Public Health Research Programme

Outline Proposal Guidance

January 2014
Contents

Introduction.................................................................................................................. 2
  About these guidance notes...................................................................................... 2
PART 1 – Useful Information for Applicants.............................................................. 3
  NIHR Carbon Reduction Guidelines ....................................................................... 7
PART 2 – Submitting an Outline Proposal ................................................................. 7
  Section 1 - Research Details.................................................................................... 10
  Section 2 – Contact Information............................................................................. 11
  Section 3 – Lead Applicant Details.......................................................................... 11
  Section 4 – Curriculum Vitae .................................................................................. 12
  Section 5 – Research CV ......................................................................................... 13
  Section 6 – Co-Applicants ...................................................................................... 13
  Section 7 - PPI (Patient and Public Involvement) .................................................... 13
  Section 8 – History of Application ......................................................................... 15
  Section 9 - Case for Support................................................................................... 16
  Section 10 – Research Plan ..................................................................................... 17
  Section 11 - Background and Rationale ................................................................. 18
  Section 12 - Changes from Stage 1/Outline Stage ................................................... 20
  Section 13 – Dissemination & Output ..................................................................... 20
  Section 14 - Relevant Expertise and Experience.................................................... 21
  Section 15 – Justification of Costs ......................................................................... 22
  Section 16 – Intellectual Property ......................................................................... 26
  Section 17 – Wider Context .................................................................................... 29
  Section 18 – Department of Health Monitoring ..................................................... 31
  Section 19 – RDS Involvement .............................................................................. 31
  Section 20 – Suggested Referees .......................................................................... 32
  Section 21 – Uploads .............................................................................................. 32
  Section 22 – Acknowledgement ............................................................................ 33
  Section 23 – Review & Submit .............................................................................. 33
Assistance.................................................................................................................. 33
/Public Health Research Programme

IMPORTANT INFORMATION & GUIDANCE NOTES - OUTLINE PROPOSALS

MIS on-line NIHR Standard Application Form (SAF)

Introduction
The Public Health Research Programme (PHR) is part of the National Institute for Health Research (NIHR). The secretariat function of the programme is managed by the NIHR Evaluation, Trials and Studies Coordinating Centre (NETSCC) based at the University of Southampton under a contract with the Department of Health.

Data Protection
We have an obligation to keep data secure and to use it appropriately. To fulfil our obligations under law and as a result of our contract with the Department of Health, we adopt various procedures to use and protect data. This will impact on how we deal with you as an applicant and your joint applicants.

The Department of Health, National Institute for Health Research (DH NIHR) is the Data Controller under the Data Protection Act 1998 (‘the Act’). Applicants for funding should be aware that information contained in this application might be shared with other DH NIHR bodies for the purposes of statistical analysis and other DH NIHR management purposes, including targeted communications with selected groups of researchers. Applicants may be assured that DH NIHR is committed to protecting privacy and to processing all personal information in a manner that meets the requirements of the Act.

Data Security - data about you
Personal information will be held on a database in the NETSCC password-protected network that is available only to NETSCC staff. Your details and those of your joint applicants will be retained in order to facilitate the running of NETSCC. If your application is successful at any stage of our process, your name and organisation details will appear on the PHR website. In addition, once funding has been agreed and the contract signed, your details will appear in other PHR literature as a grant holder and will be passed to the Department of Health (DH) for inclusion in their publicly available databases of research projects. Your name and those of your joint applicants will be added to our mailing list. This means that you will be sent updates on the PHR Programme. We may also send you separate literature about the PHR Programme and related events. If you have any questions, or if you would prefer not to receive routine and/or general communications, please contact us at: info@phr.ac.uk

About these guidance notes

This document contains information and guidance to applicants submitting an OUTLINE application to the NIHR Public Health Research Programme. Applications for funding are made online through the NETSCC Management Information System (NETSCC MIS). You must register or log-in to the NETSCC MIS to complete and submit your application.

It is important that you read these guidance notes fully before starting to complete the application form to ensure that you provide the correct information. Please note that
the application form cannot be submitted until you have completed all the mandatory fields. You are strongly advised to leave sufficient time to submit your application prior to the deadline.

Further information on PHR and other NIHR programmes can be found on the website www.nets.nihr.ac.uk/programmes/phr

If you have queries or problems preparing your proposal not answered in these guidance notes, please use our online FAQs which provide general advice and guidance based on previous queries we have received (www.nets.nihr.ac.uk/faqs).

If you have any questions not answered in the FAQs please contact:
Public Health Research Programme, NETSCC, Alpha House, Enterprise Road, University of Southampton Science Park, Chilworth, Southampton SO16 7NS. Tel: 023 8059 9697 (24 hour answer phone), Fax: 023 8059 5639, or email: info@phr.ac.uk.

PART 1 – Useful Information for Applicants

Eligibility
Anyone who considers that they can carry out high-quality research is likely to be eligible. If you have any concerns regarding your eligibility to apply we advise that you contact us before completing an application. NETS programmes (with the exception of the EME programme researcher-led workstream*) welcome applications which are within the programmes' remits from all sectors. Applicants are strongly advised to consider establishing partnerships with other relevant sectors or organisations to demonstrate they have the full breadth of expertise to carry out their proposed research in their applications to NETS programmes. Applicants should always check individual call specification documents for any additional eligibility requirements.

*For anyone considering applying to the MRC-funded EME researcher-led workstream, Research Councils UK eligibility rules apply. You should visit www.rcuk.ac.uk/research/eligibility for further information on this requirement.

The Public Health Research Programme is funded by the NIHR, with contributions from the CSO in Scotland, NISCHR in Wales, and the HSC R&D Division, Public Health Agency in Northern Ireland. Researchers in England, Scotland, Wales and Northern Ireland are eligible to apply for funding under this programme.

Criteria for Assessment
Proposals that have reached this stage have already been assessed by the Programme Advisory Board for public health importance. Full proposals will be assessed by the Research Funding Board on the following criteria:

1. Scientific quality of the proposal:
   a) What is the likelihood of the study increasing our understanding of the topic area?
   b) What is the likelihood of the study making a substantial advance in scientific understanding and knowledge?
2. Feasibility of the study:

a) Demonstration of the necessary skill mix, experience, project management and infrastructure for success

High quality studies often need a multi-disciplinary team. Applicants need to show a commitment to team working and may wish to consider a collaborative approach between several institutions. Where appropriate, the PHR Programme recommends that applicants engage an experienced trial manager for the project.

b) Explanation and justification for estimated recruitment rates.

The PHR Programme wants studies to achieve their aims. Researchers should demonstrate that they can recruit the necessary number of participants.

b) Consideration of the ethical, legal and social implications of the research proposed.

3. Reasonable costs and value for money.

There are no fixed limits on the duration of projects or funding and proposals should be tailored to fully address the problem. Research costs are the costs of the research activity itself. These include data collection, analysis, other activities needed to answer the research questions, trial registration (if required) and the salary and indirect costs of staff employed to carry out the research. It is in applicants’ interests to undertake a thorough, realistic and accurate costing.

Please do not include intervention costs. The Public Health Research Programme will fund research costs but not intervention or other non-research costs.

**Required Expertise**

Public health evaluations are typically multi-disciplinary enterprises and are likely to draw on varying areas of expertise. The PHR Programme recommends that teams proposing randomised controlled trials include input from an experienced trials unit. A commitment to team working is encouraged and applicants may wish to consider a collaborative approach between several institutions.

**Partner Collaborations**

The PHR Programme expects that applicants will collaborate, where appropriate, with partner organisations, such as local government and voluntary organisations.

**Governance and Regulation**

The PHR Programme expects applicants to follow ethical guidelines appropriate to the study and setting proposed. We will scrutinise proposed ethics arrangements as part of the assessment of applications. Applicants must either comply with the research ethics framework formulated by the Economic and Social Research Council (ESRC) or obtain approval via the National Research Ethics Service (NRES).

