters and conference presentations addressing the priority areas.
- Increased participation of health services, and other relevant stakeholders in setting the research agenda.

Objective 3: To encourage those research findings to be adopted in the policies and practices of health providers and health services, resulting in improvements in the provision of services to the community.

Related outcomes:

- Increased development of research-based techniques, practices and policies in the key areas.
- Increased linkages between researchers, health services, universities, industry and other relevant bodies.
- Improved service delivery to the community in the key areas.

Use of CBIG funding

Funding for Infrastructure

Funding through the CBIG Program is intended to grow capacity for research in the key areas of population health, primary health care and health services, which is sustainable and will be of benefit to the NSW Health system and the community in the future. Funding is therefore directed towards research infrastructure support, with a focus on providing a sustainable environment in which the capacity to conduct research is enhanced, career paths are expanded and training in the key areas may be provided.

Funding under the CBIG Program may not be directed towards specific research projects, as this does not meet the main objective of building capacity for the future. It is expected that successful applicants under the CBIG Program will be able to attract funding for research projects from other sources such as grants and/or commissioned research.

What is infrastructure?

Infrastructure for research consists of essential institutional resources for underpinning research not provided for within research grants or income from commissioned research. For the purposes of the CBIG program, infrastructure is defined as:

The facilities and functions of a research organisation which are not specific to research projects eg scientific equipment not specific to projects, purchase of generic consumables, subscription to information services and databases, collection, management and purchase of data not specific to projects, computer equipment, software licenses, general maintenance costs, telephony/communication systems, office equipment, service contracts for equipment and the salaries of administrative and research support staff. It excludes funds for staff and materials deployed only for specific projects: that is, staff whose services will not be retained for other than a specific project, or materials that will not/are not able to be used other than for a specific project.

What else can CBIG funds be used for?

Consistent with the CBIG Program objectives of building capacity in key areas of research, and encouraging translation of research into policy and practice, CBIG funds may also be used for:

- Stipends (full or part) for PhD candidates and Postdoctoral Fellows.
- Salaries for research staff as required to achieve the goals/outcomes specified in the applicant's Research, Capacity and Translation Plan.

However, it is noted that the Department expects that applicants will have at least two full time senior staff who are securely funded from sources other than funding under the CBIG Program. This is one of the Program's eligibility criteria (see section 5, eligibility criterion 2 – sufficient existing capacity).

3 Priority research areas for NSW Health

There are several priority areas to be addressed in the key fields of public health, the provision of health services and primary health care in the next five to ten years and beyond. Funding under the CBIG Program will be directed to organisations which aim to conduct policy relevant research in the following priority areas:

1. Enabling individuals and communities to better manage their health.
2. Achieving improved workforce planning and education to address future health needs.
3. Addressing social, economic and environmental determinants of health through improved inter-sectoral collaboration.
4. Developing effective management systems to improve service quality and safety.
5. Developing effective models to promote Aboriginal health and community engagement.
6. Designing health services around people's needs.
7. Engaging individuals and communities in planning and decision-making.
8. Integrating health and other kinds of services at the community level.
9. Preparing for, and responding to, emerging public health issues and disasters.

All applicants will be required to demonstrate how their intended research program for the funding period will address at least one of the above priority areas.

4 The selection process: eligibility and selection criteria

The assessment of applications involves a two-step process.

Applicants must first meet the eligibility criteria. Any applications which do not demonstrate that these criteria have been met will be culled. The culling process may be undertaken by Department of Health staff, who may contact applicants directly to clarify any issues with their application.

Applicants which meet the eligibility criteria will be examined by the Selection Panel appointed by the Chief Health Officer and Deputy Director-General Population Health, NSW Health. The Selection Panel will consist of both internal and external members. The names of Selection Panel members will be available to applicants on request.

The Selection Panel will evaluate and rank applications in order of merit against the selection criteria. In doing so, they will have regard to the weighting to be assigned to each group of selection criteria (see Part 6 of this Kit), bearing in mind considerations of value for money, feasibility and performance management.

