

Grant-In-Aid

Instructions for applicants



For funding commencing 2013. Closing date: 5pm, 16 March 2012.
Late or incomplete applications will not be accepted.

The Heart Foundation supporting life-saving research

The Heart Foundation is an independent, national, not-for-profit health organisation, funded almost entirely by donations from the Australian public.

The Heart Foundation's purpose is to improve the heart health of all Australians and to reduce disability and death from heart and blood vessel disease by:

- Promoting and advocating for research to gain and apply knowledge about heart and blood vessel disease and its prevention and treatment.
- Promoting and influencing behaviour that improves heart and blood vessel health by conducting education and other programs directed by health professionals, those with heart disease and the Australian community at large.

Application forms

Application forms and guidelines for all Heart Foundation research awards may be obtained from:

- Our website www.heartfoundation.org.au
- By email research@heartfoundation.org.au

Correspondence

All initial enquiries should be directed to the research office of your institution.

Heart Foundation
Research Program
Level 12, 500 Collins Street,
Melbourne VIC 3000,
Australia
Phone queries: (03) 9321 1581
Email: research@heartfoundation.org.au

Please read these instructions carefully before submitting an application

General information

Each year the Heart Foundation awards Grants-in-Aid (GIA) to support research in the cardiovascular field at institutions in Australia with the requisite facilities. Only research projects **relevant to cardiovascular disease (CVD)** may be pursued as an investigation in biomedical, clinical or public health (including education/health promotion, epidemiology, behavioural/social sciences) research.

- In any one year, an applicant may apply as a **Chief Investigator A (CIA) on up to three GIA applications**. However, CIAs may only be awarded one GIA per year.
- If also applying for funding from NHMRC Project Grants, all NHMRC eligibility criteria for NHMRC Project Grants must also be met.
- When applying for funding from both a NHMRC Project Grant and a Heart Foundation GIA, it is permissible to have a different CIA on each grant. However, all NHMRC criteria for the CIA on the Project Grant application, and all Heart Foundation criteria for the CIA on the GIA application, must be met in order for the CIA application to be eligible.
- Institutions that receive Heart Foundation funding are required to be registered with the National Health and Medical Research Council (NHMRC) as an Administering Institute. For more information refer to: <http://www.nhmrc.gov.au/grants/index.htm>
- Research projects must demonstrate relevance to the causes, diagnosis, management and prevention of heart, stroke and blood vessel disease.
- Projects may be a discrete component of another study, but the Heart Foundation funded portion must be clearly identified.
- Any changes to a proposal, staffing or administering institution must be communicated to the Heart Foundation within one month of the change; otherwise, funding may be terminated.
- Grants of up to two years duration will be awarded with a maximum funding value of \$65,000 (exclusive of GST) per year.
- The Heart Foundation has partnered with the NHMRC to reduce the burden of the funding application process on researchers. Therefore, all applications are to be made via the NHMRC

RGMS which can be accessed at www.nhmrc.gov.au/funding/apply/index.htm.

- In addition, supplementary questions specific to the Heart Foundation must be provided directly to the Heart Foundation. The Heart Foundation Supplementary Questions application form is available via the Heart Foundation website: www.heartfoundation.org.au/Professional_Information/Research/Available_funding.htm.
- Note that when a section of your larger grant is selected for Heart Foundation funding, please ensure that it is highly relevant to CVD and scientifically interesting/valuable, while considering the reduced \$65,000 p.a. limit. This approach will ensure that your application remains competitive even with the reduced funding level.

Review process

The review process will encompass the following stages, each contributing to the final decision:

- All applications will proceed through the NHMRC assessment process. For more information on the NHMRC assessment process refer to <http://www.nhmrc.gov.au/grants/index.htm>
- The Heart Foundation will be provided with all details of the application and assessment outcomes by the NHMRC. This will include the original application, assessments, spokesperson reports, rebuttals and scores. At the end of the NHMRC assessment process, the Heart Foundation will be provided with a list of the applications submitted for Heart Foundation funding by the NHMRC.
- The Heart Foundation will use the ranked list provided by the NHMRC to select a number of applications to be assessed further by the Heart Foundation's Grant Review Panel (GRP). The GRP is made up of expert assessors with relevant expertise.
- The Heart Foundation GRP will assess the selected applications for:

Relevance to the causes, diagnosis, treatment or prevention of cardiovascular disease (including stroke and blood vessel disease).