**Ethics**

The Social Care REC reviews adult social care research study proposals from researchers based in England. It is part of the National Research Ethics Service (NRES), and its membership, expertise and procedures have been developed to reflect the social care context. The Appointing Authority is the Social Care Institute for Excellence (SCIE) and the REC is funded by the Department of Health.
The remit of an NHS REC

Ethical advice from the appropriate NHS REC is required for any research proposal involving:

1. Patients and users of the NHS. This includes all potential research participants recruited by virtue of the patient or user's past or present treatment by, or use of, the NHS. It includes NHS patients treated under contracts with private sector institutions.
2. Individuals identified as potential research participants because of their status as relatives or carers of patients and users of the NHS, as defined above.
3. Access to data, organs or other bodily material of past and present NHS patients.
4. Foetal material and IVF involving NHS patients.
5. The recently dead in NHS premises.
6. The use of, or potential access to, NHS premises or facilities.
7. NHS staff - recruited as research participants by virtue of their professional role."

The Governance Arrangements for Research Ethics Committees (GAfREC) allows for ethical review of research outside the NHS on a voluntary basis:

"If requested to do so, an NHS REC may also provide an opinion on the ethics of similar research studies not involving the categories listed above, carried out for example by private sector companies, the Medical Research Council (or other public sector organisations), charities or universities."

In addition to the requirements set out in GAfREC, if your study will take place in a prison or a young offender institution in England and Wales and is health related, it requires ethical review by a NHS REC under an agreement between the Department of Health and the National Offender Management Service.

Ethical approval need not be sought prior to application but details of how ethical approval will be obtained should be included as part of the application.

Useful links:

- Department of Health’s Research Governance Framework for Health and Social Care
- ESRC Research Ethics Framework - [www.esrc.ac.uk/ESRCInfoCentre/opportunities/research%5Fethics%5Fframework/](http://www.esrc.ac.uk/ESRCInfoCentre/opportunities/research%5Fethics%5Fframework/)
- Medical Research Council’s GCP guidelines - ([www.mrc.ac.uk/Utilities/Documentrecord/index.htm?d=MRC002416](http://www.mrc.ac.uk/Utilities/Documentrecord/index.htm?d=MRC002416)) in planning how studies, particularly RCTs, will be supervised.
- Researchers designing or undertaking clinical trials are encouraged to consult the Clinical Trials Toolkit. This NIHR resource is an innovative website designed to help researchers navigate through the complex landscape of setting up and managing clinical trials in line with regulatory requirements.
**Requirements for systematic reviews to be registered with PROSPERO**

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

**UK Biobank**

UK Biobank is a major national health resource, and a registered charity in its own right, with the aim of improving the prevention, diagnosis and treatment of a wide range of serious and life-threatening illnesses – including cancer, heart diseases, stroke, diabetes, arthritis, osteoporosis, eye disorders, depression and forms of dementia. UK Biobank recruited 500,000 people aged between 40-69 years in 2006-2010 from across the country to take part in this project. They have undergone measures, provided blood, urine and saliva samples for future analysis as well as detailed information about themselves. The health of members of this large cohort will be followed over the coming years and the participants have consented to be approached about health research. [http://www.ukbiobank.ac.uk/](http://www.ukbiobank.ac.uk/)

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

**Public Involvement**

Public involvement is important and will be actively sought across the PHR Programme. Evidence of public involvement will be sought in applications, and comments from reviewers who are members of the public will be requested.

The PHR Programme recognises the increasing active involvement of members of the public in research and would like to support research projects appropriately. The PHR Programme encourages applicants to consider how the scientific quality, feasibility or practicality of their proposal might be improved by involving members of the public.

Research teams wishing to involve members of the public should include in their application:
- the aims of active involvement in this project;
- a description of the members of the public (to be) involved;
- a description of the methods of involvement;
- and an appropriate budget.

One useful resource is:

INVOLVE [www.invo.org.uk](http://www.invo.org.uk) is a National Advisory Group funded by the Department of Health, which aims to promote active public involvement in NHS, public health and social care research. INVOLVE have published a number of documents aimed at researchers seeking to involve the public in their research including:

- **Involving the public in NHS, public health, and social care research: Briefing Notes for Researchers**
- **Public involvement in research grant applications: guidelines for commissioners, C1**
- **Public Information Pack (PIP) - a series of 4 booklets**
For information on reimbursing and paying members of the public who are actively involved in research, go to [www.invo.org.uk/resource-centre](http://www.invo.org.uk/resource-centre/) then click on "Publications by INVOLVE" under the "Resource Centre" tab and type "payment" into the search box.

**NIHR Carbon Reduction Guidelines**

Researchers applying for NIHR funding are asked to consider the carbon footprint of their research and take steps to reduce carbon emissions where appropriate. Advice on how to do this can be obtained from the NIHR Carbon Reduction Guidelines [www.nihr.ac.uk/files/NIHR_Carbon_Reduction_Guidelines.pdf](http://www.nihr.ac.uk/files/NIHR_Carbon_Reduction_Guidelines.pdf).

**PART 2 – Submitting an Outline Proposal**

**General Information**

This application form is used by all NIHR programmes and provides a consistent set of questions for applicants to any programme. However applicants are advised to pay close attention to these guidance notes as they provide specific advice in relation to how questions should be interpreted for this programme. Applications for funding are made online through the NETSCC Management Information System (NETSCC MIS). You must register or log-in to the NETSCC MIS to complete and submit your application.

**Please note:**  
The PHR Programme will not accept applications that are currently pending with other research funding organisations (unless under shared funding arrangements).

Where an application has been rejected, applicants should not resubmit their proposal within twelve months of their original application. If the resubmitted application is unsuccessful, or no resubmission is received within 12 months, but the topic is prioritised as important by the Programme Advisory Board, the PHR Programme may review the potential for research in the topic area and may advertise for research proposals in this topic area. Previous applicants will of course be welcome to put in a proposal in response to this call.

**To Access the Application form**

Use the ‘Apply Now’ button on the funding opportunity page on the NETSCC website to access the online application form. This also provides call specific supplementary information. This will direct you to the NETSCC MIS login page. If you already have a username (email address) and password, enter these details or, if you have not yet registered, complete the short registration process. You will then be directed to the confirmation page for the specific call. If this is the correct call, click on the Apply button and this will start the application process. Clicking Cancel will return you to your ‘home page’. Applying for a funding opportunity creates a task called ‘submit full/outline application’. This task will be available for you to complete until the closing date as indicated on the research call and on your tasklist. The ‘Submit Full/Outline Application’ task can be accessed at any time until you either submit the application (using the Submit button in the application process which will appear once all the validation is complete) or the call closes.

Seven days prior to the closing date you will receive an email reminder that you have an open application (i.e. not submitted). Additional guidance will be available on most screens as you progress through your application.
The NETSCC MIS can always be accessed directly at https://netscc-mis.nihr.ac.uk for you to go to your homepage where all your applications will be listed.

**Saving your form**

As you work through the application, you are asked to save each page. This will save all the information you have submitted so far. You can save the form at any point and leave the application prior to submission. The save button is always located at the bottom of each page of the application. Large text areas on the form also have their own save button beside them. The application task will remain on your home page until complete and submitted or the deadline for the application has passed.

There is a security time out set on the application form so that after 60 minutes of inactivity, the user will be logged out. It is advisable therefore to save your work at regular intervals using the save button on any page. The NETSCC MIS will give you a warning that you are due to be timed out 10 minutes before it times you out. If this message is displayed, you should close the pop-up.