The Selection Panel will undertake this process on 2 and 3 May 2006. The Selection Panel may wish to contact applicants by telephone during the selection process to clarify any issues in their application. A senior representative of the applicant should therefore be available to be contacted by telephone on 3 May 2006. This representative should be in a position to clarify any matters relating to the application at the time of the inquiry. It will not be possible to respond to the Selection Panel's queries at a later date.

The Selection Panel will determine:

- The number of successful applicants, in accordance with their merit.
- The amount of funding to be provided to each successful applicant from the funds available under the CBIG Program and the funding period, bearing in mind the bid put forward in the application. The Selection Panel may, in its discretion, determine not to award the full amount sought by the applicant.

If parent entities of successful applicants are also awarded funding under the Infrastructure Grants Program, the CBIG grant awarded by the Selection Panel will be reviewed to determine whether it should be reduced to avoid "double-funding" of the applicant under both programs (for more information on applying for both the Infrastructure Grants Program and the CBIG Program, see Part 5 of this Kit).

During the selection process, applications may also be referred to external assessors for expert assessment in relation to the selection criteria.

In the selection of successful applicants, the Selection Panel may identify opportunities for strategic linkages between applicants, which would consolidate existing capacity and assist in strengthening the research sector. NSW Health reserves the right to negotiate collaborations between applicants to the CBIG Program to facilitate the development of research consortia.

The Selection Panel is not obliged to recommend all or any funding under the CBIG Program if, in their opinion, applications do not meet the selection criteria to a sufficiently high standard.

The Selection Panel will recommend successful applicants to the Director-General and Minister for Health for funding under the CBIG Program.

5 Eligibility of applicants

Who can be an applicant?

Organisations that are currently funded under Round 1 of the CBIG Program may reapply for funding in Round 2.

Applicants must be discrete entities whose primary or dominant purpose is to carry out research in the **key areas** of public health, primary health care or the provision of health services.

Applicants may be:

- An independent legal entity, whose primary or dominant purpose is to carry out research in the key areas.
- A unit within a tertiary institution, such as a research centre within a University, where the dominant or primary purpose of the unit is to carry out research in the key areas.
- A discrete unit or research program of a larger research organisation, where the activities of the unit or research program are clearly identifiable and separable from the wider organisation and the primary or dominant purpose of the discrete unit or program is to carry out research in the key areas.
- A collaboration of organisations, or parts of organisations, which have come together to pursue research in any one or more of the key areas. Collaborations must be genuine ventures to further ongoing research programs, and not simply a “coalition of convenience” to enable organisations to obtain CBIG funding. Collaborations should be in a position to demonstrate why the collaboration is useful in contributing to the Program’s objectives, over and above the contributions made separately by its collaborative partners.

Each of these kinds of applicants must meet the eligibility criteria **in their own right**. For example, eligibility criteria in relation to grant income, numbers of staff and students, management structures and other such matters must be met by the individual entity, unit, centre, collaborative group or discrete research program on its own merits. These applicants must not attribute to themselves the funds, staff, or management structures of their parent entities which are not relevant to their own research activities.

Each applicant must provide information in relation to the selection criteria which demonstrates that they can meet that criteria in their own right, as a discrete entity.

Each applicant must demonstrate that the expenditure of funds provided to them, if they are successful, will be under their control and not subject to the direction of their parent entity. Furthermore, they must demonstrate that funds will not be diverted to parent entities but will be used entirely by the unit, collaboration or research program to support research in the key areas.

More detail about these matters are set out in each relevant eligibility or selection criteria.

Eligibility criteria

Organisations are only eligible for consideration under the CBIG Program if they meet all of the following eligibility criteria.

