

HSC Research and Development 2015 Knowledge Exchange Scheme “Improving the Impact of Research”

***Guidance Notes:
Outline Application***

***June 2015
(Version 1.1)***

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PART 1

1 Background

- 1.1 Excellent research is essential to generate the knowledge we need to meet the many challenges in the provision of health and social care.
- 1.2 It is recognised that the outcomes from excellent research (research findings and discoveries), need to be shared, exploited and transferred for adoption in clinical practice as quickly and efficiently as possible. Economic, social, policy and practice benefits can be realised when there is an exchange of knowledge among researchers and user communities, including those from the academic, public, charitable and business sectors.
- 1.3 HSC R&D Division is offering a Knowledge Exchange Scheme designed to improve the impact or 'reach and significance' of research findings, as well as enhance the existing research environment.
- 1.4 Knowledge Exchange not only encompasses the more obvious technology transfer activities but also describes the relationships and mechanisms that enable knowledge derived from research to flow between organisations. Therefore it can involve a broad range of activity including sharing learning, experience, expertise, ideas and skilled people. This flow of knowledge should impact on innovation and inform professional practice, policies and services. It will help us tackle economic and social issues, exploit business opportunities and contribute to Northern Ireland's economic and social wellbeing.
- 1.5 Knowledge exchange will enable a two-way flow of knowledge among researchers and the users of research:
 - to change activity, attitudes, awareness, behaviour, policy or practice
 - to generate new policies, technologies, products and services
 - to reduce or prevent harm, risk or cost
 - to develop enterprise
 - to benefit communities, organisations or individuals
 - to improve collaboration
- 1.6 This guidance document sets out a scheme to focus efforts on the direct exchange of knowledge through a variety of innovative approaches and activities. Applications will involve researchers and user communities working together to realise benefits for health or social care practice, policy, or the economy.

2 Eligibility and Remit

- 2.1 Knowledge exchange awards under this scheme are available to Northern Ireland-based researchers, scientists and clinicians whose work is **relevant to health and social care**.
- 2.2 Applications should come from '**Knowledge Exchange Teams**' which will consist of an appropriate mixture of staff including those from academic, clinical, policy/commissioning and change management backgrounds as well as user groups (i.e. multi-disciplinary and multi-sectoral). **Teams must demonstrate credible arrangements for collaboration** leading to effective and sustainable knowledge exchange.
- 2.3 Applications should be built upon knowledge generated through previous research. It is expected that at least one of the applicants will have **contributed to generating this new knowledge** but it is acknowledged that this often needs to be blended with other peer reviewed research findings.
- 2.4 Applications should clearly demonstrate the benefit of the knowledge exchange process to one or more of Northern Ireland's research user communities.
- 2.5 In order to ensure scientific validity of the knowledge being exchanged, the results of the research, upon which the knowledge exchange is based, should have been subject to peer review. Only applications which can demonstrate adequate and appropriate **peer review of the underpinning evidence** for their knowledge exchange programme will be eligible.¹
- 2.6 Applications should **include an appropriate evaluation plan** to assess the impact of the knowledge exchange programme.
- 2.7 Applications must identify **appropriate costs for all the organisations** involved in the programme.
- 2.8 The scheme is open to all areas of health and social care.

3 Scope

- 3.1 The scheme is intended to support knowledge exchange that delivers practice, policy, social and/or economic benefits. The target audience of the knowledge exchange project may include various stakeholders within health and social care, e.g. HSC Staff, service users, relevant academics, and the wider public.
- 3.2 The scheme does not exclude proposals that seek to commercialise research discovery/innovation but the support available under knowledge exchange must be

¹ It is recognised that, in some cases, and due to the potential for commercial exploitation these results should remain confidential and will have to be protected. Normally publication may go ahead subsequent to patent filing. However, where this is not possible, e.g. to protect methodological know how, documented evidence of patent filing will be accepted *in lieu* of publication.