**There is a left hand navigation menu in the application so you can select specific parts of the form to complete, however you should always ensure that you save any information entered on your page before using this left hand menu as otherwise you will lose any information you have entered.**

**To submit an application**

In order to submit an outline application to the programme you must:

- Complete all mandatory fields as indicated with a red asterisk. The final review and submit page of the application provides a final check of the mandatory fields (red) as well as providing reminders about optional entries (yellow).
- You may submit a flow diagram (single-side of A4), as a separate .PDF file, for submission with your application form. This should illustrate the study design and the flow of participants. If proposing an RCT, we advise you refer to the CONSORT statement and website for guidance (www.consort-statement.org). Alternatively, you may find the EQUATOR Network website useful (www.equator-network.org). The .pdf file must be submitted along with your application form.

**Giving others access to the form**

- **Co-applicants:** Access to your application is through your user login to the NETSCC MIS. This should not be shared. The outline application does not require co-applicants to complete this form. If you want to share your form with your co-applicants, please create a PDF of the form and send it to them. Options to create a PDF are available on the Home page and the Review and Submit page.

- **Signatories:** You are not required to have signatories for outline applications.

**Leaving the application task**

You can leave your application task at any time. As long as you have saved any new information you have entered for the application, you can navigate to your home page or log out of the NETSCC MIS system.

**Technical Support**

If you encounter any problems with the NETSCC MIS system, you should call the programme funding support team either via email or by phone. The contact numbers can be found on the home page of the NETSCC web on this link:

www.nets.nihr.ac.uk/mis/contacts
**Space restrictions when entering text**
You should be aware that there are character limits set for each text box within the application form. For larger text areas these are indicated with ‘Limit’ and ‘Remaining’ at the bottom of the text entry box. Please note that the system does not provide a spell checker. Carriage returns and spaces are counted as characters. The character count will be slightly less than that of a Microsoft word character count.

The form counts all blank space as a part of the content of each box, so if you are short of space it will help if you delete extra carriage returns and place any bulleted lists into paragraph format.

**Use of non-standard characters**
You are advised not to use any non-standard characters in your text; in particular, you may experience a technical difficulty that affects the use of these characters ‘<’ ‘>’ ‘≥’ and ‘≤’. The system will currently strip these characters out of the content of the text without warning. If you need to use these symbols, then please replace them with words (i.e. less than or greater than, or less than or equal to or greater than or equal to). You will not be able to submit the form if you have either of these symbols or any other non-alphabetical or non-numerical characters in your text. For these reasons it is advisable that you either type text directly into the form or ensure these characters are not included in any text that you copy and paste from other documents.

**URL links**
You may wish to include URL links to your application or refer to URL links in a body of your text. You are advised not to use any URL shortening service such as ‘tiny.cc’ when completing your application. This type of shortening service is associated with hacking and spamming (as it promotes the sending of links that are unclear where they are pointing).

**Word version of the application form**
Applicants should be aware that the word version of the application form may be ordered differently to the completed on-line application, to assist the reviewing committees when making shortlisting/funding recommendations. A word version of the standard application form is available from [http://www.nets.nihr.ac.uk/funding](http://www.nets.nihr.ac.uk/funding). This is a template to assist with completing the form. It cannot be submitted as a word document as the application must be submitted online. The content can be copied onto the online form however.
## Completing your Online Application Form

<table>
<thead>
<tr>
<th>Application Field Name</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Section 1 - Research Details</strong></td>
<td></td>
</tr>
<tr>
<td>Host Organisation</td>
<td>Please give details of the organisation who will be the contractor if the project is funded.</td>
</tr>
<tr>
<td>Research title</td>
<td>The project title should clearly and concisely state the proposed research. Any abbreviations should be spelled out.</td>
</tr>
<tr>
<td>Research Type</td>
<td>Please select the appropriate research type. If your proposed project includes any element of primary research, please select ‘Primary Research’. If you are carrying out new analysis of existing data, please select ‘Secondary Research’. If you are not sure which category to select, please choose the closest match to your project as this can be adjusted later.</td>
</tr>
<tr>
<td>Proposed Start Date</td>
<td>Please note this should be from 1st of the month regardless of if this is a working day or not. Please note that successful projects are expected to start within a reasonable time following a decision to fund. Shortlisted outline proposals that are invited to go forward as full proposals will usually be considered at the following Board Meeting.</td>
</tr>
<tr>
<td>Research Duration (months)</td>
<td>Please ensure you include sufficient time to write up your project, including the final report.</td>
</tr>
<tr>
<td>End Date</td>
<td>This field will automatically populate once you have saved the research duration information.</td>
</tr>
<tr>
<td>How did you hear about this call</td>
<td>Please select from the drop down list or select other if none of the options apply.</td>
</tr>
<tr>
<td>If ‘other’ please specify</td>
<td></td>
</tr>
<tr>
<td>Total Research Costs Requested</td>
<td>This should not include any intervention costs.</td>
</tr>
<tr>
<td>Total NHS Support &amp; Treatment Costs/(savings)</td>
<td>For almost all PHR projects this will be £0. If you are intending to complete this field please contact the PHR team at NETSCC before you do.</td>
</tr>
<tr>
<td>I have read the NIHR Carbon Reduction Guidelines</td>
<td>Please check the box to proceed with the application.</td>
</tr>
</tbody>
</table>
### Section 2 – Contact Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>The following fields should be completed by the Lead Applicant. Please note that all correspondence will be addressed to the lead applicant, unless you provide an administrative contact person further in the form. The lead applicant is responsible for communicating decisions from the PHR Programme to members of the project team.</td>
</tr>
<tr>
<td>First Name</td>
<td></td>
</tr>
<tr>
<td>Middle Name</td>
<td></td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>Suffix</td>
<td></td>
</tr>
<tr>
<td>Speciality</td>
<td></td>
</tr>
<tr>
<td>Organisation Affiliations</td>
<td>Do not repeat the name of the department or organisation in the 'organisation address, just enter any further organisations you are affiliated with.</td>
</tr>
<tr>
<td>Address</td>
<td>The following fields should be completed by the Lead Applicant.</td>
</tr>
<tr>
<td>Phone and Fax</td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
</tr>
<tr>
<td>Web address (if applicable)</td>
<td></td>
</tr>
</tbody>
</table>

### Section 3 – Lead Applicant Details

<table>
<thead>
<tr>
<th>Field</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specify role in research (200 Characters)</td>
<td>Please explain in addition to your role as Lead Applicant, the role that you will be undertaking in the research (e.g. data collection, co-ordination and project management, analysis, methodological input, consumer input)</td>
</tr>
<tr>
<td>%FTE Commitment</td>
<td>FTE stands for Full Time Equivalent. This refers to the percentage of your time that you will commit to this project.</td>
</tr>
<tr>
<td>Do you currently hold an NIHR award?</td>
<td>Please state any current National Institute for Health Research (NIHR) awards e.g. HTA, EME, HS&amp;DR, PGfAR, RiPB, please see <a href="http://www.nihr.ac.uk/research/Pages/programmes_research_programmes.aspx">www.nihr.ac.uk/research/Pages/programmes_research_programmes.aspx</a> for a full list of research programmes)</td>
</tr>
<tr>
<td>If yes please specify (100 Characters)</td>
<td></td>
</tr>
<tr>
<td>Date of Commencement</td>
<td>This means the date of commencement of your NIHR award (if you hold one).</td>
</tr>
<tr>
<td>Is this a full time post?</td>
<td></td>
</tr>
<tr>
<td>If no, please give wte%</td>
<td>Wte stands for Whole Time Equivalent</td>
</tr>
<tr>
<td>Current Grade</td>
<td>Please list your job title e.g Professor, Reader, Consultant etc</td>
</tr>
<tr>
<td>Current Research Commitments (200 characters)</td>
<td>Please briefly outline any other funding projects you are currently committed too.</td>
</tr>
<tr>
<td>Provide an approximate breakdown (%) of how your current appointment</td>
<td></td>
</tr>
</tbody>
</table>
is divided between the following activities:
- Service/Clinical
- Research
- Teaching
- Other

Please specify the other research activity (100 characters)

Do you require or currently hold a working permit or visa? Please select ‘Yes or No’

If yes, please give details (200 characters)

Are you on a fixed-term contract?