Feasibility within the GIA budget.

Merit: Including experimental/study design, methods (including aims, goals, hypotheses, methods, statistics and time-lines) and sustainability and potential cost-effectiveness (if relevant).

Track record: Whether the applicants and any collaborators are thought to have the experience and expertise to carry out the project successfully within the proposed timeline. This may include changing policy

and/or practice and support of management, workers and community groups (if relevant).

The Heart Foundation GRP will then re-rank all applications and make recommendations for funding to the Heart Foundation.

Recommendations from the Heart Foundation Grant Review Panel will be considered by the Research Committee and Cardiovascular Health Advisory Committee (CVHAC) and finally the Heart Foundation National Board.

The newly-ranked list of GIAs will then be funded from the highest to the lowest ranked applications as far as the Heart Foundation GIA budget allows.

The Heart Foundation will continue to maintain a balance of funding across the disciplines of biomedical, clinical and public health research.

Applicants will be informed of the outcome of their application by late-November and administrative details about the funding offered will be provided to successful applicants.

Other conditions associated with Grants-In-Aid

Application of conditions

Subject to any special conditions specified at the time an award is offered, these conditions shall apply to the Grant-in-Aid recipients and to the research institution accepting the grant.

The Heart Foundation may, from time to time, need to vary the conditions under which an award is made. Such variations may be applied prospectively or retrospectively.

Funding from the tobacco industry

The individuals, research groups or research institutions associated with a Heart Foundation Grant-in-Aid or award shall not accept any money by way of research grants, consultancies or sponsorships from the tobacco industry or persons connected with the tobacco industry. This includes direct funding, as well as advertising, sponsorship, gifts or loan of goods or services, or funding by any other means.

Timing

Chief Investigator As must provide a completed acceptance form within two weeks of an offer of award, except where the Heart Foundation has granted special permission to do otherwise. All Grants-in-Aid shall commence within twelve months of the offer of the award, except where the Heart Foundation has granted special permission to do otherwise. Such cases will be considered by the Research Committee.

Items of equipment

Items of equipment, either single items or integrated assemblies, paid for by the Heart Foundation of which the cost exceeds \$5,000 will remain the property of the Heart Foundation. The Heart Foundation may arrange for the removal or transfer of such equipment between laboratories at any time after completion of the original research project.

Major alterations to a research program or budget

The Chief Investigators are expected to adhere to the details of the approved research program and budget, and to notify the Heart Foundation of any absences other than for short periods (e.g. three or four weeks). Full details of such absences or of proposed alterations to either program or budget must be submitted in writing and in advance to the Heart Foundation.

Certification of expenditure/acquittal

By 31 March each year, an authorised officer of the administering institution must submit a statement of expenditure charged to the Grants-in-Aid as at December 31 of the preceding year. A final statement shall be submitted at the termination of the grant, at which time any unexpended balance of the grant should be returned to the Heart Foundation. Failure to submit this document may jeopardise any future funding applications.

Unused funds

Unused funds may not be expended in subsequent years, unless applicable to the project and specifically approved in advance by the Heart Foundation. Funding applicable to a particular calendar year is not transferable to a subsequent year without approval in advance from the Heart Foundation. Approval must be sought prior to March 31 of the following year. Recipients who do not seek approval to transfer funds must return the funds to the Heart Foundation.

Taxation

The Heart Foundation does not deduct taxation from quarterly instalments.

Changes of employment

The Heart Foundation Research Program is to be notified immediately if employment circumstances of the chief investigators change after application for an award or during the tenure of an award, particularly when the ability of the investigators to undertake the roles and responsibilities of the award may be affected by the change in circumstances. The notification must include details of any financial and/or administrative implications for the investigators and implications of the change on their ability to undertake the roles and responsibilities of the award.

The Heart Foundation Research Program retains the right to review the award in light of these changes. This process may involve review by the Chair of the Grant Review Panel or Research Committee. Pending

this review, the Heart Foundation reserves the right to terminate an award should it be deemed appropriate.