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complementary to any support available from elsewhere (e.g. HSC Innovations, university knowledge/technology transfer, Invest Northern Ireland, Innovate UK, etc). Where there is a commercialisation aspect, applicants must justify fully the knowledge exchange activity and clearly delineate the boundary between knowledge exchange and any other activity for which support has been secured from other funds. Partnerships with other organisations who can contribute funding for this activity are encouraged. Any costs incurred properly for interaction with commercial partners, requested from HSC R&D Division, must be fully justified.

3.3 The scheme offers applicants the opportunity to apply for a ‘package’ of knowledge exchange activities so that they can develop an effective engagement among researchers and the users of research outputs/outcome. These activities might include;

- encouraging transformation of services by sharing the evidence for change
- diffusion and/or dissemination of research findings to a target group. Adoption and/or implementation of an innovation into routine practice
- creating opportunities to test evidence-based ideas for adoption into practice
- demonstrating effective collaborations between organisations which generate and/or use research evidence which can deliver research driven improvements in policy/practice
- practitioner-relevant publications, conferences, seminars or ‘instruments’ based upon relevant research findings which can deliver measurable improvements in practice
- opportunities to share HSC needs and inform research priorities
- opportunities to engage consumers, service users, patients, clients and the wider public in research and knowledge exchange

3.4 The maximum award available under the Knowledge Exchange Scheme is £100,000. Applicants can include costs for staff, consumables, engagement activities and relevant specialist services. Applicants are advised that all costs should be justified and kept to a minimum. The scheme **encourages the development of partnerships with others who contribute funding**. The total funding ceiling can be raised if a suitable funding partner is found.

3.5 The maximum duration of any award is 18 months.

3.6 It is expected that knowledge exchange activity should be ‘timely’; therefore the knowledge exchange project should normally be based on research completed within the last five years. Researchers can make an application for knowledge exchange activity relating to an on-going research study, provided that the knowledge to be exchanged meets the eligibility criteria (section 2)

3.7 The number of applications funded under this call will depend on the quality of the applications received and the availability of funding.

3.8 Applicants may submit more than one application.

4 Application Process

- 4.1 The closing date for receipt of **Outline Applications** by the HSC R&D Division is **Wednesday 16th September 2015 at 2.00pm.**

Outline Applications for Knowledge Exchange awards must be submitted on the appropriate application form. Forms are available from HSC R&D Division via the website: <http://www.research.hscni.net/improving-impact-research-knowledge-exchange-scheme>

- 4.2 Applicants are asked to sign their original application when completed and submit the following:

- 1 original signed application form
- 1 copy of the relevant current CV for each applicant in the required format provided (Appendix 1 to the application form)
- 1 electronic copy of application form and CVs (e-mail to kathleen.roulston@hscni.net)

- 4.3 **Only signed paper application forms will be accepted by HSC R&D Division.** emailed applications alone cannot be accepted.

- 4.4 Applicants are reminded **to include costs of all collaborating organisations.**

- 4.5 **Only shortlisted outline applications will be invited to submit a Full proposal.**

- 4.6 All inquiries and correspondence relating to the HSC Knowledge Exchange Scheme should be addressed to:

Mrs Kathleen Roulston
Strand Administrator
HSC R&D Division
12-22 Linenhall Street
BELFAST
BT2 8BS
kathleen.roulston@hscni.net
Tel: (028) 95363490

Dr Clive Wolsley
Programme Manager
HSC R&D Division
12-22 Linenhall Street
BELFAST
BT2 8BS
clive.wolsley@hscni.net
Tel: (028) 95363490