If yes, please give details (200 characters)

When does the contract expire?

Will you require an honorary contract to complete this work? Please select ‘Yes or No’

Administrative Contact Details
Where possible an alternative contact address for the lead applicant should be given. Please note that all correspondence will be sent to the lead applicant and this contact will only be used if the lead applicant is unavailable.

Do you wish us to contact you, the lead applicant, regarding this application? Yes/No selection.
Please select a response on the electronic form as this is a mandatory selection. It is recommended that you are always the main contact for any application process as tasks associated with the application will be allocated to you and appear on your NETSCC MIS home page.

If no, provide administrative contact details

If ‘No’ selected for previous question please provide administrative contact details.

Section 4 – Curriculum Vitae
Degrees and Professional Qualifications

Present and Previous Positions Held

Patient / Service User or Carer Applicants: Are you a patient/service user or
Please note that this question is mandatory and will need to be completed (select Yes or No) prior to submission of your application.
If yes, please tell us about your knowledge, skills and experience that are relevant to this application. You are not required to provide a CV. Please read the guidance provided on information to include. (1000 characters)

This question should only be completed if the lead applicant is a patient/service user or carer.

---

**Section 5 – Research CV**

**Recent Relevant Publications**

Please provide details of a **MAXIMUM** of 6 of your most recent publications relevant to this application (using Vancouver or Harvard citation format)... listed one after another with a blank line between each one.

**Research Grants Held**

Please note that this question is mandatory and will need to be completed prior to submission of your application. This should include research grants held (as a named applicant) currently or in the last 3 years. If no grants are held please enter N/A. Any NETSCC managed research grants you currently have should automatically appear on your form.

---

**Section 6 – Co-Applicants**

**Add co-applicants**

Please add details of all co-applicants. The number of co-applicants is calculated automatically. Do not include collaborators, who should be included in the ‘Relevant Expertise’ section of the on-line application form. Co-applicants are those individuals with responsibility for the day to day management and delivery of the project. Collaborators normally provide specific expertise on particular aspects of the project. Please note that co-applicants are considered part of the project team and are expected to share responsibility for its successful delivery.

---

**Section 7 - PPI (Patient and Public Involvement)**

**Were patients and the public actively involved in identifying the research topic or prioritising the research questions?**

For the purposes of the PHR Programme, please ignore reference to patients. The PHR Programme recognises the increasing active involvement of members of the public in research and would like to support research projects appropriately. The PHR Programme encourages applicants to consider **how** the scientific quality, feasibility or practicality of their proposal might be improved by involving members of the public.

**Were patients and the public actively involved in preparing this**

If you have ticked the ‘YES’ box to either or both of these questions describe the ways in which you have
**Application?**

If yes to either or both of these questions, please give details. Describe how patient and public involvement has informed and/or influenced the development of the application and how patients and the public have been involved. (1200 characters)

If no to either or both questions, please explain why patient and public involvement was not necessary (1200 characters)

The INVOLVE website (see page 5) provides a detailed definition of ‘patient and public involvement in research’ as well as further information on involvement in research, listing resources and advice available. INVOLVE and the Mental Health Research Network have prepared a guide to assist with budgeting for the costs of public involvement in research. This resource can be viewed here: http://www.nihr.ac.uk/news/Lists/News/DispForm.aspx?ID=1626

---

<table>
<thead>
<tr>
<th>If yes to either or both of these questions, please give details. Describe how patient and public involvement has informed and/or influenced the development of the application and how patients and the public have been involved. (1200 characters)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Application?</strong></td>
</tr>
<tr>
<td><strong>No</strong> box please explain further.</td>
</tr>
<tr>
<td>The INVOLVE website (see page 5) provides a detailed definition of ‘patient and public involvement in research’ as well as further information on involvement in research, listing resources and advice available. INVOLVE and the Mental Health Research Network have prepared a guide to assist with budgeting for the costs of public involvement in research. This resource can be viewed here: <a href="http://www.nihr.ac.uk/news/Lists/News/DispForm.aspx?ID=1626">http://www.nihr.ac.uk/news/Lists/News/DispForm.aspx?ID=1626</a></td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>Please indicate the ways in which patients and the public will be actively involved in the proposed research. Tick all relevant boxes.</th>
</tr>
</thead>
</table>

---

<table>
<thead>
<tr>
<th>If active involvement is planned, please give more details, including how it will benefit the research, the reasons for taking this approach and arrangements for training and support (1200 characters)</th>
</tr>
</thead>
</table>

---

<table>
<thead>
<tr>
<th>If there are no plans for active involvement, please explain why it is not thought necessary (1200 characters)</th>
</tr>
</thead>
</table>

---

<table>
<thead>
<tr>
<th>If you have ticked ‘no plans for involvement’, you must explain why you do not plan to actively involve the public in your proposed research.</th>
</tr>
</thead>
</table>
### Section 8 – History of Application

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
</table>
| Has this application or a similar application previously been submitted to this or any other funding body? | **Previous submission**  
Please select ‘Yes’ or ‘No’ from the drop down box to indicate whether this or a similar application has previously been submitted to this or any other funding body? |
| **Applications Submitted to NETS Programmes**                           | Any previous application submissions to NETS programmes will be listed on this page, please select ‘Yes’ or ‘No’ for each application submission to indicate whether it is relevant to this application. Where ‘Yes’ is selected click the ‘Edit’ button and complete the information to indicate how your current research application differs from this previous application, if unsuccessful, please indicate why. |
| **NETSCC resubmission policy**                                         | A previously unsuccessful application cannot be resubmitted to the PHR Programme or any other NETS programme within one year of the original decision, unless the Board has specifically informed the applicant that this is acceptable. |
| **Please note that a maximum of 10 previously submitted applications will be listed on this page, if more than 10 previous applications have been submitted click ‘Show All’ to the left of the page to view the complete list.** |                                                                                             |
| **Other Funders / Applications in Progress**                           | Where a proposal like this, or with similar content, has been submitted to this organisation or elsewhere and is not listed; please click the ‘Add’ button and complete the necessary information. |
|                                                                         | Please note that none of the NETSCC programmes will accept applications that are currently pending with other research funding organisations (unless under shared funding arrangements) |
|                                                                         | Please answer all questions as fully as possible. We are keen to know if the proposal has been submitted elsewhere and you must be as open about this as possible. This includes, but is not limited to, any facts that, should they come to light at a future date, would embarrass either the programme or the individual who withheld the fact (e.g. if a member of the team holds a patent or has a financial interest within the research area). |
|                                                                         | Failure to disclose accurately or fully will be considered by the programme as academic misconduct and as such treated seriously. If you provide incorrect or out of date information, do not declare in full, or fail to disclose any relevant information, your application may be rejected without further consideration. You should also include in this section information on whether this or a similar application has been submitted to any programme previously, or to any other funder including other NIHR programmes. You should name, and |
provide dates and outcomes of these. Please indicate whether you hold or have ever held an NIHR programme contract which has been terminated prior to completion, extended in time or in terms of funding.