Termination of award

An award shall be terminated if the recipient(s) not observe the conditions of the award. On termination of an award, any unexpended funds shall be returned to the Heart Foundation.

Privacy

The Heart Foundation acknowledges that some applications may have commercial outcomes and that in some instances, commercially sensitive information may not be included by a funding application to protect the Intellectual Property (IP) of the project. However, applications must include sufficient information pertaining to the scientific rationale and principles underpinning the research for it to be vigorously peer-reviewed and assessed. As all applications are kept Commercial-In-Confidence, and the Heart Foundation adheres to the Australian Code for the Responsible Conduct of Research which protects any IP in the application, the provision of sufficient detail for peer review will not jeopardise their commercialisation potential.

Level of support offered

Length of Grants-in-Aid

Grants-in-Aid are offered to support research over a period of up to two years. Consistent with the Grant-in-Aid nature of the award, the Heart Foundation reserves the right to offer an award for a period less than that sought in the application.

Available funding level

The funding level will not exceed \$65,000 (exclusive of GST) per year for each Grant-in-Aid.

Applications for funding in excess of \$65,000 in any on year will not be considered.

Grant-in-Aid payments

Grant-in-Aid payments and allowances will be paid to the administering institution nominated by the Chief Investigator A. Payments will be made quarterly and in advance. Administering institutions will be required to submit a tax invoice (in accordance with the GST Act) to the Heart Foundation at the start of each quarter. The Heart Foundation operates on a calendar year basis and funds not invoiced for within the calendar year will not be available after 31st December of that year, unless under special circumstances and approval obtained in writing by the National Director - Research Program.

Obligations of Grant-In-Aid recipients

Heart Foundation award recipients have the primary obligation to conduct and complete the research outlined in the application. The administering institution is obliged to continue to support that research during the currency of the award.

In the event that the research ceases during the term of the award, the applicant and the institution must advise the Heart Foundation promptly in order to stop payments.

Media coverage of the research

The ability of the Heart Foundation to fund research is dependent almost entirely on public donations. Public awareness of the Heart Foundation's role in funding successful research is therefore crucial. For this reason, receipt of a Heart Foundation award places obligations on researchers and their institutions to involve the Heart Foundation in any publicity surrounding the research.

High impact publications arising from your research or key presentations at national or international conferences are excellent topics of interest for the media. We ask that you contact the Heart Foundation Research program in **advance** of publications going to press or to high-profile conference presentations.

Where a media release or conference is planned, it is the responsibility of both the Chief Investigator A and the institution's media office to provide the Heart Foundation Research Program with adequate notice of the release or organisation of the conference, and to accommodate reasonable requests for the Heart Foundation's participation in the publicity.

Acknowledgment in publications

Award holders are expected to make the results of their research available through the usual scientific channels. The support of the Heart Foundation must be acknowledged in any publications or media publicity arising from research supported by the Foundation. E.g. "This work was supported by a Grant-In-Aid (Award Reference No) from the National Heart Foundation of Australia".

One copy of any reprints or published paper must be sent to the Heart Foundation Research Program.

Progress reports

Progress reports for projects are due on 31 March of the year after the end of the Grant-in-Aid and two years after the end of the project. Progress Report forms are available from the Heart Foundation website: (www.heartfoundation.org.au).

All reports must be submitted by email only to research@heartfoundation.org.au.

Failure to provide this report may jeopardise future funding.

Availability of applicants as expert assessors

The increasing complexity and broadening of knowledge about CVD requires the maintenance of a large national panel of assessors. For this reason, there is an expectation that award recipients will be willing to be included on the assessor database and be available to review applications by other researchers.

Current funding recipients who refuse to review applications in their field of interest or provide sub-standard reviews, may be deemed ineligible to apply for funding as a Chief Investigator in the following year.

Assistance at Heart Foundation events

The Heart Foundation may call upon Grant-in-Aid recipients to provide assistance, where appropriate, with publicity and other events. This may include presentations at donor functions, fundraising events and health and medical professional conferences, or other public relations activities such as being interviewed or featured in Heart Foundation media promotions.