5 Evaluation

- 5.1 Applications will be validated by HSC R&D Division to ensure that they meet the defined eligibility criteria and that they adhere to the appropriate format. **An invalid application will not go forward for further evaluation.** The Chief Investigator will be notified in writing if their application is deemed invalid.
- 5.2 An Evaluation Panel will consider all valid Outline Applications and depending on the nature of the knowledge exchange plan, external referee reports may be sought to assist the work of the Evaluation Panel. The Panel may meet in virtual or face to face mode, subject to the efficient management of the scheme.
- 5.3 Outline Applications under the Knowledge Exchange Scheme will be shortlisted and evaluated against a number of criteria including:
- **Knowledge to be exchanged**
 - Is there clearly defined knowledge to be exchanged?
 - Does the application demonstrate adequate knowledge of the chosen area and of the key issues?
 - Is the underpinning research in the area robust? (e.g. as demonstrated by publication and peer review of original grant)
 - **Impact of knowledge exchange**
 - Is the knowledge exchange truly collaborative with the appropriate researchers and a well-defined user community?
 - Will the proposed knowledge exchange impact on innovation and/or change, enhance or generate new practice, policies, products, services or user perception?
 - **Quality of the plan**
 - Are the specific objectives of the knowledge exchange activity clear, adequate and appropriate?
 - Are the proposed methodologies adequate and appropriate with a theoretical foundation for research implementation?
 - Are the specific knowledge exchange deliverables clear, adequate and appropriate?
 - Has a plan to evaluate the impact of the knowledge exchange been included?
 - **Track record/experience of the team**
 - Do the applicants demonstrate previous experience in knowledge exchange or evidence of working relationships that suggests the outcome of this project is likely to be successful and sustainable?
 - Does the team consist of representatives from at least two organisations or include individuals from different stakeholder perspectives relevant to the knowledge exchange?
 - **Personal and Public Involvement**
 - Has the applicant demonstrated that they have involved service users and the public in identifying and prioritising the knowledge exchange topic and/or in preparing the application?
 - Has the applicant demonstrated that they have sought to involve service users and the public, including from appropriate groups, in a partnership role in the knowledge exchange process?
 - Does the proposal demonstrate an understanding of the benefits of PPI?

- Is the level of/approach to PPI appropriate?
 - Does the applicant aim to incorporate PPI in the reporting/dissemination of the project?
 - **Value for money**
 - Does this application represent value for money?
 - Are all the appropriate costs identified across all the partner organisations?
- 5.4 The evaluation process will differ from other HSC R&D Division-funded research schemes as the focus is on the proposed exchange of knowledge generated by previous research activity. HSC R&D must be convinced that the knowledge derived from research activity is robust. Thus it is expected that the research outputs, which underpin the proposal, should have been subject to a peer review process. It will be important that the **application clearly demonstrates the rigour of this peer review**.
- 5.5 **Shortlisting** will be conducted in **November 2015**
- 5.6 Shortlisted outline applications will be invited to submit a **Full Application** in early 2016 with a decision on funding made after appropriate evaluation by the Evaluation Panel.
- 5.7 For the Full Application, the applicants will be asked to respond to any issues and queries raised by the Evaluation Panel at shortlisting, as well as provide evidence of the underpinning research for the Knowledge Exchange. They will also need to provide detailed financial information and sign-off from the relevant organisations. Information on the Governance arrangements and sponsorship will also be requested at this stage.

6 Notification

- 6.1 The Chief Investigator will be notified of the outcome of the application in writing, at the address specified on the application form.
- 6.2 The Chief Investigator may request feedback **in writing**. Applicants should note that such feedback will be limited to points of significance raised by the Evaluation Panel.

7 Successful Applicants

Terms and Conditions of Awards

- 7.1 Acceptance of an Award from HSC R&D Division will constitute acceptance of HSC R&D Division core Terms and Conditions and any additional Terms and Conditions².
- 7.2 Awards must be accepted by an appropriate designated Host Organisation (normally the employing organisation of the Chief Investigator) which will manage the award on behalf of HSC R&D Division. HSC R&D Division will make appropriate arrangements with the relevant organisation(s) for claiming the Award.