<table>
<thead>
<tr>
<th>Section 9 - Case for Support</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title and Abstract:</strong> Scientific Abstract (3500 characters)</td>
</tr>
<tr>
<td><strong>Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.</strong></td>
</tr>
<tr>
<td>Please provide an expert summary of the project and potential impact of the proposed research.</td>
</tr>
<tr>
<td><strong>Please describe the intervention being evaluated including:</strong> what it is, the setting in which it will be delivered, who will deliver it and who will provide funding. If there are any NHS components (including funding and organisational support) within your proposal, please clearly characterise them. Give a brief explanation of the research questions and the methods proposed.</td>
</tr>
<tr>
<td>For the main research question, please state: (1) the participants; (2) the comparator (if relevant); and (3) the outcomes. Please ensure that your proposal has clearly described health outcomes which support the remit of the PHR Programme. To be in the remit of the PHR Programme your study must have a primary health outcome. <strong>The programme evaluates public health interventions, providing new knowledge on the benefits, costs, acceptability and wider impacts of non-NHS interventions intended to improve the health of the public and reduce inequalities in health. The scope of the programme is multi-disciplinary and broad.</strong></td>
</tr>
<tr>
<td><strong>Summary in plain English (3500 characters)</strong></td>
</tr>
<tr>
<td><strong>Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.</strong></td>
</tr>
<tr>
<td>Please note that this summary should be easily understood by a wider audience and is intended to help non-experts in your subject area understand what your project involves and decide whether it is the best one to answer the question. There should be sufficient detail to inform, for example, a public reviewer or methodological referee who is unlikely to be conversant with the specialised vocabulary of your specific discipline. Explain specialised technical terms and acronyms and avoid discipline-specific jargon. Further information on writing for public consumption is available from the Plain English Campaign. They provide a free downloadable guide, designed specifically for the Health Sector, at: <a href="http://www.plainenglish.co.uk/free-guides.html">www.plainenglish.co.uk/free-guides.html</a>.</td>
</tr>
</tbody>
</table>
**Section 10 – Research Plan**

This section of the form varies according to each specific call in terms of which parts, if any, are mandatory and which are optional. You need to decide for the optional sections whether completion of them is a necessary part of your proposal. Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.

<table>
<thead>
<tr>
<th>Design (4000 characters from mid-April 2013, 2000 prior to mid-April)</th>
<th>Outline the design of your research including the methods you plan to use; the target organisations, staff groups/professions, population or disease area to be studied. Where appropriate studies should address the diversity of UK populations. Please also give brief details of the team involved in undertaking the research. Please ensure your methods and fieldwork are clearly connected to the aims and objectives and research questions you outlined earlier.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Setting (1500 characters)</td>
<td>Please state the setting(s) in which the study will occur (e.g. school-based, community, etc).</td>
</tr>
<tr>
<td>Target Population (What is the target population? 1500 characters)</td>
<td>Define the population from which the study sample will be recruited (e.g. women over 60, people with learning disability, deprived urban communities).</td>
</tr>
<tr>
<td>Control Treatment (2500 characters)</td>
<td>Indicate relevant comparator/control treatment options.</td>
</tr>
<tr>
<td>Planned Interventions (2500 characters)</td>
<td>This is for Primary Research only. Please describe the planned intervention(s) include both experimental and comparator interventions as appropriate. Please provide information on the setting in which the intervention will be delivered and who will provide funding. If there are any NHS components (including funding and organisational support) within your proposal, please clearly characterise them. Give a brief explanation of the methods proposed. Are there likely to be any problems with compliance and if so, please provide an estimation of the likely-loss-to-follow-up?</td>
</tr>
<tr>
<td>Who will deliver the intervention? (1500 characters)</td>
<td></td>
</tr>
<tr>
<td>Proposed Outcome Measures (2500 characters)</td>
<td>Please detail both the primary and secondary outcomes. If proposing a pilot and feasibility study, please include the likely primary outcome measures for the full study as well as for the pilot and feasibility study. Validated surrogate markers are acceptable where appropriate. Details should include justification of the use of outcome measures where a legitimate choice exists between alternatives, the proposed duration of the intervention and frequency and duration of follow up.</td>
</tr>
</tbody>
</table>
### Section 11 - Background and Rationale

| What is the problem being addressed? (2000 characters) | Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.  

Please explain how your proposed research is within the remit of the PHR Programme, www.nets.nihr.ac.uk/programmes/phr/remit. The programme evaluates public health interventions, providing new knowledge on the benefits, costs, acceptability and wider impacts of non-NHS interventions intended to improve the health of the public and reduce inequalities in health. The scope of the programme is multi-disciplinary and broad. To be in remit for the PHR Programme a study must have a primary health outcome.  

If you are responding to a Commissioning Brief:  
Please provide a statement explaining how the proposed research project will address the research question posed in the commissioning brief.  

Pilot Work  
If you have completed pilot work please include links to any published reports or copies of unpublished outcomes.  

Are there any other questions the research project aims to answer?  
Please state any subsidiary questions your project seeks to answer. This section should include a brief literature review and how you expect to add to the body of knowledge. |
| Why is the research important in terms of improving the health of the public and/or to patients and the NHS? (3500 characters) | Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.  

It is essential that you identify the public health needs your research meets or contributes to. Please outline the anticipated value or contribution the study will provide. Classification of need for research is set out below:  

- **Health need**: There will be benefits in terms of improving the health of the population and reducing inequalities in health. This covers the potential to promote or protect health, or to prevent ill health, reducing avoidable mortality and morbidity, and improving quality of life. Benefits may also arise from improving the acceptability, effectiveness, and cost effectiveness of interventions, with better |
targeting and equity of access in services.

**Expressed need:** The existence of an expressed need for the research and evidence that it is, or will be, highly relevant and important to the need to improve public health.

**Sustained interest and intent:** Evidence that the issue or area is one in which there will be sustained interest in the future, such that the results of research once commissioned and undertaken will remain highly relevant and important to public health in the future.

**Capacity to generate new knowledge:** The existence of uncertainty or "knowledge gaps" which cannot be addressed by the existing body of research in this area and that require new research.

**Generalisable findings and prospects for change:** The PHR Programme wants to ensure that the findings of the research it funds benefits as many people as possible. The Boards will, therefore, be looking for evidence that the findings will be generalisable beyond the participant group for your study.

**Building on existing work:** Research contributes to building a coherent body of knowledge in the area, and may build on previous research (including systematic reviews) commissioned by the PHR and other NETSCC programmes. Please give details of other studies currently underway, both nationally and internationally, which are relevant to the proposed study. If you believe that no relevant previous studies have been done, give details of your search strategy for existing studies. This information is to be used to describe rather than justify the need.

Please provide evidence explaining why this research is needed now (how does the existing literature support this proposal?) (Limit: 2000 characters)

This question is not applicable if you are responding to a commissioning brief. If this is the case please enter N/A in the box.

**For researcher-led proposals - Please note the Programme Advisory Board will use this section of the form to assess the public health importance of the proposal. You must complete this section of the form in an anonymised format i.e. there must not be any information that enables any individual, team or institution associated with your application to be identified.**

Please state why the research questions are important now for improving the health of the public and how they will address inequalities in health.

You should include an explanation of how the research results will be used and provide details of other studies currently underway, both nationally and internationally, which are relevant to the proposed study.
We will only fund primary research where the proposed research is informed by a review of the existing evidence. Where a systematic review already exists that summarises the available evidence this should be referenced, as well as including reference to any relevant literature published subsequent to that systematic review. You should discuss the need for your study in light of the(se) review(s). Where no such systematic review exists it is expected that the applicants will undertake an appropriate review of the currently available evidence (using a predetermined and described methodology that systematically identifies, critically appraises and then synthesises the available evidence) and then present a summary of the findings of this in their proposal.

In addition to searching EuropePMC, applicants should check the list of existing research funded by the NIHR and not limit their search to the programme to which the current application is being submitted.

Aims and objectives (3000 characters)

| Aims and objectives (3000 characters) | Please summarise the key aims and objectives of your project and provide a concise statement of the proposed research. Please also list the research questions that your proposal seeks to address in question format. |

---

Section 12 - Changes from Stage 1/Outline Stage

| How has this changed from the first stage application? (3500 characters) | This question is not applicable if this is the first time this application has been made. If this is the case please enter N/A in the box.