1. The applicant must be located in NSW.
2. The applicant must have sufficient existing capacity as the basis for future sustained growth.
3. The applicant must be a not-for-profit organisation.
4. The applicant must have a management structure which demonstrates that it is an identifiable entity with sufficient independence to determine and implement its own research directions and policies, have identifiable budgets for its own operations, have control over those budgets and be able to account for the use of granted funds.
5. The applicant must have an appropriately qualified and experienced director.
6. The applicant must have an appropriate intellectual property policy.
7. An organisation may apply for both the Infrastructure Grants Program being administered by the NSW Ministry for Science and Medical Research and be the parent entity of an applicant for the CBIG Program, but the Department and the Selection Panel reserve the right to reduce any funding under the CBIG Program if the applicant’s parent entity is also successful under the Infrastructure Grants Program.

The eligibility criteria are expanded below.

1. The applicant must be located in NSW.

The CBIG Program is designed to promote research in the key areas of public health, primary health care and the provision of health services within NSW and for the purposes of improving policy and practice in NSW.

Applicants are required to be located in NSW and carry out their research program in NSW. Funds provided under the Program are to be spent in NSW.

2. The applicant must have sufficient existing capacity as the basis for future sustained growth.

Applicants must demonstrate existing capacity and critical mass in conducting research of statewide significance in the key research areas of public health, primary health care and the provision of health services.

To meet this eligibility criterion:

- a. The applicant must demonstrate that they currently have the equivalent of two senior full-time staff whose salary is securely funded from sources other than the CBIG Program.

Applicants must also meet the following three requirements over the period 2003 to 2005.

- b. The applicant must have had an average of ten or more full-time equivalent research staff each year.¹
- c. The applicant must have provided education and/or training to at least one research student each year. Students can include postgraduate and post doctoral students, public health officer trainees etc.
- d. The applicant must demonstrate that they have been awarded a total research income of at least, on average, \$1 million per annum, excluding funding under the previous rounds of the CBIG and Infrastructure Grants Programs. Some of this funding must be from peer-reviewed sources.

The following is included in the definition of research income:²

- Peer-reviewed research grants
- Non peer-reviewed research grants
- Competitive tenders
- Consultancies
- Industry grants
- Proceeds from the commercialisation of research
- Fund-raising and sponsorship
- Involvement in co-operative research centres
- Income from Area Health Services for grants for specific research projects or for commissioned research (infrastructure funding from AHSs and Universities which may include general recurrent funding, is not to be included).

When providing information on this eligibility criteria, please note:

Collaborative organisations may only include in their application those staff, students and funds relevant to the research conducted by the collaboration and which is the subject of the research program submitted as part of the application. Staff conducting research not relevant to the collaboration, or funds obtained in relation to such non-relevant research, or students supervised in areas of non-relevant research, are not to be included in the application.

Discrete units or research programs within a larger organisation may only include in their application those staff, students and funds relevant to research conducted by the unit, centre or research program and which is the subject of the research program submitted as part of the application. Staff or students from other areas of the organisation or funds obtained by other areas of the organisation are not to be included in the application.

1 Full Time Equivalent Research Staff is to be calculated using the following equation:

$$\frac{\text{(Hours or days spent on R\&D in given year)}}{\text{(Total working hours or days in given year)}} \times \frac{\text{(no. of months in given year doing R\&D)}}{(12 \text{ months})}$$

2 While all these funding sources count for the purposes of assessing eligibility, when undertaking the selection process, peer-reviewed funding will be given

Eligibility of applicants

3. The applicant must be a not-for-profit organisation.

All applicants must be, or be part of, a legal entity, which is a not-for-profit organisation.

Universities and Area Health Services automatically fulfil this criteria.

Applicants whose parent entities are not Universities or Area Health Services must demonstrate that the corporate vehicle of those entities is constructed in such a way as to be a not-for-profit organisation.

For applicants which are collaborations with a number of parent legal entities, each and every parent entity must meet this criteria.

4. The applicant must have a management structure, which demonstrates that it is a discrete operational unit with sufficient independence to determine and implement its own research directions, have identifiable budgets for its own operations, have control over these budgets and be able to account for the use of granted funds.

