Guidelines

Health Research Council of New Zealand
Te Kaunihera Rangahau Hauora o Aotearoa

March 2018

Partnership Programme Application Guidelines (JV218-MSD-HRC)

for

2018 MSD-HRC Research RFP

Partnership Programme

New Zealand Government

www.hrc.govt.nz

Contents

Partnership Programme

Part A: Introduction

Please note that these guidelines have been specifically tailored for the Request for Proposals entitled 2018 MSD-HRC Research Partnership.

This Request for Proposals is a component of the HRC's Partnership Programme, through which the HRC forms strategic partnerships with funders and stakeholders to target resources towards developing the evidence-base in key areas of need and to strengthen the links between policy and practice.

Applicants should note that Partnership Programme Requests for Proposals focus on key priority areas and are intended to support targeted, outcome-focused research.

1. Outline of the application process

Applicants are first required to submit a Registration before the submission of a full application. The Registration is completed online via HRC Gateway (Online Submission System).

The full application is due subsequently and should be uploaded via HRC Gateway and hard copies sent to the HRC.

2. Creating an HRC Gateway user account

If they do not already have one, applicants will need to create a new account on HRC Gateway, which can be accessed via the following URL: https://gateway.hrc.govt.nz/

Please note that all named investigators must have an HRC Gateway user account so that their details can be included in the online form.

3. Prior to submission of an application

Before submitting a research application, applicants should read the following documents:

- Guidelines on Ethics in Health Research
- Guidelines for Researchers on Health Research involving Māori
- Guidelines for Pacific Health Research

Applicants should also familiarise themselves with the Research Application Review Process, and the Criteria for Assessment and Scoring of Partnership Programme Research Applications, as detailed in Appendix 2 of these guidelines.

All documents are available on HRC Gateway.

4. Privacy provisions

4.1 Statistical Purposes

The information requested in an application will be used for the purpose of assessing that application and, in a non-identifiable form, some information will be used for HRC statistical purposes. The HRC undertakes to store all applications in a secure place and to destroy declined applications after due process to preserve confidentiality, unless applications are required to be kept by the National Archives.

4.2 Peer Review

Personal information contained in the application may be made available to external peer reviewers and members of the HRC Committees relevant to the review of the application. This includes electronic and paper copies of the application. The HRC may seek reports from peer reviewers, where appropriate, to assess the scientific merit, health importance and cultural appropriateness of the application.

4.3 Media Release

In the event that an application is successful, the HRC reserves the right to release applicants' names, details of the host institution, contact details (work phone, fax or email), contract title, lay summaries and funding awarded for public interest purposes and to meet the statutory requirements of the Health Research Council of New Zealand Act 1990.

4.4 Official Information Act

Should the HRC receive requests for information in an application via the Official Information Act then we will consult with the host institution in handling the request. Where appropriate, or in certain circumstances the request may be transferred by the HRC to the host institution.

5. Enquiries

All enquiries related to HRC research applications should be directed in the first instance to the Research Office of the applicants' host institution.

Where the research office cannot assist, or if you do not have a research office, contact the Research Partnerships team at the HRC:

Scott Aitken
Research Investment Manager
Research Partnerships team
DDI 09 282 4135
Email saitken@hrc.govt.nz

6. Mailing Address

The application should be sent to the HRC office as shown below:

Mailing Address:
Health Research Council of New Zealand
P O Box 5541, Wellesley Street,
AUCKLAND 1141
Attn: Scott Aitken

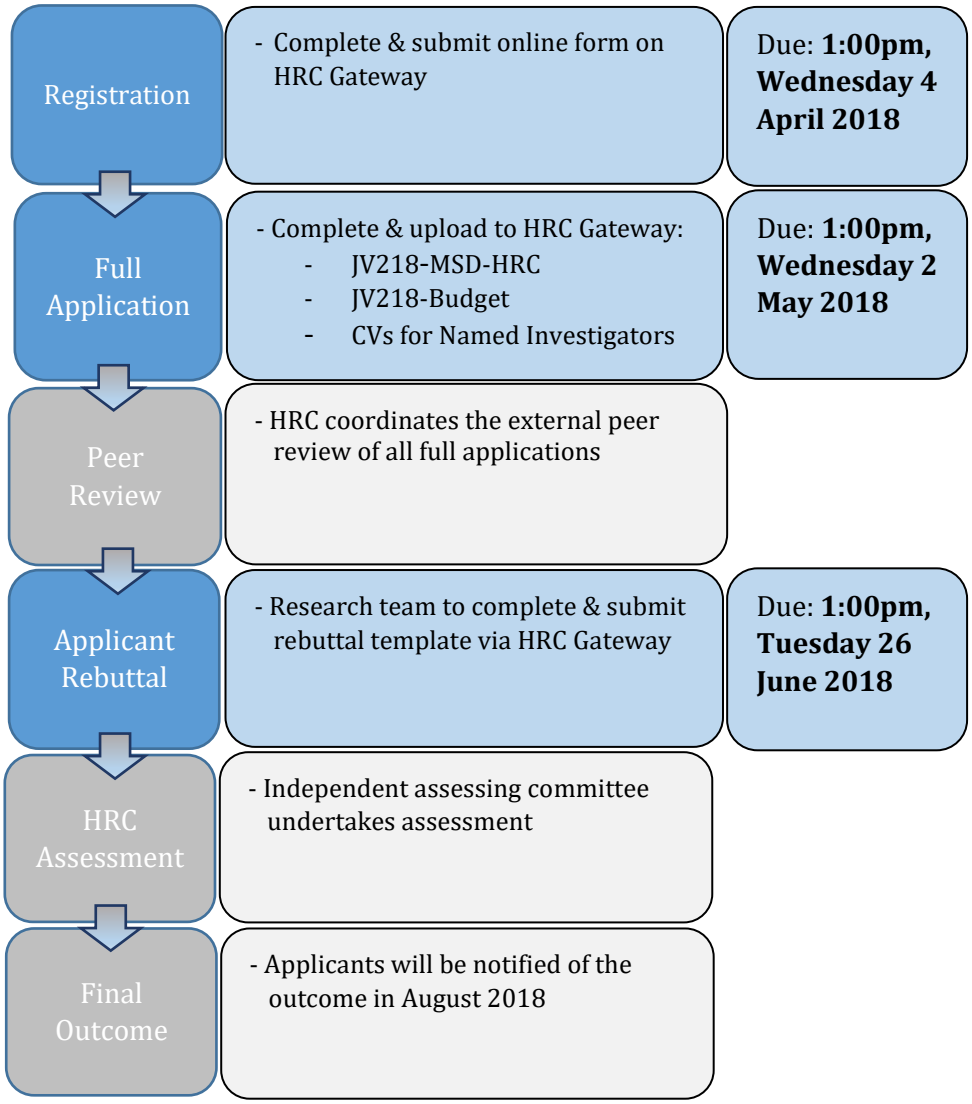
Physical/ Courier Address:
Health Research Council of New Zealand
3rd Floor, 110 Stanley Street, Grafton
AUCKLAND 1010
Attn: Scott Aitken