If you are re-submitting an outline application, please detail how you have incorporated the Board feedback and any additional changes. |

---

Section 13 – Dissemination & Output

| Please describe your plans for disseminating the findings of this research (2500 characters) | Explain how the findings from the proposed research will be shared with, or disseminated to, others and how this will maximise the potential impact of the proposed research referencing your response to the ‘Expected output of research/Impact section’. Describe who are the likely beneficiaries of the research, when are they likely to benefit and in what ways.

We require that all NIHR funded research will be reported fully and made publicly available when the research has been completed. It is expected that research funded by the PHR programme will publish a full and complete account of that research in the NIHR PHR Journal. This will ensure that this research is reported fully, and is publicly available with the abstract and full report freely available via the NIHR Journals. |
Library website and the abstract freely available via Europe PubMed Central.

We expect that all researchers who have a contract with the NIHR to undertake research shall ensure that the outcome of the research is prepared as a research paper for publication in a suitable peer-reviewed journal. We would also encourage all researchers to disseminate their research findings to the broader public as well as to the research participants when the study has completed.

### Expected Output of Research / Impact (2500 characters)

Use this section to provide more information about the research outputs and the impact you anticipate these outputs may have. We acknowledge that defining impact can be challenging and paths to impact are complex with many steps beyond your control. We therefore define impact broadly as the contribution, effect on, or benefit that excellent research makes to knowledge, health, the NHS, health services, society or the economy. We wish to understand the ways in which the proposed research may change activity, attitudes, awareness, behaviour, capacity, opportunity, performance, decision-making, practice or processes. Impact can also result from new understanding that benefits individuals, population, organisations, communities, constituencies or the nation.

### Section 14 - Relevant Expertise and Experience

#### Strengths of Research Team - Contribution of Each Member (2000 characters)

The team should be multidisciplinary and include all relevant expertise to enable delivery of the proposed research. Please include details for co-applicants and collaborators. Please note that co-applicants are considered part of the project team and are expected to share responsibility for its successful delivery.

Details should include the particular contribution each member of the team will make towards the project together with their job title and institution and give details of supervision arrangements for junior staff involved.

Collaborators normally provide specific expertise on particular aspects of the project so please include the particular contribution that collaborators are intending to make.

The PHR Programme suggests teams proposing randomised controlled trials to include input from an experienced trials unit. If you are proposing a study which requires joint or shared funding, please provide a clear explanation of the arrangements for this. Please explain what costs e.g. intervention costs, relating to your proposed study will be met by your collaborating partners. If you have evidence of these arrangements e.g. letters of support please include these with your application.

Please declare any conflicts or potential conflicts of interest that you or your co-applicants may have.
potential conflicts of interest that you or your co-applicants may have in undertaking this research, including any relevant, non-personal & commercial interest that could be perceived as a conflict of interest (2000 characters)

including any facts that, should they come to light at a future date, could lead to a perception of bias or embarrass either the programme, NIHR or the individual who withheld the fact.

Include any relevant personal, non-personal & commercial interest that could be perceived as a conflict of interest, examples include (this list is not all encompassing), secondary employment, consultancy, financial or commercial gain (pensions, shareholdings, directorships, voting rights), honoria, etc. In a case of commercial sector involvement with the application or the study, please state clearly the relationship to ownership of data, access to data, and membership of project oversight groups. If in doubt you should err on the side of disclosure.

<table>
<thead>
<tr>
<th>Section 15 – Justification of Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please explain how the research provides value for money (2500)</td>
</tr>
<tr>
<td>In this outline application you should provide a summary that fully justifies the major sources of expenditure and research costs, and how they have been allocated, in the text boxes provided.</td>
</tr>
<tr>
<td>• You should indicate here how this research will potentially improve the health of the public and reduce inequalities in health.</td>
</tr>
<tr>
<td>• Note that some proposals will have included full cost benefit analysis as part of the design; for others, a broad indication of likely benefits is all that is required. You should describe the value for money of the research itself – the strength of the research team and contribution of each member, ways of recruiting the sample, of administering interventions etc.</td>
</tr>
</tbody>
</table>

Please explain how the research costs requested have been calculated and justify how they have been allocated. (2500 characters)

Please explain how the NHS Support and Treatment costs requested have been calculated and justify how they have been allocated. (2500 characters)

If you are subsequently invited to submit a full application, the finance section will require a detailed breakdown of these costs associated with undertaking the research as described in the application. **At the outline application stage this level of detail is not required, however the following guidance is provided to assist you with calculating your costs at the outline stage.**

**GENERAL INFORMATION**

- These costs will be used to assess value for money.
- It is in the best interest to undertake a thorough, realistic and accurate costing. The Committee/Panel will pay close attention to any material increase in costs between outline and full application stages. You must provide a clear and full justification for all costs. You must also ensure that you include all costs including those required to secure good research management.
- Costs must be provided at current prices. An adjustment for inflation will be made annually thereafter at rates set by the Department of Health. Whilst allowances for incremental increases should be included on the form, nationally or locally agreed pay increases should be excluded.
Years should be calculated starting from the anticipated start date of the proposed research. For example, if your research is expected to start on 03 June 2020 then its second year starts 03 June 2021. Further itemisation of costs and methods of calculation may be requested to support the application at a later date.

INFORMATION ON DIFFERENT TYPES OF ORGANISATIONS

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

NHS Organisations
- For applications where the contractor is an NHS organisation, up to 100% of direct costs will be paid.

Commercial Organisations
- If you are a commercial organisation/consultancy, please include direct costs and commercial indirect costs (if appropriate). Indirect costs should be included in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of costs will be paid.

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

DIRECT COSTS

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

1) Posts and Salaries
   Please include all members of staff working on the research. Use current rates of pay, and build in any known annual increments (again at current rates). Staff employed by a Higher Education Institution (HEI) are funded at 80% of cost and staff employed by NHS, commercial or other partner organisation at
up to 100% of cost.

You may include ‘Shared Staff Costs’ which are costs of an institution’s research resources which can be charged to the research on the basis of estimated use, rather than actual costs. These may include: applicants’ costs, unless directly incurred or non-chargeable, IT technicians, laboratory staff, and costs of pooled staff efforts.

II) Travel, Subsistence and Conference fees.
Include journey costs, subsistence and conference fees. Where applicable, you will need to include the travel and subsistence costs of your Project Advisory Group, Steering Committee and/or Data Monitoring & Ethics Committee. Travel and subsistence costs relating to dissemination should also be included here, as should costs relating to overseas travel.

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

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

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

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

For research of up to five years, the programme will usually fund up to a maximum of two international conference attendances. For research beyond five years, the programme will usually fund up to a maximum of two international conference attendances per five year or part of five year research period.

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

Pieces of equipment costing more than £5,000 to purchase will usually need to be leased.

**IV) Consumables.** Include non-reusable items specific to the research. These items should be research specific, not just general office costs which should be covered by indirect costs.

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

**VI) Other Direct Costs.** These are costs, not identified elsewhere, that are specifically attributed to the research. For example, external consultancy costs, specialist publications, open access publications, computer licensing, recruitment and advertising costs. Please note that for organisations claiming indirect/overhead costs, costs such as recruitment of staff, and general training (e.g. in common IT packages) are costs that should be covered by the indirect costs element of the award being sought and should not be included within Direct costs.

If external consultancy costs or any other large costs are included they must be fully justified.

**VII) Patent and Legal.** The NIHR will consider supporting reasonable patent and legal costs arising from the research during the period of the award only. The NIHR will not support retrospective patent costs incurred by the applicant prior to NIHR funding and will not be liable for any costs post-completion of the research.

