2019 Guidelines

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

2019 Explorer Grant Application Guidelines

EX219

New Zealand Government

Table of Contents

Part A: What is an Explorer Grant?

1. Introduction

The HRC will provide seed support for transformative research at an early stage, prior to an application for greater investment through standard funding mechanisms. Explorer Grants are available in any health research discipline and are worth $150,000 (research working expenses only) for a term of up to 24 months. The grant is not available to provide long-term support for successful projects.

Transformative research has the potential to radically change our knowledge base by disrupting understanding of existing theories or concepts, or creating a new paradigm or pathway to a new field.[1] Transformative research is not restricted by discipline, and can include any health-related research in the clinical, kaupapa Māori, basic, behavioural, social, public-health and translational sciences. Transformative research encompasses novel hypotheses, methods, tools, technologies, and/or conceptual frameworks.

Assessment will focus on the research idea; the identity of applicants will not be disclosed to the assessing committee. Applicants must **not** name the investigator(s) or host in the body of the application but are encouraged to describe skills, experience and details of the research environment without direct reference to the people and host organisation involved.

The selection of successful proposals will not be the same as that for other HRC contracts. All proposals that meet the eligibility criteria will be assessed for compatibility with the scheme's intent; proposals will not be scored or ranked. All proposals that are considered eligible and compatible will be considered equally eligible to receive funding, and a random process will be used to select the proposals to be offered funding. A full description of the assessment process to determine eligibility, compatibility and which applications will receive funding can be found in Appendix 1.

2. Research Investment Streams

The HRC has established four Research Investment Streams (RIS) for the annual funding round:

- Health and Wellbeing in New Zealand: Keeping populations healthy and independent throughout life
- Improving Outcomes for Acute and Chronic Conditions in New Zealand: Improving outcomes for people with illness or injury
- New Zealand Health Delivery: Improving health and disability service delivery outcomes over the short-to-medium term
- Rangahau Hauora Māori: Supporting Māori health research that upholds rangatiratanga and utilises and advances Māori knowledge, resources, and people.

Applicants **must** select one RIS. The HRC does **not** provide advice on choice of RIS, as that decision is best made by the investigator. Applicants may change their final choice of RIS by creating duplicate applications and making a decision for the most appropriate RIS before the closing date for registration or submission.

3. Funding Results

Round	Applications	Awards
2013	116	3
2014	24	4
2015	45	4
2016	38	9
2017	34	11
2018	60	10

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[1] https://www.nsf.gov/nsb/documents/2007/tr_report.pdf

Part B: General Rules for Submitting an Explorer Grant Application

1.   Use of EX219 Form

1.1   When to use EX219 Form

The EX219 form must be used when submitting an Explorer Grant application in any Research Investment Stream.

1.2   Prior to Submission

The HRC only accepts applications online (HRC Gateway) (https://gateway.hrc.govt.nz). Prior to any submission, Named Investigators must have a Gateway account that must be updated annually. Key opening and due dates are in the section below.

Before submitting this application form, applicants should read:

- This document for eligibility and specific instructions
- Research Investment Stream details
- The appropriate *Peer Review Manual* to understand application assessment
- Guidelines on Ethics in Health Research
- Guidelines for Researchers on Health Research Involving Māori
- Guidelines for Pacific Health Research.

The regularly updated reference documents and forms are on the HRC website (www.hrc.govt.nz).

1.3   New Host Organisation

New host organisations (e.g. Independent Hosts), that have not previously been funded by the HRC, will be required to provide due diligence information before a contract can be offered and preferably before an application is submitted to avoid unnecessary work. Please contact the HRC for further information.

2.   Format

2.1   General Formatting

Proposals must be written in a clear, concise manner with sufficient detail to enable the reviewers to understand the scope and implications of the proposal.

Applications must be 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).

Use the correct HRC form as it contains special features.

Applicants must:

- Use Arial 10-point type font or larger
- Use default margins
- Use single line spacing
- Not exceed page limits.

2.2   Compliance

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

2.3   Additional Documents

No other documents are to be included.

3. Copies of Applications Required

3.1 Paper copy

Applications must be submitted on HRC Gateway and two printed copies sent to the HRC.

The two complete printed applications must be double-sided and stapled.

3.2 Electronic copy

Submit the form as a pdf file. Ensure that the pdf version meets page limits and that graphics and tables are converted correctly from the Word version.

Submit the budget information file in both xlsx and pdf formats. Use the HRC file as it contains special features used for HRC processes.

HRC Gateway will allocate file names.