Privacy legislation

In accordance with the Privacy Amendment (Private Sector) Bill 2000, individuals, investigators or research institutions associated with a Grant-in-Aid, shall abide by the NHMRC Guidelines under Section 95 of the Privacy Act 1988.

All Grant-in-Aid applications will be treated confidentially and will only be viewed by assessors, interview committees and specified members of the Heart Foundation Research Program.

Applying for funding

Applications for Heart Foundation Grants-In-Aid comprise of BOTH:

- The completed NHMRC project grant online application which must be submitted to the NHMRC in accordance with their guidelines, and
- The completion of the Heart Foundation Grant-In-Aid Supplementary Questions application form.

Front Page

NHMRC ID – This should be the identification number provided by the NHMRC when you submit your application via the RGMS. Please ensure the correct identification number is provided.

Project Title – This is the scientific title as submitted to the NHMRC. This title will be used to identify the application and should accurately

describe the nature of the project being undertaken.

Chief Investigator A – The contact details of the lead investigator of the project for the Heart Foundation application. All correspondence (including funding outcomes) will be sent to the CIA.

Administering Institution - The administering institution shall provide the facilities and services necessary for the efficient conduct of research during the term of the grant. The Heart Foundation does not provide funds for administrative charges to administering institutions.

Only Institutions registered with the NHMRC as an approved administering institution and that have established administrative procedures for assuring sound scientific practice in accordance with the principles of the Australian Code for the Responsible Conduct of Research (2007) are eligible to receive Heart Foundation funding.

Important Note: By signing and submitting the Grant-In-Aid supplementary questionnaire form, applicants and administering institutions acknowledge that they have read and have understood the terms and conditions outlined in the Heart Foundation Funding Deed agreement available for review at:

http://www.heartfoundation.org.au/Professional_Information/Research/Available_Funding/Pages/default.aspx

Q1. Simplified title

Simplified title

This should be in lay terminology and be suitable for release to the media or for general publication. Please avoid the use of technical terms and abbreviations.

Q2. Chief investigator A

Grants-in-Aid are available to all researchers based in Australia working in the area of cardiovascular disease (CVD) and related disorders. Projects may be pursued as an investigation in biomedical, clinical and public health research - if relevant to CVD.

Researchers who will be based overseas for the duration of a Grant-in-Aid are not eligible to apply as Chief Investigator A.

If you are applying for Heart Foundation funding only, the Heart Foundation guidelines with respect to eligibility apply. If you are applying for both NHMRC and Heart Foundation funding, the NHMRC guidelines with respect to eligibility apply.

The Heart Foundation stipulates that Chief Investigator A must be Australian or New Zealand citizens, have Permanent Resident status at the time of application or submitted their application to the Department of Immigration and Citizenship for a permanent residence or Special Category Visa but have not yet received the visa. Evidence of permanent

residency/visa applied for being granted is required prior to funding being released to the Chief Investigator's institution.

Applications will be received from full-time investigators who have proven ability in research. Investigators who hold a training post (e.g. PhD students) do not qualify to apply as a sole investigator; therefore an established senior investigator must be included in the grant application. Each application must have the approval of the head of the relevant department and the head of the administering institution (or nominee). Applicants may apply as Chief Investigator A for up to 3 GIAs in any one year. The Chief Investigator A is the investigator who takes responsibility for the completion and lodgement of the application.

Q3. Investigators

Other Chief Investigators (maximum as allowed for on NHMRC Project Grants)

Other researchers listed as Chief Investigators are expected to provide intellectual input into the research and whose participation warrants inclusion of their name on publications.

Associate Investigators (maximum of 4)

Please provide details of other investigators associated with the project.

Q4. Investigator list – justification of changes

If there are any changes to the investigators listed on the application **or** the sequence of investigators listed on the Heart Foundation application compared to the NHMRC application, a full justification will be required.

Q5. Clearance requirements

Safe-guarding the rights and welfare of human subjects involved in research, and maintaining high standards for the humane treatment and welfare of animals used in research projects supported by any Heart Foundation fellowship is the responsibility of the fellow and of the institution in which the award is tenable.