**VII) Sub-Contracts.** These costs can be claimed for organisations outside of England who are providing these services, but suitable justification is required.

**INDIRECT COSTS/OVERHEADS**

**HEI Indirect Costs**

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

HEI indirect costs are based on the number of full-time equivalent research staff working on the research and the indirect/estates charges set by an institution. The applicant(s) should consult their HEI Finance Departments for the appropriate amounts to include.

**Commercial/Other Partner Organisation Indirect Costs**

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

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

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

They comprise:

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

---

**Section 16 – Intellectual Property**

It is essential that any Intellectual Property (IP) which may arise from NIHR-funded research is recognised, captured and utilised in the most appropriate way, to ensure that the potential benefits of the research are realised effectively for patients and the taxpayer. The funding for health research is now over £1 billion per annum as confirmed in the most recent spending review ([www.nihr.ac.uk/about/Pages/About_Spending_Review.aspx](http://www.nihr.ac.uk/about/Pages/About_Spending_Review.aspx)). This level of investment is unlikely to be
sustainable unless tangible benefits for patients are realised.

The NIHR takes a broad definition of IP which might include: new or improved software, training materials; manuals; checklists, scales, protocols, questionnaires, toolkits, guidelines or similar; service innovations or new service delivery models; research tools, such as data analysis techniques, assays, cell lines, antibodies; biomarkers, materials or equipment and devices; as well as patentable inventions such as a new therapeutic product, diagnostic test or medical device. Such new developments of IP are known as ‘foreground IP’. In addition, the proposed research is likely to build on IP generated previously by others or yourselves as applicants. This is known as ‘background IP’. IP may be protected via a number of methods including Copyright, trademarks or Patents. Taking this into account we can assume that much of the research funded by NIHR is likely to generate or modify (IP).

This section of the application form asks you to consider the background IP on which this application is based, and the nature of any foreground IP likely to be generated.

| What relevant IP (patents, design right, copyright etc.) is held by the applicants and how does it relate to this application? (3000 characters) |
| In this section you, need to tell us about what IP you, your co-applicants, collaborators and sub-contractors hold in relation to this application. If relevant IP is held by another individual, institution or company you need to tell us about it in your response to the question here. Where appropriate, please provide detailed information relating to third party licence requirements etc. |

We request this information to ensure that the NIHR understands your starting IP position. We place this information in context with any new IP you may generate during your research, and also with reference to third parties’ rights which may be found during due diligence searches. This knowledge will help to delineate the IP ‘rights’ and who might own them.

You or your institution may hold the relevant background IP. The term ‘background IP’ refers to the IP available at the start of your research project - which is being used in delivery of this project. Background IP may have been developed through earlier research projects which you may or may not have been involved; and may or may not have benefitted from NIHR funding. If the research you propose will use background IP you will need to ensure you have reached agreement to use the background IP. This may require licences, collaboration agreements and/or sub-contracts. If so, you will need to tell us about these arrangements in your application and provide a copy of these agreements if you are successful in obtaining funding for your proposed research.

An important part of this process is ensuring that any relevant background IP has been identified before the research starts. It may be that you or your institution holds the background IP or alternatively, it may
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has a full search for existing IP been conducted?</td>
<td></td>
</tr>
<tr>
<td>If yes, please provide details of all relevant IP and how it relates to the application (1500 characters)</td>
<td>You need to tell us if you have or have not conducted an IP search in relation to this application. If you have, or you plan to, then please indicate briefly the procedure you used to search for existing IP and what you have found from your searches, even if you have found nothing.</td>
</tr>
<tr>
<td>If no search has been conducted, please set out the rationale (1500)</td>
<td></td>
</tr>
<tr>
<td>Will any IP be produced or improved during the proposed research?</td>
<td>Yes or No</td>
</tr>
<tr>
<td>If yes, please describe what IP will be produced or improved? (3000 characters)</td>
<td>We anticipate that most NIHR will develop new, or improve existing IP (eg by modifying or enhancing an existing intervention, developing data analysis techniques, developing new software etc). In this section we would like you to detail the potential areas for IP development. Where appropriate, please link this back to any background IP that you have previously mentioned. Indicate why you think the new IP is novel over what is already known/in existence. We understand that at this stage your ideas may be tentative. If funded, you will be given the opportunity to tell us more as your project develops. Please note IP produced may or may not have a commercial use but we would anticipate projects will produce IP that has patient or wider public health benefit.</td>
</tr>
<tr>
<td>Please describe how any new IP generated through the proposed research will be recognised, captured, managed and utilised, either through dissemination and adoption in the healthcare service or through commercial exploitation. Please give details on who will lead on dissemination and/or exploitation. (3000 characters)</td>
<td>All recipients of NIHR funding have a responsibility upon them to realise the potential benefits from funded research activities. In this section, please indicate the plans for benefit realisation (adoption for patient benefit and/or commercial exploitation) of IP or research outputs. If you already have commercial partners in place (or in view) you should tell us about this here.</td>
</tr>
<tr>
<td></td>
<td>In your application, it is important to demonstrate that you have plans and competent staff in place to manage any new (or existing) IP. NIHR funding requires benefit realisation from all resulting IP of value, this is not restricted to Patents and Design Right/Registered Design, but includes Copyright and know how encapsulated in software, checklists, scales, protocols, questionnaires, toolkits, guidelines, standard operating procedures or similar that have a market within the healthcare service or public health arena. You should consider how the knowledge and IP generated could be adopted in the NHS and beyond as this may best be achieved through the application of commercial exploitation models.</td>
</tr>
</tbody>
</table>

Please give details on who will lead through commercial exploitation. (3000 characters)
If you consider a commercial model is applicable then you should seek advice from your Technology Transfer Office (TTO) (or equivalent). Ensure you identify the relevant TTO in this section of the application form, including if possible a named individual and contact details. Advice from a TTO or equivalent should be sought even where a research output is to be made available free of charge to ensure the IP generated is appropriately protected. If there are likely to be costs associated with the effective development and exploitation of IP these should be included in your application and an explanation of the required costs provided here.

<table>
<thead>
<tr>
<th>What are the key current and future barriers to utilising the IP/innovation through adoption in the healthcare service or through commercial exploitation, e.g. potential regulatory hurdles? (3000 characters)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are there any current barriers (eg approvals required) or potential barriers to the IP generated by the proposed research being utilised? Please indicate where and when any regulatory hurdles may arise. Provide an indication of timing and any delays that may occur and whether this is something you or a commercial partner will manage.</td>
</tr>
</tbody>
</table>

**Section 17 – Wider Context**

Network Involvement:
In your proposed research, do you intend to link to NIHR Networks? If yes, please state which networks. (400 characters)

This question is unlikely to be relevant to the majority of PHR projects. However, if your project does include working with NIHR Clinical Research Network(s) then please provide details on the networks involved.

We are keen to learn about the benefits you have identified as a result of network collaboration. Please provide as much detail as you can.

Please describe the benefits identified from working with networks. (1500 characters)

Is a Clinical Trials Unit involved with this research proposal?

Clinical Trials Units are regarded as an important component of many trial applications, and can advise and participate throughout the process from initial idea development through to project delivery and reporting. However, they may not be essential for all types of studies. If you feel this is the case, please justify the reasons on your application.

If a CTU is not being used, please explain why and who/what will be involved instead. (1500 characters)

If you are looking for a CTU to collaborate with in your application, then the following sources can provide more help:

NIHR CTU Support Funding ([www.nets.nihr.ac.uk/programmes/ctu](http://www.nets.nihr.ac.uk/programmes/ctu)) provides information on units receiving funding from the NIHR to collaborate on research applications to NIHR programmes and funded projects.
The UKCRC CTU Network ([www.ukcrc-ctu.org.uk](http://www.ukcrc-ctu.org.uk)) provides a searchable information resource on all registered units in the UK, and lists key interest areas and contact information.