7. Overview – Application process and closing dates

Below is an overview of the application process. All closing dates are noted. Refer to the following sections for more information on what is required at each step.

All forms are available on HRC Gateway.

Applicants must meet each of the deadlines below in order to continue in the process.



Partnership Programme

Part B: Guidelines for completing a Registration (via HRC Gateway)

1. Outline

Applicants are first required to submit a Registration. The Registration involves completing a simple, web-based form that is submitted electronically via HRC Gateway. Hard copies of the Registration are not required.

Submitting a Registration signals the intention of the applicant to submit a full application. Submitting a Registration also generates an HRC reference number to use on the full application form. The information entered as part of the Registration will form the majority of Module 1 of the full application.

Once submitted, the Registration is forwarded (in HRC Gateway) to the host Research Office. The Research Office will then need to approve the Registration and then forward to the HRC. Always allow sufficient time near the Registration closing date for these steps. If the host institution doesn't have a research office, the registration will be automatically forwarded to the HRC.

First named investigators and all other named investigators must have an HRC Gateway account, to be able to be included in an application. Named investigators will be able to be added after a Registration has been submitted and before the Full Application is submitted.

Registrations are due by **1pm, Wednesday 4 April 2018**.

Incomplete or late registrations will not be accepted.

2. Completing the Registration (online form)

1st Step

The applicant will first be required to enter a research title and select a host organisation.

Research title

The research title should be succinct and clearly describe the proposed project. The title must not exceed 80 characters, including spaces and punctuation. Do not use all caps.

Host organisation

The host organisation (or institution) will be responsible for administering any awarded contract.

Select your 'Host organisation' from the drop-down list (this shows host organisations currently recognised by the HRC). If applicable, a specific research office and research office contact will be able to be selected.

NOTE:
If your host organisation does not appear in the drop-down list, please tick the check-box 'My host organisation is not in the list'. A field will then be available to enter your host organisation details.

Research office contact

Complete the contact details for the person who will be the contact for the application process. In most cases, this will be an individual in the Research Office of the host organisation.

2nd Step

First Named Investigator

Some of this information will be automatically populated from the first named investigator's person profile. Click on the 'Update' button to enter:

- Department
- Ethnicity (optional)
- Gender
- Clinician
- Practising
- FTE

The first named investigator will be considered the first point of contact during the application and assessment process, and will be understood to be acting for, and in concurrence with, the other named investigators. All correspondence for the application will be addressed to this person. Only the first named investigator will be cited by the HRC in its press release on successful applications. Once an application is created, the first named investigator cannot be changed.

3rd Step

Click on the 'Update' button to enter details. The information required for 'Application details' differs from round to round. The required fields for the Registration stage are highlighted in orange.

Note: if a field does not need to be completed until the full application stage, there will be a blank space next to that particular field at the Registration stage – information will only be able to be entered at the full application stage.

Research Location

This is the specific department(s) and organisation where the majority of research or data analysis will be undertaken. For example, "Department of Community Health, University of Otago Christchurch" is an example of a research location. Another way of looking at this is, "which group should be credited in any HRC publication of successful applications?" This is usually where the First Named Investigator is based.

Discipline

Select from the drop-down box.

Duration

Enter the proposed term of the research (months). Please ensure the duration of the research meets any timeframe requirements as outlined in the RFP.

Commencement Date

Enter the proposed commencement date (day/month/year). **Note**: please carefully consider the start date, as depending on the specific requirements of the relevant partnership initiative, applicants will be held to their proposed start date.

Lay summary

Provide a summary of the research (150-word limit). Include research objectives, principal methodologies and potential health outcomes or impact.

Research Costs – Staff Costs, Overhead, Working Expenses and Total Cost of Research

Enter in the relevant total costs from the budget spreadsheet.
Note that this field is not required to be completed at the Registration stage (only required at the full application stage).

Other named investigators (NI)

Click on the 'Update' button to enter details. All named investigators must have an account profile on HRC Gateway before they can be added to an application. There are three ways that you can find a person's profile:

- HRC ID – this is an internally generated number that displays on a person's profile
- Email – search by email address
- First name, Surname

If no match is found, contact the named investigator and ask them to sign up for HRC Gateway. Please note that if the named investigator is an international investigator, they will need to select the 'Individual' option for their host organisation when signing up for HRC Gateway.

After selecting the named investigator, ensure the following fields are completed:

- Department
- Organisation
- Role in Project
- Ethnicity (optional)
- Gender
- Clinician
- Practising
- FTE
- Share application access

Any named investigator can be removed or updated by clicking on the 'Remove/Update' button on the application screen.

Named Investigators are defined as those researchers duly responsible for the conduct of the proposed research (this may include subcontractors who are named investigators). Typically, these persons would constitute those doing the research.

"Role in project" covers position or skills in the project, e.g., project manager with overall responsibility for the coordination of the study; statistician working across study groups to provide advice and final analysis, etc.