Important

The application is submitted to the host Research Office when the applicant uploads the files through HRC Gateway. The application will be forwarded to the HRC after host Research Office approval. Always allow sufficient time before the HRC closing date for this approval step.

3.3 Do not Send Files

Do not send these files directly to the HRC. Independent researchers and research providers requiring assistance with using HRC gateway should contact the HRC in the first instance.

3.4 Returned Applications

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

4. Closing Dates

4.1 Registration and Submission of Full Application Online

All Named Investigators must have a user account on HRC Gateway (https://gateway.hrc.govt.nz).

The closing date for applications to be submitted online to HRC is **1pm on 31 October 2018**. Applications are released to the HRC only after approval by the applicant host Research Office. It must be submitted to the HRC online by the closing date and time.

4.2 Submission of Paper Copies

The online system creates a single PDF document of the complete application by merging the uploaded application form with the online registration details for processing and printing. Send two copies of the System-generated version to the HRC by **5 pm on 2 November 2018.**

4.3 Incomplete Applications

Incomplete applications will not be considered. Their status on Gateway will be marked as 'deleted/withdrawn'.

5.   Privacy Provisions

Assessment will focus on the research idea and the identity of applicants will not be disclosed to the assessing committee.

5.1   Statistical Purposes

The information provided in an application will be used for assessing that application and, in a non-identifiable form, some information will be used for HRC statistical and reporting purposes. The HRC undertakes to store all applications in a secure place, which may include storing the information in the National Research Information System (NRIS) curated by MBIE with details provided by funders of the science sector.

5.2   Personal Information

Personal information contained in the application will not be available to members of the HRC Committees relevant to the review of the application.

5.3   Media Release

The HRC publishes details of research contracts including First Named Investigators', host organisation, contact details (work phone or email), research title, lay summaries and funding awarded for public interest purposes and to meet the statutory requirements of the Health Research Council Act 1990.

5.4   Official Information Act

Official Information Act requests for information about an application or research contract will be discussed with the host organisation and investigator before responding to the request. Where appropriate, the request may be transferred to the host organisation.

6.   Mailing Address

The application should be sent to the HRC office address:

Mailing Address:	**Physical/ Courier Address:**
Research Investments & Contracts Group	Research Investments & Contracts
Health Research Council of New Zealand	Health Research Council of New Zealand
P O Box 5541	3rd Floor, ProCare Building
Wellesley Street, AUCKLAND 1141	110 Stanley Street, AUCKLAND 1010

7.   Enquiries

All enquiries related to HRC applications should be directed in the first instance to the Research Office of the applicant's host organisation.

Where the Research Office cannot assist, or for technical enquires relating to applications, contact the HRC:

Vernon Choy	Telephone: (09) 303 5206	Email: vchoy@hrc.govt.nz
Melanie Duncan	Telephone: (09) 303 5215	Email: mduncan@hrc.govt.nz
Lucy Pomeroy	Telephone: (09) 303 5216	Email: lpomeroy@hrc.govt.nz
Toni Liu	Telephone: (09) 303 5207	Email: tliu@hrc.govt.nz

Part C: Completion of the EX219 Form

1.   Use of EX219 Form

Module 1 of the application must be completed on HRC Gateway to receive an HRC Ref ID#. Module 5, Research Classification, must also be completed online. The form contains a coversheet and Modules 2-4. The form can be downloaded and completed before being uploaded to HRC Gateway as a pdf file. The completed application will be compiled by HRC Gateway; it can then be accessed for downloading and printing.

Remember:

- Do not merge tables.

- Use the original document. Do not copy and paste into a new document as this can drastically change fonts and remove other features required for HRC processes.

- Input HRC Ref ID # and Research Title on the coversheet.

2.   Module 1: General Information

Module 1 information, identifying applicants, is not provided to the assessing committee, it is used for HRC purposes only.

Research Investment Streams

Choose the appropriate application type and Research Investment Stream from the selection list on HRC Gateway. The HRC cannot re-assign applications that are entered into the wrong stream. If you wish to change streams while applying, you need to create a new registration on Gateway. Interpretation of the Investment Signals is the responsibility of the applicants.

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 (e.g. 'growth factors' contains 14 characters). Do not use all uppercase type.

Host Organisation

The host organisation is the institution or organisation that will be responsible for administering any contract awarded. For example, for those applicants at Wellington School of Medicine, Dunedin School of Medicine or Christchurch School of Medicine, the host organisation is the University of Otago

Select the relevant '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.

Please 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 'Host organisation details' will appear in the next section and the name of the host organisation should be entered here.

Research Location(s)

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, Christchurch School of Medicine" 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

Make a choice from the scrollable dropdown list.