Applicants must describe their management structure and ensure that it meets the above criteria.

All applicants must demonstrate that they have autonomy over decision-making processes in regard to their research directions and in relation to the use of granted funds.

All applicants must demonstrate that the whole of the granted funds will be applied to their activities and that no part of those funds will be provided to the parent entity or other units or programs of the parent entity, for purposes not associated with the research work of the applicant.

Collaborative organisations must have a written agreement between their parent entities establishing the collaboration and this agreement must nominate to which parent legal entity grant funds are to be paid and must note the management structure of the collaboration.

5. The applicant must have an appropriately qualified and experienced director.

The applicant's director must have experience in the areas of research conducted by the applicant (including a track record of peer-reviewed publications) and appropriate post-graduate qualifications.

If the applicant is a unit or research program of a larger organisation, or a collaboration, the director nominated in the application must be the director of the applicant centre, research program or collaboration, and not only the director of the parent legal entity (or one of them).

6. The applicant must have an appropriate intellectual property policy.

The applicant must have in place during the term of the CBIG Program an intellectual property policy that is congruent with the document entitled "National Principles of Intellectual Property Management of Publicly Funded Research", published by the National Health and Medical Research Council in September 2001.

This requirement may be fulfilled through the implementation by the applicant of an appropriate intellectual property policy of their parent entity. For example, research centres of Universities may be governed by the Intellectual Property policy of that University, provided it is congruent with the NHMRC document.

7. An organisation may apply for both the Infrastructure Grants Program being administered by the NSW Ministry for Science and Medical Research and be the parent entity of an applicant for the CBIG Program, but the Department and the Selection Panel reserve the right to reduce any funding under the CBIG Program if the applicant's parent entity is also successful under the Infrastructure Grants Program.

Round 3 of the Infrastructure Grants Program (2006–07 to 2008–09), which runs parallel to the CBIG Program, is being administered by the NSW Ministry for Science and Medical Research.

Some organisations may be eligible to apply for both the Infrastructure Grants Program and the CBIG Program. If organisations intend to do so, they must ensure that the CBIG application includes only the staff numbers or grant income attributable to the applicant (that is, the public health/health services/primary health care program, unit or centre which is the subject of the CBIG application).

Example: Institute A may administer Public Health Research Program X as well as a number of other research programs in clinical or biomedical areas. Institute A (parent entity) may wish to apply for funding under the Infrastructure Grants Program, and also apply for funding under the CBIG Program in respect of Public Health Research Program X (CBIG applicant).

In its CBIG application, Public Health Research Program X (the applicant) of Institute A (the parent entity) must meet all the eligibility criteria on its own merits. Only the funding and staff numbers relevant to the work of Program X may be included in the CBIG application. Further, all the funding and staff numbers relevant to Program X must be included in the CBIG application (although they can also be included in the parent entity's application under the Infrastructure Grants Program).

Where an organisation is successful under both the Infrastructure Grants Program and the CBIG Program, the Department and the Selection Panel may, in their absolute discretion, reduce the amount of the CBIG grant sought by the applicant to reflect the fact that the unit or program which was the subject of the CBIG grant will also benefit from support received by the parent entity under the Infrastructure Grants Program. This is primarily to prevent double funding. There is no need for applicants to reduce the amount of their CBIG bid if they are also applying under the Infrastructure Grants Program. The Selection Panel will use its discretion to determine whether funding should be reduced and, if so, by what amount. The decision of the Selection Panel in such cases will be final.

In the CBIG Standard Application Form, applicants will be required to state whether they or their parent entity has also applied for funding under the Infrastructure Grants Program, and which of the peer-reviewed funds and staff numbers appearing in their CBIG application will also appear in the application under the Infrastructure Grants Program.

NSW Health and the Ministry for Science and Medical Research will exchange grant application and grant award information to ensure compliance with the above requirements. The CBIG Standard Application Form will require applicants to consent to such an information exchange as a condition of applying under the CBIG Program.