Information on ethnicity, gender and whether the researcher is a clinician (and practising) is used for HRC evaluation purposes only. The ethnicity and gender information are optional. A clinician is defined as a health professional involved in the clinical practice of medicine, psychology, dentistry, physiotherapy/occupational therapy or pharmacy. This includes all qualified doctors, nurses, midwives, dentists, pharmacists, physiotherapists, occupational therapists, dieticians and psychologists. Dieticians and psychologists are only considered clinicians if they have been involved in clinical practice. Dental nurses and physiotherapy assistants are not considered to be clinicians. A practising clinician is an individual who is contractually obligated to treat patients or clients, and does not engage with patients only for the purposes of research.

The FTE should be the average for term of contract.

Please ensure that the contact details and names of the named investigators are the same in the respective CVs that will be submitted as part of the full application.

Nominated impartial peer reviewers

Nominated peer reviewers are not references to support the application. External peer reviewers will be utilised by the HRC to carry out peer review of full applications. They should not be people that may be compromised in their assessment of applications due to a conflict of interest such as having a professional, working, collegial or personal relationship with an applicant. Ideally the nominated peer reviewers should not be at the same institution as the named investigators. Applicants may nominate up to two.

Peer reviewers unacceptable to applicant

Name an individual or research group that would be unacceptable as a peer reviewer. An individual or research group may be unacceptable as a reviewer because: 1) they are competitors, 2) there is a conflict of interest, 3) there are commercially sensitivity issues.

Part C: Rules for submitting a Full Application

1. Full Application submission process

The full application process requires applicants to submit the following components to the HRC:

- A written proposal using the JV218-MSD-HRC (MS Word) form **(Modules 2, 3, 4A-4D)**
- A budget spreadsheet using JV218-Budget (MS Excel) form **(Module 4E-4H)**
- CVs for the named investigators on the application **(Module 5)**
- Additional information to be entered via HRC Gateway, including in **Module 1,** and under 'contract information' **(Module 4I)** and 'research classification' **(Module 6)**

1.1. Use of JV218-MSD-HRC word form

The JV218-MSD-HRC application is uploaded and submitted via HRC Gateway. Ensure that the correct form (JV218-MSD-HRC) is being used (for Modules 2-4). No other form should be used. This form is available via HRC Gateway and is a MS Word file.

1.2. Use of JV218-Budget form

Ensure that the correct form (JV218-Budget.xlsx) is being used. No other form should be used. Sections 4E-4H of Module 4 should be entered in the budget spreadsheet using the JV218-Budget form.

1.3. New Host Organisation

New enterprises (e.g., Independent Hosts) who have not previously been funded by the HRC may be required to answer "due diligence" questions before their application is processed. Please contact Scott Aitken, Research Investment Manager (email saitken@hrc.govt.nz or phone 09 282 4135) for further information.

2. Format

2.1 General Formatting

Applications must be written in a clear and concise manner with sufficient detail to enable knowledgeable, not necessarily specialised, reviewers to fully assess the scope and implications of the proposal. Assessing committees find well-constructed and properly presented applications more user-friendly.

Applications must be prepared in English or te reo Māori; if in te reo Māori a translation in English must also be provided (any translation will not be included in the page limit). Please note that the HRC cannot guarantee that Māori macrons will be translated correctly when forms are converted to pdf.

The form must be filled in using default fonts and other settings (margins), although applicants may add subheadings and boldface/underlining for clarity. Note that 8-point fonts in illustrations are difficult to read and sometimes do not convert to pdf clearly. Line spacing less than 1 in Word should not be used and additional spacing between paragraphs is easier to read.

Use the original JV218-MSD-HRC form as it may contain special features. To ensure your application is processed:

- Do not copy and paste the Module or Section headings
- Do not merge tables
- Do not alter table headings (shaded blue), or remove table columns.
- Use only Arial 10-point or 11-point type. These are the default formats in the form.

- CVs must be Arial 12-point font (the CV is not an HRC document and has different formatting requirements)
- Adhere to page limits.

2.2 Compliance

The HRC will not process any application that does not comply with stated page limits or font sizes/styles.

2.3 Additional Documents

Any additional documentation (including letters of commitment/supporting documents) must arrive at the HRC by the due date for applications, and must show the HRC application reference number. Co-funding commitments from other sources that are confirmed after the closing date must be provided as they become known and may be useful to the assessing committee.

3. Copies of Applications Required

3.1 Electronic Copy

Upload the completed JV218-MSD-HRC file via HRC Gateway.

Upload the form as a .pdf file created by using the pdf function in MSWord or another pdf generator. The conversion to pdf format prior to uploading allows applicants quicker access to the final compiled application, containing all sections, so that inspection of graphics can be completed.

Submit the JV218-Budget.xlsx in both .xlsx and .pdf formats. Use this HRC spreadsheet – this contains special features used for HRC processes. Do not input anything in the coloured cells. Please make sure that the .xlsx and .pdf versions match. The HRC Gateway System will use the .pdf version of the budget form in the final system-generated pdf.

HRC Gateway will allocate file names for the uploaded JV218-MSD-HRC and JV218-Budget.xlsx.

Important

The application is submitted to the host Research Office when the applicant uploads their files and submits through HRC Gateway. The application will be forwarded to the HRC after host approval. Always allow sufficient time near the closing date for these steps.

If you do not have a research office, the full application will be automatically forward to the HRC in HRC Gateway.

3.2. Hard Copy

Hard copies of your application should be submitted to the HRC by **5pm, Friday 4 May 2018**.

HRC Gateway creates a pdf document of the complete full application (Modules 1-6). Print this document and submit the hard copy to the HRC.

The HRC requires **2** stapled, double-sided paper copies.

3.3 Do Not Send Files

Applications must be received in hard copy format AND in electronic format via HRC Gateway (see above for details).

3.4 Incomplete Applications

Incomplete applications will **not** be accepted. This applies to ALL modules.

3.5 Returned Applications

No part or parts of an application will be returned to the applicant.

Part D: Guidelines for completing a Full Application

This section outlines what is expected in each field of the JV218-MSD-HRC form and the JV218-Budget form.

1. MODULE 1: GENERAL INFORMATION

Module 1 of the application must be completed via HRC Gateway. This module incorporates the Registration information, with some additional fields required at the full application stage.

See the section of these guidelines – *Part B: Guidelines for completing a Registration (via HRC Gateway)* for the fields required in Module 1.