² For a copy of HSC R&D Division Terms and conditions please see:
<http://www.research.hscni.net/terms-and-conditions-awards>

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- 7.3 Applicants must inform HSC R&D Division immediately if funding for the project becomes available from another source.
- 7.4 All Award Holders will be required to submit Progress Reports describing the progress of their project. For the majority of Awards the frequency of these reports will be on an annual basis however depending on the individual nature of the Award, more frequent reports may be required. Continuation of funding of the Award is subject to the receipt of prompt and satisfactory Progress Reports.
- 7.5 Award Holders will be required to inform HSC R&D Division of all the outputs and outcomes (research publications, future linked awards/grants, policy changes, intellectual property etc.) from Award funded research.
- 7.6 Where relevant, responsibilities required by Research Governance must be met. The responsibilities of the various Research Governance stakeholders, eg funder, sponsor(s), employing organisation(s), care organisation(s), Chief Investigator (CI) and researchers are set out in the Research Governance Framework for The Health and Social Care. All parties are expected to discharge their responsibilities in accordance with that Framework³.
- 7.7 Award Holders will be asked to provide a copy of their abstract and any revised versions of their abstract, which will be used by HSC R&D Division in response to external requests for information. The content of the abstract should consider any potential disclosure of IP. HSC R&D may publish details of the abstract, names of investigators and project costs.
- 7.8 The support of the Public Health Agency, HSC R&D Division must be appropriately acknowledged in any published or public communication including all forms of media communication, including media appearances, press releases and conferences. A copy of the PHA HSC R&D Division Logo can be obtained from HSC R&D Division on request.

³ http://www.dhsspsni.gov.uk/research_governance_framework.pdf

PART 2

Guidance for Completion of Outline Application Forms

The HSC R&D Division will regard incomplete or incorrectly completed application forms as invalid.

Applications can only be judged on the information contained within the application form and the CV(s).

In order to treat all applicants equally, HSC R&D Division must enforce strictly the prescribed format requirements including font size and font type. Forms and CVs must be completed in clear typescript using Arial font size 11pt or greater. Arial Narrow font will **not** be accepted as an alternative to Arial.

Applicants must adhere to the given layout. Applications that extend the existing text entry box(es) will be treated as invalid and automatically excluded. **Applications that do not comply with the specified format will be treated as invalid and automatically excluded.**

Applicants are asked to note the following instructions:

- | | |
|----------------------|--|
| <i>Question 1a</i> | <i>Title:</i> Complete the full scientific title of the knowledge exchange project. |
| <i>Question 1b-d</i> | <i>Details of Applicant(s):</i> The Chief Investigator (C.I.) and Co-Investigators should be named here with each completing a current CV as presented in <i>Appendix 1</i> of the application form. CVs must not exceed 3 pages. The C.I. should provide full correspondence details. It is the responsibility of the C.I. to inform the HSC R&D Division of any change in these details. |
| <i>Question 2</i> | <i>Proposal Summary:</i> Provide a public or 'lay' title of the knowledge exchange project, designed to be understood by an interested non-scientist / non-specialist, the proposed start and end dates (based on a maximum duration of 18 months) and the total cost (limited to a maximum of £100,000). Any partnership funding associated with this application should also be identified. Provide a summary of the project <u>in plain English</u> . This must include a description of 'the problem/need'; the specific objective(s) of the knowledge exchange; and the likely impact of the project. |
| <i>Question 3</i> | <i>Underpinning Research:</i> Applications to the Knowledge Exchange Scheme should build upon knowledge generated through previous excellent research activity. Some of the applicants may themselves have contributed to generating this new knowledge through research but it is acknowledged that this often needs to be 'blended' with other research findings. Provide summary details of the underpinning research for this project including the research that members of your team have been involved in which is relevant to this application. Clearly identify the knowledge derived from the previous research that will be exchanged/ implemented. |