Research funded by the Heart Foundation shall be conducted in accordance with the *Australian Code for the Responsible Conduct of Research (2007)*. Clearances for research that involves any of the following shall be obtained from the appropriate Ethics Committee and/or Biosafety Committee prior to the commencement of the research:

1. Research involving humans: Any human experimentation shall be conducted in accordance with the current requirements of the *NHMRC National Statement on Ethical Conduct in Research Involving Humans*: clearance must be obtained

from the appropriate Institutional Human Research Ethics Committee.

2. Research involving animals: Experiments involving the use of animals shall be conducted, and experimental animals shall be housed, maintained and controlled, in accordance with the current *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* and any additional supplementary notes: clearance must be obtained from the appropriate Institutional Animal Ethics Committee. Where research involves the use of inbred strains of animals, the researcher shall confirm that the genetic authenticity of such animal colonies has been checked at appropriate intervals.

3. Genetics: Any experiments involving genetic manipulation of organisms, shall be conducted under current *Gene Technology Technical Advisory Guidelines*: clearance must be obtained from the appropriate Institutional Bio-safety Ethics Committee and/or, where relevant, Ethics Committee.

4. Bio-safety: Clearance for the use of radioactive substances, ionising radiation, recombinant DNA, potent teratogens or carcinogens shall be obtained from the appropriate Institutional Bio-safety Committee and/or, where relevant, Ethics Committee.

Funding will not be released until all clearances have been received and a copy of the clearance certification has been provided to the Heart Foundation. Provisional clearances will not be accepted.

Q6. Project synopsis

In this section, describe the overall aims of the research project and its links to the expected cardiovascular health outcomes. **Avoid** the use of technical terms. This should be suitable for release to the media or for general publication.

Q7. Relevance to Heart Disease

All applications to the Heart Foundation are expected to clearly demonstrate relevance to the Heart Foundation by outlining relevance of the project to the causes, diagnosis, management and prevention of heart, stroke and blood vessel disease.

(a) Specific aims

List the specific aims of the project, including a clear statement of the specific aims and hypotheses to be tested (15 lines maximum).

(b) Potential outcomes

List how your research will contribute to the Heart Foundation's mission of reducing suffering and death caused by cardiovascular disease (Focus on clinical or public health significance). (10 lines maximum).

Q8. Classification of research

The Heart Foundation supports Grants-in-Aid across the disciplines of biomedical, clinical and public

health research. It is understood that many research projects will overlap more than one discipline.

Q9. Budget requested

Grants of up to two years duration will be awarded with a funding value not exceeding \$65,000 (exclusive of GST) per year. **Requests for funding in excess of \$65,000 in any one year will not be considered.**

A Grant-in-Aid may cover:

- Salaries for full-time or part-time research personnel (NHMRC PSP salary scales should be used). Note that the Heart Foundation usually contributes to the equivalent of one full-time salary only. Salary increments should be incorporated into budget
- The cost of equipment necessary for the project, which should be based on firm quotations from the supplier (a copy should be attached to the application). Running expenses (maintenance) of equipment should also be included.

It is presently the Heart Foundation's policy to award all Grants-in-Aid as 'unspecified' one-line grants that are not subject to inflationary or incremental adjustment on salaries, equipment and maintenance. The cost of the care of patients and of new construction and general institutional expenses do not come within the scope of the Heart Foundation's awards. The Heart Foundation will not pay institutional charges.

Persons enrolled as full-time candidates for higher degrees based on the work of the project may not be included in the budget under personnel.

If the Chief Investigator A is applying for their salary in a Grant-in-Aid application, they cannot be the sole investigator on the grant; therefore an established senior investigator must be included in the grant application.

Q10. Budget Scope

Those applying for HF funding need only complete the box at the beginning of Q10.

Those whose application requests funding from the NHMRC and Heart Foundation need to complete the section.

Information provided in this section is critical to the assessment of the application by the Heart Foundation's Grant Review Panel. In this section please provide details of your original funding request to the NHMRC and how you intend to modify the scope and duration of the project to conform to the Heart Foundation Budget.

The Heart Foundation Grant Review Panel have provided feedback and advice in relation to how to best complete Q10, and this can be found in Appendix A.