Duration

Enter the proposed term of the research (months), up to 24 months.

Type of Research

Choose from the dropdown list what you consider the most appropriate term for broadly describing the research proposal for assessment purposes.

Commencement Date

Enter the proposed commencement date. Please note that contracts cannot be activated until 1 April 2019 at the earliest. Recipients are required to begin within three months of contract offer.

Lay Summary

The lay summary is important. It will be considered by the HRC Council when final funding decisions are made. The lay summary should be a statement of not more than 150 words suitable for dissemination to, and understanding by, a lay audience, eg in a media release. Include a description of the following:

a)   Exploratory and innovative aspects

b)   Principal methodologies

c)   Why your research could be considered potentially transformative.

Also ensure the content has been reviewed and is in a final form ready for publication if needed. Note that if project objectives are modified, the first named NI will need to submit a revised lay summary.

First Named Investigator

Some of this information will be automatically populated from the First Named Investigator's profile in Gateway (e.g., Organisation and department). Please note that the FTE of the First NI will default to 1 – this will need to be updated. If the profile is not current, details will need to be updated. The details listed on the application will be automatically refreshed after the profile is updated. Click on the 'Update' button to enter and update the information requested.

The First NI 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 NIs. All correspondence for the application will be addressed to this person and the host. Only the First NI will be cited by the HRC in its press release on successful applications. Once an application is created, the First NI cannot be changed. Please ensure that Investigator details are correct as CVs are not being collected for this grant type so the HRC is unable to cross reference Module 1 Investigator details with their CV. The identity of applicants will not be disclosed to the assessing committee.

The ethnic identity column is optional and is used for HRC information purposes only.

Named Investigators

All NIs must be registered users of HRC Gateway before they can be added to the application. User profiles must be updated before starting an application so that the current details are in the application. Click on the "Update" button to enter information as requested.

Role in project should include brief information on what the investigator will undertake in the project (1-2 sentences max).

Information on ethnicity, gender and whether the researcher is a clinician (and is practicing) is used for HRC information purposes only. Please note ethnicity, iwi, clinician, or practising clinician are not required to be entered as these details will automatically populate from the individual person profiles. Each named investigator will need to sign-in to HRC Gateway and check and update their details before Explorer Grant applications are submitted.

FTE for each NI is also required.

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.

You may wish to designate a hapū, iwi or Māori organisation conducting the research that needs to be acknowledged in their own right as investigators on the application. It is still essential to list supporting NIs.

Research Cost

Budget information is not required for Explorer grant applicants. Explorer Grants are worth $150,000 (research working expenses only).

List of NIs

The title (eg Associate Professor, Dr), First name(s), Middle name(s) and Surname should be entered for all other NIs. NIs are defined as those researchers duly responsible for the conduct of the proposed research (this may include subcontractors who are NIs). Typically, these persons would be those doing the research. "Role" covers position or skills in the project, eg, Data Manager, Synthetic Chemist, and Statistician. The ethnic identity column is optional and is used for HRC information purposes only.

You may use this table to designate a hapu, iwi or Māori <u>organisation</u> conducting the research that need to be acknowledged in their own right as investigators on the application (insert into column "Title").

3. Module 2: Proposal

3.1 Section 2A – Summary of Proposed Research (1 page only)

This section should clearly summarise the research proposal. The summary should be a maximum of **one page**. A clear and succinct summary including all the important points of the application can help Assessing Committee members get an overview of the proposal and are useful as a quick reference. Use the headings provided.

Applicants must **not** name the investigator(s) or host in the body of the application but are encouraged to describe skills, experience and details of the research environment without direct reference to the people and host organisation involved.

3.2 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 a multidisciplinary and broadly experienced Assessing Panel. It is in your best interest to structure your discussion in a clear and logical fashion. Ideally, seek feedback from outside your immediate research area.

Transformative nature of the research (3-page limit)

The transformative research description below maintains the core elements of the National Science Foundation definition of transformative research[2] (applied in previous years) and includes additional information for clarity. Collectively this description is intended to convey the uniqueness of transformative research while not being overly detailed and restrictive of the essential element of free and creative thinking.

Transformative research description:

- has the potential to radically change our knowledge base by disrupting understanding of existing theories or concepts, OR has the potential to create a new paradigm or pathway to a new field[3];

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[2] *a range of endeavors which promise extraordinary outcomes, such as: revolutionizing entire disciplines; creating entirely new fields; or disrupting accepted theories and perspectives – in other words, those endeavors which have the potential to change the way we address challenges in science, engineering, and innovation.*

[3] https://www.nsf.gov/nsb/documents/2007/tr_report.pdf

- is not restricted by discipline, and can include any health-related research in the clinical, kaupapa Māori, basic, behavioural, social, public-health and translational sciences;

- may be challenging to accept;

- encompasses novel hypotheses, methods, tools, technologies, and/or conceptual frameworks;

- embraces a flexible and exploratory approach to a question[4], and may be interdisciplinary;

- is likely to be untested and lacking supporting data; and

- is not incremental - a next step or extension to current research.