2. MODULE 2: PROPOSED RESEARCH

Section 2A – Summary of Proposed Research

The summary should clearly describe goals and objectives, research plan (including outline of methods) and significance and/or relevance of the research. The summary should be a maximum of one page for all research applications.

The Summary should be structured under the following headings:
Rationale for research, Relevance to RFP, Aims, Research design and methods, Main outcome measures.

Note: A clear and succinct summary including all the important points of the application can help peer reviewers get a good grasp of the research, and is useful as a quick reference for assessing committee members.

Section 2B – Description of Proposed Research

The following section headings should be used to structure the discussion of your proposed research. Throughout your discussion, remember that your audience includes not only your discipline-specific peer reviewers, but also a more broadly experienced assessing committee. It is in your best interest to structure your discussion in a clear and logical fashion. Ideally, seek feedback from a colleague outside your immediate research area.

The use of graphics and tables is an efficient use of space. Ensure that the format of non-text content is compatible with pdf conversion software.

Rationale for research

Include information that you feel is essential for the reader of the application to better appreciate or understand why you feel your proposed research should be undertaken. What is the significant/important gap in knowledge or what is the potential to advance knowledge in the field or health issue, policy, practice or service delivery that your research will address? Why is the issue being approached in the way outlined in this application? Where does your proposed research fit relative to the world-wide perspective? For example, is it unique to New Zealand? Do your hypotheses build on existing knowledge? How original is the approach? Has responsiveness to Māori been considered?

Relevance to RFP
The relevance and contributions of this research application to the aims and objectives of the RFP must be clearly expressed. For example, what is the significance and contribution of the research to this research field; where relevant, how could the research impact upon health policy and/or the provision of health services? Rather than wasting valuable space with large amounts of background information on the general health problem, focus on how your research will address the problem and/or develop new knowledge.

Research Design and Methods
Include sufficient detail of study design and methods such that an assessment can be made of its appropriateness, robustness and/or innovativeness. This might include a description of sample recruitment and characteristics (including number, gender and ethnicity where relevant), study methodology, and proposed methods of data collection and analysis. Where appropriate, provide an estimate of the likely effect size and the sample size required to detect this (power analysis). Indication of timelines for the research should be included. Consultation with specialists such as methodologists, statisticians and health economists before finalising your research design is recommended. Where possible detail the validity of the proposed analyses, and the feasibility of attaining the statistical power sought (if appropriate). It is important that you consider how the research design and methods will meet the requirements of the RFP and ensure the delivery of any outputs as stated in the RFP.

The assessing committee needs this information to judge and appropriately score this criterion, so ensure that the practicalities are clearly stated, i.e. what will be done, how, by whom, where and when. Assessing committees are also reassured when methodologies have been used/trialled before.

Responsiveness to Māori
How might your research contribute to the health needs of Māori? What is the health significance and context of this research to Māori? Discuss the incidence or prevalence in Māori, or indicate if not known to be significantly different from the general population. Have you sought advice for the study from a Māori researcher/representative (if applicable)?

Dissemination of results and knowledge transfer
Provide full details of your proposed dissemination strategy. As all partnership programme initiatives are designed to contribute to an evidence base for policy and practice this should include how the research results will be appropriately disseminated to the following end-users:

- Policy-makers, professional colleagues, health service funders and providers, the general public, study participants, iwi and other important groups.

As well as peer reviewed publications, dissemination examples include leaflets, reports, workshops, participant newsletters, guidelines, hui and public meetings, conference presentations and mass media items as appropriate. Processes for ensuring that all information is tailored to the needs of the intended audience, so that research findings can be of maximum utility, should be fully detailed.

Expertise and track record of the research team relevant to this proposal
Provide evidence that the team has the qualifications, experience and knowledge in the proposed research area; right mix of expertise, and appropriate networks and collaborations; history of productivity and delivery; and the right research environment/infrastructure to deliver the research and disseminate results. Include a brief description of the team's track record related to

the proposal area, to demonstrate the ability to deliver proposed study outcomes in response to the RFP. Highlight important skills, expertise and previous collaborations in the team that would support delivery of the proposed research. Justification for staff roles should be provided.

Use this section to discuss your current or previous related research and outline the outputs and outcomes from that research, to demonstrate the ability to deliver proposed study outcomes in response to the RFP. If the research in this application arises directly from research undertaken on previous research contracts, please provide a statement of the original aims and objectives of those contracts and the degree to which these were met. If the research did not progress as anticipated, provide explanations.

Note: References for Section 2B should be listed in Module 3
There is a 10-page limit for Section 2B

3. MODULE 3: REFERENCES

Ensure this section is on a new page, to avoid it being included in page limits: there is no limit to the number of reference pages.

Citations for key references in the text in Section 2B should be supplied. Details must include a **full list of all author(s),** title of article, journal, year, volume and page numbers. Asterisks are to be placed beside applicants' publications.

References lists from **EndNote** should be first copied into a blank document, and then copied and pasted into the form.

4. MODULE 4: CONTRACT INFORMATION AND BUDGET

Sections 4A – 4D are part of the JV218-MSD-HRC application form. Sections 4E – 4H are to be completed on the separate Excel file (JV218-Budget.xlsx). Section 4I is completed on HRC Gateway.

a) Enter the HRC REF ID number at the top of Section 4E.
b) The Contract Information and Budget spreadsheet must be submitted as a pdf and an excel file using the online system.

Section 4A Justification of Expenses

Justification of Research Staff

Use this section to justify the role and %FTE of the Named Investigators and any other research staff for whom CVs have been provided. Also explain the role of **ALL OTHER** personnel (named or un-named) who will be actively associated with the research and for whom you are seeking funding. These may be research assistants, technicians, medical staff, interviewers and support staff or similar, whose names or position titles are listed in the budget under "Research Staff" and who have specific FTE involvements. Un-named post-doctoral fellows should be justified here, but it is recommended that named post-doctoral fellows provide a CV in Module 5. Assessing committees may consider not awarding funds for roles that are not fully justified or are simply described as a "training opportunity". It is the responsibility of the applicants to ensure that no personnel justified in this section will exceed 100% FTE on their combined commitments during the term of the contract. The roles of students and casual staff should be justified in the following section (Justification of Working Expenses).