Q11. Signatures

All contact details must be included on the electronic copy of the application. Signatures are required from the Chief Investigator A and the Research Administrative Officer of the institution on the hard copy of the application.

Signature by the applicant and Research Administration Officer certifies that all details are correct and they agree/verify that the institution has established procedure for assuring sound scientific practice in accordance with the principles of the *Australian Code for the Responsible Conduct of Research (2007)*.

Appendix A: Sample answer for Q10.

How to complete Q10 – Do’s and Don’ts

There are many ways in which applicants may choose to modify a project from its original application to the NHMRC to adjust to the Heart Foundation budget of \$65,000 per year, for a maximum of 2 years. Although there is no ‘right’ or ‘wrong’ way to do this, the Heart Foundation’s Grant Review Panel have provided the following advice:

- If reducing numbers in an experiment in order to fit within the Heart Foundation budget, the impact of this reduction on the statistical power of the experiment should be addressed. Reduction of experiments to an ‘n’ of only 2 or 3, without clear justification, is discouraged.
- Although complete programs of work (that can stand alone and lead to publishable outcome) are generally preferred, many applications (especially in the area of Public Health) may not be readily reduced to the Heart Foundation budget. In such cases, the GIA application may be for a ‘pilot study’ (with limited statistical power). However, it should be made clear that the proposed work is a ‘pilot study’ and the value of the ‘pilot study’ must be clearly explained (e.g. will significantly strengthen next year’s NHMRC Project Grant application as it clearly addresses NHMRC reviewer comments; will allow collaborations to be created that will have ongoing value; etc).
- A statement to the effect that the entire NHMRC Project Grant will somehow be completed within the reduced budget and timeframe of a Heart Foundation grant is generally not considered feasible.
- If suggesting that funding from ‘other sources’ will be used to supplement the Heart Foundation grant in order to complete the work specified in the application, it is advisable to address the likelihood that this funding will be secured, and the likely source. It would also be advisable to address the effect on the specified work should the funding not be secured.
- Budgets are preferred in tabulated form, with totals included.

A model answer to Q10 follows. This model answer is not intended to be limiting in any way, and it is understood that it may not be relevant for all applications.

1. What was your original NHMRC Budget (please provide breakdown of spending)?

Salary costs (PSP1 and 40% of PSP5) for 3 years	\$245,850
Rat breeding and maintenance costs for 3 studies	\$108,643
Consumables for 3 years	\$102,110
Total	\$456,603

2. What was the original duration of your project submitted to the NHMRC?

3 Years

3. Please detail how you propose to change your project from its original application to the NHMRC to adjust to the Heart Foundation budget of \$65,000 per year (please provide breakdown):

We will only be conducting the physiology experiments outlined in experiment 1 of the NHMRC grant and will only be studying 2 of the 3 groups proposed in the NHMRC application. This part of the study is self-contained and the results answer important questions. Moreover, we would be able to publish these results in a good quality journals meaning that the resources allocated by the NHF would be well used. Two part time staff member can complete this study within the two year timeframe of the Grant In Aid scheme. Below is a detailed breakdown of the costs associated with the grant.

RESEARCH PERSONNEL	
PSP5 0.2 FTE	\$17,500 per year
PSP1 0.5 FTE	\$24,125 per year
Total PRP	\$41,625 per year
DIRECT RESEARCH COSTS	
Rat purchase and maintenance	\$18,500
Consumables	\$14,000
Pharmacological Agents	\$2,500
Surgical Supplies	\$5,500
Equipment	\$6250
TOTAL for 2 years	\$46,750
Average DRC	\$23,375 per year
TOTAL PER YEAR	\$65,000 per year

4. Explain how these changes will be achieved with the reduced budget:

We will not be able to employ two staff members on the project full time with a restricted budget but will be able to employ a PSP1 at 0.5 FTE and a PSP5 at 0.2 FTE.

5. How will these changes and reduce budgets affect the original project outcome?

By designing a study that complies with NHF budget and time restrictions and embedding this in the NHMRC grant we will be able to conduct relevant, meaningful research with clear outcomes that have direct applicability to cardiovascular health.