Researchers designing or undertaking clinical trials are encouraged to consult the Clinical Trials Toolkit ([www.ct-toolkit.ac.uk](http://www.ct-toolkit.ac.uk)). This NIHR resource is an innovative website designed to help researchers navigate through the complex landscape of setting up and managing clinical trials in line with regulatory requirements. Although primarily aimed at those involved in publicly funded Clinical Trials of Investigational Medicinal Products (CTIMPs), the Toolkit will also benefit researchers and R&D staff working on trials in other areas, who will find useful information and guidance of relevance to the wider trials environment.

If a Clinical Trials Unit is involved with this research, select ‘yes’ and click ‘add’. This will take you to a page of questions about the clinical trials unit (CTU) you are using. The CTU will be aware of this requirement and able to supply this for your use. You do not need to complete these questions if you are not proposing to undertake a clinical trial or using a Clinical Trials Unit.

A letter of confirmation of CTU involvement from the CTU Director is required for a full proposal submission to be complete.

<table>
<thead>
<tr>
<th>Involvement with Other Partners: What, if any, other NIHR organisations will partner this research?</th>
<th>Partner Collaboration</th>
</tr>
</thead>
<tbody>
<tr>
<td>As PHR projects are unlikely to include other NIHR partners and there is no expectation that you would, please use 'none' from the drop down and use the question below to provide information about any partners you intend to work with. Describe the role, if any, these will have in the research. (1500 characters)</td>
<td>As PHR projects are unlikely to include other NIHR partners and there is no expectation that you would, please use this space to specify what other organisations will be partners in the proposed research, for example, local authorities or charities. Please include what role any partners will have, and indicate the level of progress in developing the collaboration. Please supply as much detail as you can.</td>
</tr>
</tbody>
</table>

| Other Sources of Funding: Will this application be supported by any other funding body? | If you are proposing a study which requires joint or shared funding, please select ‘yes’ and click on ‘add’. This will take you to a page that asks you to specify the supporting organisation, the funding amount with start and end dates and there are 2000 characters available to provide a clear explanation of the proposed arrangements for joint or shared funding. Please explain what costs e.g. intervention costs, relating to your proposed study will be met by your collaborating partners. If you have evidence of these arrangements e.g. letters of support please include these with your application. This should include details as to full access to all data relating to the proposed study, and consideration of any conflicts of interest which may arise from |

---

Page 30 of 34
the funding arrangements.

### Section 18 – Department of Health Monitoring

This information is required for monitoring purposes by the DH. The majority of the boxes offer a choice from a drop down menu or simply require you to tick boxes relevant to them. Please note it is mandatory to complete this section. If necessary please refer to the user’s guide on the UKCRC website (www.ukcrc.org/researchcoordination/classificationsystem/health-research-classification-system/)

#### UKCRC Health Categories

Research Activity Codes classify types of research activity. This dimension of the HRCS has 48 codes divided into eight overarching code groups which encompass all aspects of health related research activity ranging from basic to applied research. The Research Activity Codes are modelled on the structure of the Common Scientific Outline, a cancer research specific classification system developed by the International Cancer Research Partners. [www.hrcsonline.net/rac](http://www.hrcsonline.net/rac).

<table>
<thead>
<tr>
<th>A.1 Your Research Proposal:  </th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead Applicant's Place of Work  </td>
<td></td>
</tr>
<tr>
<td>Lead Applicant's Profession  </td>
<td></td>
</tr>
<tr>
<td>Is the Research Multi-Centre?  </td>
<td></td>
</tr>
<tr>
<td>Research Region  </td>
<td></td>
</tr>
<tr>
<td>A2. UKCRC Health Categories: Please tick all that apply to your research:  </td>
<td></td>
</tr>
</tbody>
</table>

#### A2. UKCRC Research Activity Codes

Please tick all that apply to your research:

A2. UKCRC Research Activity Codes: Please tick all that apply to your research:

---

### Section 19 – RDS Involvement

Did you contact the RDS?

<table>
<thead>
<tr>
<th>Did you contact the RDS?  </th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>If so, please indicate the region  </td>
<td>Please select from the drop-down menu.</td>
</tr>
<tr>
<td>If not, was it because: Team has sufficient methodological expertise, unaware of RDS support, Other  </td>
<td>If ‘no’, please complete these 2 questions and select ‘Other’ and give the reason, then leave the remaining questions blank, unless you have answered ‘yes’.</td>
</tr>
<tr>
<td>Other (please specify)  </td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>How satisfied overall were you with the input of the RDS?</td>
<td></td>
</tr>
<tr>
<td>To what extent do you feel the quality of your proposal improved as a result of RDS involvement? (1000 characters)</td>
<td></td>
</tr>
<tr>
<td>Would you recommend the RDS to other people developing research proposals?</td>
<td></td>
</tr>
<tr>
<td>Please expand on your responses above, explaining the reasons for your choices, and including details about the extent and nature of the support provided by the RDS. Please also add any other comments about your experience of using the RDS (1000 characters).</td>
<td></td>
</tr>
</tbody>
</table>

**Section 20 – Suggested Referees**

<table>
<thead>
<tr>
<th>Generic referee questions</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>You need to provide details of three expert referees who will be able to provide an independent assessment of your proposal. You can nominate experts based outside the UK. Please note that the referees may not be from your host institution, those of your co-applicants or PHR Board Members, a list which can be found at <a href="http://www.nets.nihr.ac.uk/programmes/phr/our-people">www.nets.nihr.ac.uk/programmes/phr/our-people</a></td>
<td>You will also be given the option to identify referees that you do not want approached, or who would have a potential conflict of interest. Please note that NETSCC reserves the right to approach any relevant referee. Nominated referees who are acceptable to the PHR Programme would only be contacted if your proposal is shortlisted and developed into a full proposal.</td>
</tr>
</tbody>
</table>

**Section 21 – Uploads**

| A limited number of uploaded documents may be submitted as part of your outline application. Documents other than those listed below will be removed and not seen by the PHR boards. References | You can include a single A4 list of references in Harvard or Vancouver format |

---

Page 32 of 34
Letters of Support
If you have letters demonstrating financial or other backing for your project please include them.

Pilot Work
If you have completed pilot work please include links to any published reports or copies of unpublished outcomes.

FLOW DIAGRAM
If appropriate please create a flow diagram (single-side of A4), as a separate PDF file, for submission with your application form. This should illustrate the study design and the flow of participants. Applicants should also describe complex interventions and controls as accurately and fully as possible within their diagram. If proposing an RCT, we advise you refer to the CONSORT statement and website for guidance, ([http://www.consort-statement.org](http://www.consort-statement.org)). Alternatively, you may find the EQUATOR Network website useful ([www.equator-network.org](http://www.equator-network.org)). The PDF file should be submitted along with your application form.

<table>
<thead>
<tr>
<th>Section 22 – Acknowledgement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement to the Terms and Conditions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section 23 – Review &amp; Submit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review &amp; Submit</td>
</tr>
</tbody>
</table>

**Assistance**
If, after carefully reading all the instructions, you still have difficulties completing your application, please visit the PHR Programme website ([www.nets.nihr.ac.uk/programmes/phr](http://www.nets.nihr.ac.uk/programmes/phr)) which contains a list of Frequently Asked Questions and Answers. If your particular query or problem is
not addressed, please telephone 023 8059 9697 and leave a message or contact info@phr.ac.uk. A member of the team will call you back as soon as they are able. Please be aware that while every effort is made to answer queries, if the query is made very near the closing date, the PHR Programme may not be able to provide a considered response. If you are contacting us by email please include details of the call which you are responding to, whether you are completing an outline or a full proposal and the name of the lead applicant.

Public Health Research Programme January 2014