Justification of Working Expenses and Casual Staff
All items listed under Materials and Research Expenses in the budget should be justified, with costs broken down per item unit, and full costs per item for number of units requested. The application review process will consider the appropriateness of the budget and working expenses. If there are exceptional requests for working expenses, ensure that the assessing committee will clearly understand why the requested materials, travel, or research tools are necessary for the successful completion of the research. Ensure any significant one-line items are justified adequately enough for the assessing committee to understand the appropriateness. Clearly justify the roles of students (must be named) and casual staff so that the Assessing Committee can appreciate how these persons are important and necessary for the proposed research to be completed. It is the responsibility of the applicants to ensure that no students justified in this section will exceed 100% FTE on their combined commitments with the Host Institution during the term of the contract.

List all supporting budget documents in Section 4D (Letters of Collaboration/Supporting Documents Index) and attach to the end of Module 4 in the paper copies of the application.

Section 4B Previous / Current Contracts and Awards

List first named investigator's previous / current Contracts awarded within the past 5 years. Using the table provided, outline current and previous support from any agency that has been received by the first named investigator. This section is intended to provide the peer reviewers and the assessing committee with an overall summary of the lead applicant's ability to secure research funding for this type of research. Final Reports for recently completed HRC contracts may be made available to assessing committees.

For "Nature of Support," indicate whether the funding supports salaries only, working expenses only, both salary and working expenses, equipment, a junior research fellow, etc.

Section 4C Other Support

Other Research Applications Awaiting Decision
List the research applications the team has pending with other funding agencies. If applicable, indicate in the spaces provided any overlap of resources and personnel that the listed research application might have with this application submitted to the HRC. Please append to this section the coversheet and abstract of potentially overlapping contracts submitted to other funding agencies.

If the first NI, or any NI believes that disclosure of a significant relationship to companies would be valuable (e.g., contribution to project costs, staff joint appointments or equipment), provide details. A clear description of how the current application relates to those relationships is desirable but assessment of commercial links is NOT part of the HRC peer review process.

Co-funding
Please indicate and provide details if the research group has approached other agencies for joint funding of this research. If applicable, detail the support and joint funding arrangements for this research.

Financial Interest(s)
For the purposes of HRC funding applications, a financial interest is anything of economic value, including relationships with entities outside of the research host institution. While not an exhaustive list, examples of financial interests include positions such as consultant, director,

officer, partner or manager of an entity (whether paid or unpaid); salaries; consulting income; honoraria; gifts; loans and travel payments.

A financial conflict of interest is a situation in which an individual's financial relationships may compromise, or have the appearance of compromising, the individual's professional judgment in conducting or reporting research. In the event that an applicant has identified financial interests in a funding application, the applicant should also outline the specific details of their proposed conflict management strategy.

Section 4D Letters of Collaboration/Supporting Documents Index

Use this section to **list** any subcontracts/MOU, letters of collaboration, appendices and any other supporting documents. The documents themselves should be attached to the end of the printed hard copies of the application.

The subcontract/MoU should be included with the original application and any copies. Attach subcontracts/MoU to the end of the printed hard copy of this application.

A letter of collaboration should outline how the interested party intends to implement the findings of the research upon its completion, or provide material or actual support for the research, **not simply to state that the research is necessary**. Please ensure that any organisation providing a letter of collaboration recognises their intended commitment to the conduct of the proposed research and timeline of their involvement. Letters of collaboration and any other supporting documents should be attached to the end of the printed hard copies of the application and include the HRC Ref ID#.

Sections 4E-4H are completed on the excel document.

The budget will need to be converted to pdf and uploaded via HRC Gateway. Both a pdf and an excel copy version of the budget are required to be submitted. These must be submitted by **1pm, Wednesday 2 May 2018**.

Section 4E Research Proposal Budget

The guidelines below should be considered only a summary of the HRC funding rules. For more complete information, refer to the *HRC Rules* which are available on HRC Gateway.

Budget calculations and spreadsheet

All calculations should be GST exclusive and be in whole dollar amounts i.e. no cents or decimals. Page orientation may be in Portrait (preferred) or Landscape. Try to have page breaks at logical points.

The "Salary," "Working Expenses" and "Total Cost of This Research" are components of Section 4E. The spreadsheet contains formulae to automatically sum each year of costs. To insert more rows into a table, select a cell where you require the extra row, go to Insert on the Menu bar and choose Insert row (or right click and insert). This will not affect the formulae.

The 'Total Cost of Research' shaded table automatically calculates all of the figures in this box.

Do not enter any details into any shaded areas. Shaded areas contain either column/row labels or formulae.

Note: If you are intending to ask the HRC's Data Monitoring Core Committee (DMCC) to monitor this study, there is no cost involved in using the HRC's DMCC. However, if the DMCC agrees to monitor the trial, costs for members of the study team (including the study statistician) to attend the meetings (and preparation of biannual statistical reports) will need to be included in the budget for the application. If you have any questions please contact the Secretary to the DMCC, ethics@hrc.govt.nz

Salary
Only enter **Contract Research Staff** employed or to be employed by the Host Institution (this includes Academics) in this section.

All positions should specify grade and level. The monetary value ($) should be the **actual** salary amount that the named staff member is expected to receive for the research proposed during that period (i.e., the product of their **Annual Salary X %FTE** devoted to this research application). Salaries for year 2 can be increased by 3% per annum from year 1, or by more if specific details of expected promotion are provided and fully justified.

Please note that a minimum of 3% FTE is required to be entered for named investigators included in an application. Please state FTE as a percentage and not a decimal proportion, e.g. "10%" instead of "0.1". Half percentages (e.g., 4.5%) are not allowed.

NOTE: Overheads will be paid at a negotiated rate for each institution on all eligible contracts.

Do not enter **Salary associated costs** (i.e., amounts requested for an employer's contribution to approved superannuation schemes and accident compensation levies) for Research Staff in this Salary section – instead enter them in the **Working expenses** section.