6 Selection of applicants

All applications which meet the eligibility criteria will be assessed by the Selection Panel as set out in Part 4 of this application kit.

Selection criteria have been developed to reflect the objectives and expected outcomes of the CBIG Program, and the CBIG Standard Application Form will elicit relevant information from applicants. This will be done through the provision of information in response to set questions regarding the history and present status of the applicant, and also through the applicant providing a detailed Research Capacity and Translation Plan (maximum of 10 pages plus a one-page Executive Summary) for the funding period.

The selection criteria below set out the areas which must be addressed in the Research, Capacity and Translation Plan. The Plan must specify goals and set out milestones to reach those goals (and dates for meeting them) against which the performance of the applicant (if successful) can be measured over the funding period.

Successful applicants will be required to provide progress reports during the funding period, which state progress against the goals and milestones in the Plan.

All applicants must include a grant bid of up to \$1.5M over three years in their application. The funding sought in each individual financial year must not exceed \$500,000. While grants of up to \$1.5M may be awarded, it is envisaged that grant amounts will be tailored to meet the contribution which can be made by each successful applicant. Applicants must therefore make a bid supported by a realistic Research, Capacity and Translation Plan which sets out achievable goals, given their size, available funding sources and research expertise. It must be demonstrated how the grant sought relates to the achievement of the goals/outcomes in the Plan.

Applicants should therefore give careful consideration to the size of the bids made, as one of the key considerations of the Selection Panel is value for money. Therefore, smaller grant bids may represent better value relative to the outcomes that can be achieved by the applicant.

Applicants should also note that bids do not have to be for equal amounts across the three-year funding period. Bids which take into account growth in other sources of funding and the applicant's decreased reliance on CBIG funding (reducing bids over the period) or growth in the need for funds as capacity develops for a recently formed organisation (increasing bids over the period) may also represent better value and feasibility, depending on the circumstances of the applicant.

The Selection Panel reserves the right to award grant amounts to any successful applicants that differ from the bids contained in their application.

If applicants apply for both the CBIG Program and the Infrastructure Grants Program, there is no need to reduce the bid in the CBIG application to take account of possible funding under the Infrastructure Grants Program. The Department and the Selection Panel will use its discretion to determine whether any CBIG grant as assessed by the Panel should be reduced in light of the applicant's parent entity also receiving funding under the Infrastructure Grants Program.

The selection criteria are as follows.

Selection criteria

Objective 1: To build a robust and vibrant research community within NSW conducting high quality and internationally recognised research in the key areas of public health, primary health care and the provision of health services.

Related outcomes:

- Increased sustainability of organisations carrying out research in the key areas.
- Increased numbers of skilled research staff in the key areas.
- Increased income from peer-reviewed grants and commissioned research in the key areas.
- Increased numbers of higher degree students and more doctoral degrees, scholarships and fellowships awarded in the key areas.

Relevant Selection criteria:

- i. Applicants will be asked to demonstrate their track record over the period 2003 to 2005 in terms of:
 - Securing research funding through competitive peer-reviewed grants, non peer-reviewed research income, commissioned research and other sources. Peer-reviewed funding will be considered more favourably than other kinds of funding.
 - Numbers of skilled research staff in the key areas.
 - Numbers of postgraduate students supervised, student completion rates, and securing funding for scholarships and fellowships through competitive processes.
 - Peer-reviewed publications, book chapters, conference presentations, published reports, prizes and awards, national and international linkages and professional activity related to the priority areas. Peer-reviewed publications will be considered more favourably than other kinds of publications and presentations.
- ii. The applicant's Research, Capacity and Translation Plan should demonstrate how capacity in the above areas will be grown over the funding period.
- iii. Applicants must demonstrate their financial viability and sustainability through provision of past financial information. A proposed budget for the operation of the applicant must be included in the Research Capacity and Translation Plan. This budget may include the proposed CBIG bid in the projected income. The Plan should explain how the bid made by the applicant relates to the budget and underpins the proposed research program.