In order to ensure the scientific validity of the findings from the previously funded research, it is expected that any research findings should have undergone peer review (see paragraph 2.5). Therefore include relevant reference to publications and outputs your team has contributed to. **You may be requested to provide copies of the relevant publications if you are invited to Full Application.**

Question 4

Knowledge Exchange Plan: Please use the next 3 pages to describe your plan for knowledge exchange. You should include the items below ensuring that each part is adequately referenced to demonstrate the underpinning research:

- The problem/need: include background information to indicate the context and relevance of the proposed knowledge exchange.
- The proposed solution: include what knowledge derived from research is being exchanged and the specific objectives of this project.
- The methodology: describe the knowledge exchange process and methodologies to be used, including any theoretical foundations for the research implementation. If appropriate distinguish between:
 - Diffusion (Spreading information and natural adoption by the target group of guidelines and working methods)
 - Dissemination (Communication of information to care providers to increase their knowledge and skills; more active than diffusion; directed at a specific target group)
 - Adoption (Positive attitude and decision to change personal routine)
 - Implementation (Introduction of an innovation in the daily routine; demands effective communication and removal of hindrances)
- The expected impact: include details of the collaboration between researchers and users and how this will ultimately benefit society.
- The evaluation: include a plan for evaluation of the knowledge exchange programme.
- The time lines for the knowledge exchange.

If appropriate please comment on any Intellectual Property (IP) associated with the project or any involvement with HSC Innovations <http://www.innovations.hscni.net> or University Technology Transfer.

References must be included in either Harvard or Vancouver format. A separate page (which can be duplicated) is provided.

Question 5

Delivery of Knowledge Exchange: Explain why your team is suitable to deliver knowledge exchange in this area. Include detail on: the team's role in generating the underpinning research; the team's experience in knowledge exchange/management; the effectiveness of the team including how/what each member

contributes to the project; and any wider engagement included in the programme.

Question 6 *Sustainability and Future Implementation:* Describe how you aim to ensure that the knowledge exchange will be sustained. Describe any potential issues that might affect wider implementation of the knowledge exchange and comment on how the project aligns with HSC strategy or commissioning priorities.

Question 7 *Personal and Public Involvement (PPI) –* HSC R&D Division believes that research projects and knowledge exchange projects are strengthened through the appropriate involvement of service users or the public and PPI is now a requirement in all funding applications. Applicants should use this section to describe how service users and the public, including from appropriate groups, have been involved in identifying and planning this knowledge exchange topic; prioritising the questions and in preparing the application. Also explain how they will be involved as partners in the proposed project. Applicants are expected to make every effort to involve service users and the public. The chosen level of/approach to PPI should be fully justified. For further guidance, applicants are referred to the INVOLVE website www.invo.org.uk, and are encouraged to contact Dr Gail Johnston, in HSC R&D Division (Tel: 028 95363490, email: gail.johnston@hscni.net).

Question 8 *Finance Summary:* Provide a summary of the overall cost by organisation. Detailed costing will be required at the full application stage. Given the nature of knowledge exchange as a two-way process it is expected that costs will be spread across the contributing organisations. **All organisations listed under the co-investigators must be included here.** Failure to show this will be queried by HSC R&D Division. If there are no associated costs for an organisation or resources are being provided ‘in kind’, please list them here with zero cost.

Question 9 *Finance - Justification for support:* Provide detailed justification for each of the costs identified in Section 8. Include justification of any organisations involved but where there are no associated costs. Include any ‘in kind’ contributions and detail any partnership funding available.

Question 10 *Declarations - Original signatures are required here.*
The Chief Investigator must sign the declaration.
The Head of Department/ Trust Research Director/ CEO must sign the declaration on behalf of the organisation who will host the Award.

At least one application form with original signatures must be submitted. Failure to provide all the requisite original signatures will result in the application being excluded automatically at the initial validation stage.