Staff that must NOT be entered into the Salary section of the budget are Subcontracted Staff, named Masters and PhD Students on stipends and Casual Staff.

a) **Subcontracted Staff** are those who are NOT employees of the host institution. The salary and **all other expenses** for these staff should be broken down into appropriate categories on a detailed subcontract/MoU between the host institution and non-host institution. The total GST-exclusive dollar figure for the subcontract/MoU should be all-inclusive, including overhead calculations. The subcontract/MoU **total** should then be entered under 'Working expenses – Subcontracts'.

b) If funding to provide a stipend for a **PhD or Masters Student** is requested, the student must be named. Please enter Masters and PhD stipends (for named students only) into 'Working expenses – Materials and Research Expenses'.

c) **Casual Staff** (those persons without an ongoing role or commitment to the research, but providing one-off services to the research on a part-time, hourly or *per diem* basis, e.g., interviewers) should also be requested under 'Working expenses – Materials and Research Expenses'.

Working Expenses
Working expenses include 'direct costs' only. The only exception is in the case of subcontracts, as described above. Estimates of costs should be expressed in current prices **exclusive of GST**.

Materials and Research Expenses
The direct costs of the research include all the disbursements that can be identified, justified and charged to a contract and may include the following:

- Research consumables (these should be itemised at current cost per unit and full cost for number required).
- Other costs **directly** related to the research – telephone calls/communications, mail and freight.
- Computer-related license fees for research-specific software; access to High Performance Computing infrastructure (NeSI).
- Minor research equipment (to a total of $5,000).
- A proportionate part of new specialised equipment (equipment to be acquired) may be included and justified on research applications (Insert all budgetary supportive documents at the end of Module 4 with the printed application).
- Depreciation on specialised equipment: depreciation and capital costs on existing equipment are included in the overhead rate. If an institution's auditors have certified that specific items of equipment have been excluded from the Research Rate, then depreciation on the excluded equipment can be included in research applications and justified in the same manner as other direct costs.
- Expenses of research participants.
- Costs associated with knowledge transfer activities.
- Travel costs **directly** related to the conduct of the research. Contract funds may be used to provide assistance with overseas travel provided the HRC is satisfied that such travel is directly relevant to the conduct of the research and that alternative sources of funding are not available. This is not intended to relieve the applicant's host institution of its obligation to assist with the costs of overseas travel by its employees.
- Costs for Masters ($20,000 pa) or PhD ($30,000 pa) named students only can be claimed if a description of the student's research project is provided in Section 4A. Funds will be conditional upon the institution arranging a tax-free stipend that satisfies the Inland Revenue and host institution's rules. Ensure that PhD students requested are supported for three years of PhD study, either entirely or partly through this project. NOTE students' fees and thesis costs cannot be claimed.
- Dissemination of research results (fair and reasonable charges associated with the approved publication of the results of HRC sponsored research in journals, reports, monographs or books may be paid from contract funds. Also, costs incurred from other forms of dissemination, such as meeting with community groups, can be claimed).
- Conference allowance: The maximum allowance for conference attendance is $1,000 per annum per NI if **fully supported** by the grant and must be fully justified. The allowance cannot be distributed proportionately between grants. This allowance is intended to contribute to the cost of attending a conference, meeting or seminar. Fares and allowances should be calculated in accordance with the regulations and scales of the host institution.

The following are considered to be expenses included in the overhead rate and may not be claimed as direct costs against contract funding: costs associated with obtaining ethical approval; contributions to property costs or laboratory space; room hire; cost of staff appointments; utility charges such as lighting, heating and water; telephone installation, connection fees and line charges; laboratory "bench fees"; capital costs (with the exception of minor equipment); equipment charges (includes computer hardware and office based software); contributions to any central or group service or utility; and all library charges. Such institutional costs are included in the overhead costs paid on an HRC contract.

Subcontracts/Memorandum of Understanding (MoU)
Subcontract staff are staff that are not employees of the host institution. The salaries for these staff (including FTEs) and all other expenses (e.g., working expenses) requested for the subcontract should appear in a detailed subcontract/MoU between the host institution and non-host institution. A MoU should also include overhead calculations for salaries (a *pro forma* MoU is available upon request from the HRC). If a subcontract/MoU is greater than $50,000, all expenses requested should be broken down into the appropriate categories in Section 4F (MoU Budget). If the subcontract/MoU is less than $50,000 exclude Section 4F. The subcontract/MoU should be included with the original hard application and any copies. Attach subcontracts/MoU to the end of the printed hard copies of this application.

Salary associated costs
Amounts requested for employer's contribution to approved superannuation schemes and accident compensation levies for Research Staff – these are not to be entered in Salary but in the **Working expenses** section.

Total Cost of Research
Enter the appropriate overhead rate (OHR) in the spreadsheet. Researchers should seek advice from their host institution Research Office on the costing of their research applications and the overhead rate negotiated with the HRC.

After entering the appropriate overhead rate, this table will automatically calculate the total cost of the research. The applicant should enter this figure into the "Total Cost of Research" field in the online form (as part of the full application stage).

Section 4F MoU Budget

When a substantial proportion of the total budget of a research proposal is contained in a subcontract/MoU, having the expenditure itemised in the same way as the overall research proposal budget (see above) will greatly assist the assessing committee in their evaluation of the proposal. Use the tables in Section 4F to provide budget details for all MoUs requesting more than $50,000. The overhead rate used should be that for the Host Institution of the subcontracted staff, not that of the main Host Institution of the applicant. The total dollar amount for each year should then be entered under 'Working expenses – Subcontracts'.

A CV should be included in Module 5 for all named investigators on MoUs to enable the assessing committee to determine whether the investigator's expertise is appropriate and/or necessary. Without this information the assessing committee may decide not to support the budget for the MoU. CVs are not necessary for employees of commercial enterprises.

All subcontract/MoUs should be listed in Section 4D (Letters of Collaboration/Supporting Documents Index). If there are no subcontracts/MOU for this application, or none requesting more than $50,000 you may delete or ignore Section 4F.