Objective 2: To direct this capacity towards generating research findings which address the areas of highest priority for improving and maintaining the health of the people of NSW.

Related outcomes:

- Increased research output, including peer-reviewed publications, book chapters and conference presentations addressing the priority areas.
- Increased participation of health services, and other relevant stakeholders in setting the research agenda.

Relevant selection criteria:

- iv. The applicant's Research, Capacity and Translation Plan must set out anticipated research projects and programs for the funding period and show how they are linked to the priorities set out in Part 3 of this Kit. The Plan should demonstrate how the expertise of the applicant equips them to make a unique contribution to knowledge in one or more of these priority areas. For each project/program, the Plan must set out goals to be reached and milestones of achievement along the way (proposed dates for achievement of goals and milestones should be included).
- v. Applicants will be asked to describe the process of setting their research agenda, with particular reference to how the needs and priorities of NSW Health services and other relevant stakeholders are incorporated into this process.

Objective 3: To encourage those research findings to be adopted in the policies and practices of health providers and health services, resulting in improvements in the provision of services to the community.

Related outcomes:

- Increased development of research-based techniques, practices and policies in the key areas.
- Increased linkages between researchers, health services, universities, industry and other relevant bodies.
- Improved service delivery to the community in the key areas.

Relevant selection criteria:

- vi. Applicants will be asked to demonstrate:
 - Current linkages they have with health services, universities, industry and other relevant bodies. Linkages can be demonstrated through formal affiliation agreements, contracts for services, such as consultancy services, or other evidence of working relationships.

Selection of applicants

- A track record of translation of research into policy and practice. Supporting statements from organisations within NSW Health, which express an interest in the uptake of the applicant's research and/or past experience in utilising the applicant's research, will be highly regarded.

The applicant's Research, Capacity and Translation Plan should describe the strategies that will be used to encourage translation of proposed research projects and programs into changes in policy and practice, including how relevant linkages will be grown and fostered over the funding period.

Weighting of selection criteria

Applicants will be ranked on the basis of merit against the selection criteria. The following weighting system will be used as a guide only, to determine the applicant's demonstrated ability to further the objectives of the CBIG Program:

- Ability to achieve Objective 1 – *To build a robust and vibrant research community within NSW conducting high quality and internationally recognised research in the key areas of public health, primary health care and the provision of health services: 40 per cent.*
- Ability to achieve Objective 2 – *To direct this capacity towards generating research findings which address the areas of highest priorities for improving and maintaining the health of the people of NSW: 40 per cent.*
- Ability to achieve Objective 3 – *To encourage those research findings to be adopted in the policies and practices of health providers and health services, resulting in improvements in the provision of services to the community: 20 per cent.*

In determining the "score" to be given in relation to each of the objectives, the selection panel will have regard to the following considerations:

- **Value for money** – This will be assessed on both an individual application and Program-wide basis. In terms of individual applications, the Selection Panel will examine whether the application demonstrates maximum potential outputs given the amount of funds requested (value for money) and the overall value of the outcomes in contributing to the objectives of the CBIG Program. In terms of the Program, the Selection Panel will seek to achieve the right mix of potential outcomes across the priority areas set out in Part 3 of the Kit.
- **Feasibility** – The Selection Panel will make judgements about whether the goals set out in the Research, Capacity and Translation Plan are realistic given the track record of the applicant (including the achievements of previously funded applicants as demonstrated by comparison with their Round 1 applications and reporting information) and the likely effectiveness of the applicant in achieving the proposed goals.
- **Managing for performance** – The Selection Panel will consider the milestones set out in the Research, Capacity and Translation Plan and determine whether these provide a sound basis for monitoring the performance of the applicant and assessing its achievements at the end of the funding period.

7 Is the CBIG Program meeting its objectives?

The Department wishes to enhance the value of the CBIG Program in terms of its ability to meet its objectives. In order to do this, the Department will be evaluating the performance of funded organisations in relation to their proposed Research, Capacity and Translation plans; and will also be asking for feedback from funded organisations on what improvements can be made to the CBIG Program, and what other incentives or support the Department could make available to more efficiently meet the Program's objectives.