Section 4G FTE Summary

List the time involvement of ALL personnel (including those on subcontract/MoUs) in terms of Full Time Equivalents (%FTE). Give all names (for un-named positions, indicate as "Technician", "Research Nurse", "Post-doctoral Fellow" etc.). The HRC and assessing committees do not favour listing numerous Professors, each with a very low FTE, and encourage FTE salary requests only when there is a significant input and involvement in the project. Please note that a minimum of 3% FTE is required to be entered for named investigators included in an application.

State FTE as a percentage and not as a decimal proportion, e.g., "10%" instead of "0.1". Half percentages (e.g., 4.5%) are not allowed.

Indicate when Named Investigators are "Time Only" (i.e., NOT receiving salary for their involvement in the project). All investigators on subcontract/MoUs should be identified as "Time Only".

Identify all Post-graduate students by "Masters" or "PhD" as well as by their name. Ensure the FTE figures are the same as those in the budget and MoU budget sections (Sections 4E and 4F).

Heads of Department will be required to agree in writing to provide workload relief for research staff working on HRC contracts (Principles of Full Cost Funding).

Provide Ethnicity for all personnel if this information is relevant to the proposed research.

Section 4H List of Collaborators (National and International)

Please complete the Collaborators (not Named Investigators) table by providing full name, organisation, and country (the location where the organisation is based and the collaborators undertake their research).

For **collaboration purpose** select one of the following options: Research; Commercialisation; Knowledge transfer.

For **Support** please indicate the value of any funding for this research provided by the collaborator in NZ dollars or list any in-kind support.

Section 4I Milestones and Objectives

This section is to be completed on HRC Gateway.

Milestones and objectives are assessed along with budget requests, included in an awarded research contract, and are used for contract reporting.

Objectives

Briefly describe the intended deliverables of this research application. Objectives should be **clear** and **measurable**, as your research performance will be evaluated against these objectives in an awarded contract.

Note that the HRC suggests a minimum of 3 objectives, with sufficient standalone operational detail and scientific information included to be able to inform progress assessment in subsequent years. Please note there is no limit to the number of objectives and milestones online.

Timeline for completion of Milestones for objectives

Provide key milestones that you aim to achieve. Each milestone must relate to one or more of the Objectives listed above, for example:

Year	Milestone	Objective(s)
1	Recruit 200 patients for clinical study	Objective 1, 2
2	Complete data entry and analysis (lab study)	Objective 2, 3
2	Complete statistical analysis (clinical study)	Objective 2, 3, 4
3	Dissemination of findings at Hui	Objective 4, 5

Remember that any contract will be monitored and progress measured against the Milestones and Objectives provided in this proposal.

If objectives and milestones are of insufficient detail the HRC reserves the right to not process the application and/or request further details at contracting stage.

5. MODULE 5: NZ STANDARD CV

The Standard CV template must be used. Provide CVs for all staff (including those on MoU), that will contribute to this research. The CV template is downloadable from HRC Gateway. Follow the CV guidelines for page limit and formatting.

The information provided in the CV **must be the same** as that provided in Module 1 (online). For example, title and contact details may need updating in the CV before submission.

The CVs will need to be converted to pdfs, uploaded individually via HRC Gateway and must be submitted by **1pm, Wednesday 2 May 2018**. Take care to use the original CV formatting including the default font and page limits.

6. MODULE 6: RESEARCH CLASSIFICATION

This module is completed on HRC Gateway and is for evaluation purposes only and is mandatory; incomplete applications will not be processed. The data allows for better understanding of health research trends in New Zealand (note this information is not used in allocating funding).

Field of Research Codes and Socioeconomic objective codes
For the Australian and New Zealand Standard Research Classification (ANZSRC) you are required to categorise your research using ANZSRC codes for the **Fields of Research** and **Socioeconomic Objective** classifications found on HRC Gateway. Find the appropriate code(s) from the drop down list. Add a percentage (nearest 10%) for each category with a total of 100%. Only use 3 codes for each.

Keywords
Enter the keywords that categorise the research.

Economic Benefits
Please provide a brief description of any potential economic benefits you consider may arise from your research. If no direct economic benefits are anticipated, please state this rather than leaving the field blank. The HRC's interpretation of economic benefits is broad and includes:

- Contributing to maintaining a healthy and productive population;
- Contributing to an efficient and cost-effective health system, and
- Value generated from IP and innovation.

Health issues
Enter the requested information on the HRC Gateway. Applicants need to select the health issue that best describes their research and, if required one secondary health issue.

Mapping category

Enter the requested information on HRC Gateway (select one). Applicants need to select the category that best describes the starting point for their research. The following table provides a description of each category.

Mapping Category	Description
Biomedical	
Gene	Research into the genetic basis of disease, identification of genes involved. Linkage analysis falls here and not under clinical studies.
Cell Biology	Analysis of molecular-level interactions. This includes protein-protein interactions, determination of the function of genes involved in diseases, and whole cell studies (e.g. immunological studies, transfections, *etc*).
Physiology	This includes all physiology and anatomy. Animal models of disease are included in this category, and studies on host-pathogen interactions.
Diagnostics	This includes innovations, and the development/refinement of new or existing diagnostic tools.
Pharmaceuticals/Treatments	This includes the development of new pharmaceuticals (drug design and development), as well as new treatments for diseases (e.g. vaccines, other therapies).
Clinical	
Clinical Studies	Research involving human subjects. This excludes research in which samples from human subjects are used for fundamental biomedical research, such as genetic linkage analyses.
Clinical Trials	Randomised clinical trials, usually randomised controlled clinical trials.
Health Services	
Health Economics	Research into the cost-effectiveness of treatments/services etc.
Clinical Services	This includes primary and secondary care services. Access to and appropriateness of services are also included, and safety of services and compensation. Macro-level analysis of health system changes falls into this area.
Public Health	
Knowledge Resources	This includes all epidemiology, underpinning social science (qualitative and quantitative), development of tools and new methodologies, and development of indicators.
Risk Factors	Research linking life experiences, behaviours, exposures *etc.* with health outcomes.
Interventions	Research that includes the design and evaluation of interventions.
At-Risk Populations	Includes research on specific population groups. These groups may be based on age, ethnicity, occupation, *etc*. Includes research using diagnostics in a particular group.
Community services	Research around community-run services and community groups, e.g. Marae-based healthcare services.

Appendix 1: General Information for Research Applications

Introduction

This annex of general information contains definitions and terms in the forms, guidelines and other publications, that may be used to develop research proposals and applications.

Health Research Council of New Zealand (HRC)

The HRC is a Crown Entity established in 1990 to administer part of the Government's investment in public good health research. The Council will invest in a portfolio of research that advances human health and is relevant to the needs of the health sector in New Zealand and to the Government's goals for the Science and Innovation Sector. These objectives are outlined in the HRC Investment Strategy 2012.

As a Crown Entity, bound by the State Services Standards of Integrity and Conduct, the HRC must maintain political neutrality. According to the Health Research Council Act 1990, the HRC may initiate and support health research, and may promote and disseminate the results of health research in ways that will be most effective in encouraging their contribution to health science, health policy, and health care delivery.

What research does the HRC fund?

Research purchased by the HRC must reflect the Council's mission of 'benefiting New Zealand through health research', with a vision of 'improved health and quality of life for all'. Goals within that mission are to invest in research that meets New Zealand health needs and research that has international impact, maximise the benefits of health research, champion the integrity of the health research environment, and enhance the value of the organisation.

The HRC is a strategic funding agency, which supports a range of fundamental, strategic and applied research within the general categories of biomedical, clinical, Maori health, public health, health services and Pacific Health research. HRC investments contribute primarily to the social goal for the government investment in Science and Innovation but may also contribute to the government's economic and knowledge goals.

Consultation with Stakeholders

The HRC has a strong expectation that research involving human participants will be conducted in partnership with appropriate stakeholders. In some cases it may not be either reasonable or feasible to consult with the population group involved in the study. However, consideration should be given to consultation with other key stakeholders and representative bodies, such as relevant non-government organisations (e.g., Alzheimer's Association), support groups, parents or care givers.

The study design, the methodology and the dissemination of research findings must be appropriate for the participants involved.

Responsiveness to Māori

The HRC is committed to demonstrating that its investment policies and assessment processes are responsive to the needs and diversity of Māori[1]. While this may be reflected in the alignment of individual research proposals to Māori Development and/or Māori Advancement, it is also an

[1] Ngā Pou Rangahau - The Strategic Plan for Māori Health Research 2010 - 2015 (HRC, 2010)

expectation that research provider institutions demonstrate the quality and extent of their partnership and relationship with Māori in the portfolio of research applications submitted to the HRC.

Researchers should discuss with their host institution their policies and procedures with respect to consultation with Māori. To ensure that host institutions have met this requirement, the HRC requires a declaration on the Administrative Agreement, which forms part of each application, that appropriate consultation with Māori has taken place.

What constitutes a Named Investigator?

The HRC expects the designation of investigators to **named status** should conform to International best practice, as detailed in the 'Vancouver Convention' [*The Uniform Requirements for Manuscripts Submitted to Biomedical Journals, October 2001 (http://www.icmje.org/)*].

All persons designated as authors/*named investigators* should qualify for authorship/*named investigator status*, and all those who qualify should be listed. Each author/*named investigator* should have participated sufficiently in the work to take public responsibility for appropriate portions of the content. One or more authors/*named investigators* should take responsibility for the integrity of the work as a whole, from inception to published article.

- Authorship/*named investigator* credit should be based only on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; 2) drafting the article or revising it critically for important intellectual content; and 3) final approval of the version to be published. Conditions 1, 2, and 3 must all be met. Acquisition of funding, the collection of data, or general supervision of the research group, by themselves, do not justify authorship.

Appendix 2: Assessment Criteria

A.	Fit with the Request for Proposals (RFP)

7 = The applicants have convincingly demonstrated that the proposed research fully aligns with all of the objectives and requirements as stated in the Request for Proposals document. The proposal clearly conveys a thorough understanding of the objectives and requirements and has outlined how the components of the RFP will be addressed.

4 = The applicants have attempted to align the proposed research with the objectives and requirements as stated in the Request for Proposals document. The proposal does not address all of the objectives and requirements, or does not sufficiently address all of the objectives and requirements to provide the desired outcomes of the RFP. The proposal conveys an understanding of the requirements and has attempted to outline how the components of the RFP will be addressed.

1 = The applicants have not aligned the proposed research with the objectives and requirements to provide the desired outcomes of the RFP. The proposal conveys no understanding of the objectives and requirements of the RFP.

B.	Scientific Merit

7 = The rationale for the proposed research is extremely well made. The aims and (where appropriate) hypotheses are excellent. The proposed research may represent a highly original and innovative approach to addressing the health question. Original findings are highly likely to result.

4 = The rationale for the study is well made. The aims and (where appropriate) hypotheses are acceptable. Original findings may result.

1 = The rationale, aims and hypotheses for the study are poor or absent. Original findings are unlikely to result.

C.	Design and Methods

7 = The proposed study design is excellent. The methods and proposed analyses are very comprehensive and clearly appropriate. The applicants demonstrate full awareness of the relevant technical issues. The statistical power (where appropriate) is sufficient to ensure a definitive outcome and the statistical analyses are well-developed. It is difficult to suggest improvements.

4 = The study design is adequate. There may be either insufficient detail for parts of the method and proposed analyses, or the study would benefit significantly by improvements in a one or more of these areas.

1 = The study design is unacceptable as proposed. Either the design is inappropriate, or there is no (or very little) detail on the methodology and proposed analyses.

D. Expertise of the Research Team

7 = The research team collectively have outstanding academic qualifications, as well as excellent topic based knowledge and experience to undertake the proposed research. They have an outstanding publication track record in major peer reviewed scientific journals as well as other professional publications, and/or substantial experience in disseminating research results.

4 = The research team collectively have the academic qualifications, topic based knowledge, and experience to undertake the proposed research. They have a track record of publication in peer reviewed scientific journals and other professional publications, and/or experience in disseminating research results. There are some areas, however, where this has not been fully demonstrated.

1 = The research team collectively have inadequate and/or inappropriate academic qualifications or research backgrounds to undertake the proposed research. They collectively have a weak publication record and there are serious doubts as to whether the research will be completed and disseminated appropriately.