Evaluation by, and of, funded organisations and knowledge transfer

During the funding period, the Department will evaluate the performance of the funded organisation, by analysing the information provided in the progress reports required under the CBIG Standard Deed of Agreement. The Standard Deed of Agreement includes a number of strategies for dealing with the situation where the Department considers that a funded organisation is not performing to an appropriate level. These include collaborative discussions between the Department and the organisation regarding the organisation's directions and possible ways to enhance performance. The Standard Deed of Agreement contains constructive measures to be taken in the event of low performance.

The Department will also facilitate one or two seminars during the funding period. The purpose of such seminars will be for funded organisations to present their research work to their peers and policy-makers and to encourage feedback, interaction and knowledge transfer amongst these groups. These seminars will also be used to facilitate feedback from funded organisations about future directions of the CBIG Program, how it can be improved, and other support or incentives the Department could give to assist in the meeting of the Program's objectives. The Standard Deed of Agreement requires participation in these seminars.

Program evaluation

The Department may, either during or at the end of the funding period, undertake an evaluation of the CBIG Program overall. This may involve the provision of information by funded organisations. Evaluation of the Program will be done in co-operation with the funded organisations, who may be requested to allow evaluators to visit their premises, discuss goals and outcomes with them, and provide their views and feedback on the Program. The Standard Deed of Agreement requires reasonable participation in this evaluation.

Future directions

In reviewing the CBIG Program for this round, the future of the Program beyond this current funding round was considered. Several possible future directions were identified including:

- Setting a minimum threshold of peer-reviewed funding as an eligibility criteria for applicants (eg at least 20 per cent of all funding received by the applicant must be from peer-reviewed sources).
- Requiring infrastructure contributions from parent organisations such as Universities, eg through the provision of matching funds or "in kind" contributions.
- Requiring applicants to formally link with a health services partner who will support their application.
- Setting a limit on the number of times applicants could apply for funding under the CBIG Program (eg two or three applications only) and phase-out funding for applicants who are no longer eligible.
- Having a "two-part" selection process involving the submission of an expression of interest by applicants prior to submitting a full application.

Considering these issues and their inclusion in eligibility and selection criteria for any future rounds of CBIG funding will be one part of the ongoing evaluation of the CBIG Program.

8

How to submit an application

All applications must be submitted on the CBIG Standard Application Form found at **www.health.nsw.gov.au/healthethics**.

Applicants should also be aware of the CBIG Standard Deed of Agreement (found on the same website), which sets out the terms and conditions upon which CBIG funding will be provided.

Fifteen hard copies of the application form and Research, Capacity and Translation Plan must be submitted, accompanied by one electronic version on floppy disk or CD (excluding any attachments which are not in electronic format). Electronic applications alone will not be accepted.

The closing date for applications is close of business:

Friday 10 March 2006

Applications must be submitted to:

Associate Director
Health Research and Ethics
NSW Department of Health
Locked Mail Bag 961
NORTH SYDNEY NSW 2059

73 Miller Street
NORTH SYDNEY NSW 2060

All questions regarding the application process and the eligibility and selection criteria must be directed to Deborah Frew, telephone 9391 9751, email: **dfrew@doh.health.nsw.gov.au**.

All such questions (de-identified of author/organisation) and the Department's responses to those questions will be posted on the website of the Research and Ethics Branch at **www.nsw.gov.au/healthethics**. This is to ensure that all applicants have access to equal information regarding the Program.

Applications will be assessed by the Selection Panel on 2 and 3 May 2006. A Senior Representative of the applicant must be available to be contacted by telephone on 3 May 2006. This representative should be in a position to clarify any matters at the time of the inquiry. It will not be possible to respond at a later date.

The Application Form requests two telephone numbers on which these representatives can be contacted.