The proposal should not be for an idea which is well-developed enough to submit to another HRC funding mechanism.

Viability of the research (2-page limit)

Explain your approach and methodology. Preliminary evidence is not essential; however, you should describe the viability of your proposal. What can be achieved within the term of the grant? Describe how your research environment is conducive to conducting this research.

Research Impact (300-word limit)

Describe the research impact with respect to Research Investment Goals (at least one goal in HW or IOACC, or six goals in RHM, or one goal in NZHD). An impact on knowledge is valid, and the idea need not be immediately applicable in terms of a health outcome. Comment on your plans for knowledge transfer.

4.   Module 3: References

References for Section 2B should be listed in Module 3

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 <u>full list of all author(s)</u>, title of article, journal, year, volume and page numbers. If references are multi-authored, there is discretion to limit the author list to a more convenient number to fit any space limitations. **Do not place asterisks beside applicant's publications.**

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

5.   Module 4: Contract Information and Budget

5.1   Section 4A – Milestones and Objectives

This information is entered on HRC Gateway. Milestones and objectives **will be** included in an awarded research contract and used for contract reporting templates.

Objectives

Briefly describe the intended deliverables of this research application. Objectives should be **clear** and **measurable** to allow evaluation of research performance of an awarded contract.

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. Remember that any contract will be monitored, and progress measured against the milestones and objectives provided in this proposal.

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[4] https://www.rand.org/pubs/research_reports/RR506.html

5.2   Section 4B – Research Proposal Budget

Budget information is not required for Explorer Grant applications. Research working expenses, to a maximum of $150,000 excl. GST, can be funded. Working expenses include 'direct costs' only.

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 on research applications.

- 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 <u>directly</u> 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 organisation of its obligation to assist with the costs of overseas travel by its employees.

- Stipends for Masters or PhD students may not be included.

- 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 or conference dissemination can be claimed).

- Casual staff without an ongoing role or commitment to the research.

- Amounts requested for employer's contribution to approved superannuation schemes and accident compensation levies for casual research staff are considered working expenses.

The following expenses that will not be supported as research working expenses, and for the purposes of this grant type, are considered the research host contribution to the project; contributions to property costs or laboratory space, or room rental at the host organisation, cost of staff appointments, utility charges such as lighting, heating and water, telephone installation and 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.

Only successful applicants are required to submit a budget file. Applicants must have host organisation support to share in the costs of the research, by covering the investigators' salaries and institutional costs associated with the research. The host organisation associated with a subcontracted named investigator

must agree to share in the costs of the research by covering that investigator's salary and institutional costs.

6. Module 5: Research Classification

This is for HRC evaluation purposes only and is completed online. The information is not used in allocating funding.

6.1 ANZSRC and Keywords

Categorise the proposed research using the ANZSRC codes for the Fields of Research (FOR) and Socioeconomic Objective (SEO). Enter the percentage to the nearest 10% for each category to a total of 100%.

Enter keywords that categorise the research.

6.2 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.

6.3 Category and Health Issue

Portfolio 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	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.	

Health Issue

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

Appendix 1: Assessment Process

The following three-step assessment process will apply:

1. **A proposal's <u>eligibility</u> to be considered for funding is confirmed**.

To be eligible for assessment three criteria must be met:

- The proposal must identify which Research Investment Stream it is addressing, but does not need to provide detailed explanation. This is to ensure that proposals remain within the scope of what HRC currently considers to be the important areas for investment. Fit to the HRC's Investment Streams may be reviewed; proposals outside the scope will be excluded, with the decision of the Assessing Committee Chair considered to be final.
- The proposal must have host organisation support. The submission of the application by the host will be taken as agreement to cover research costs other than those supported by the HRC.
- The application conforms to the prescribed format.

Eligibility will be reviewed by the HRC Research Investment Manager, and the Assessing Committee Chair, in advance of assessment by the full committee. Ineligible proposals will not proceed to the next step. The Māori Health Committee will provide comment on applications in the RHM stream.

2. **Compatibility of the proposal with the scheme's intent is confirmed by the assessing committee**.

The purpose of this step is to eliminate any proposals that do not meet the scheme's intent, not to determine a score or a rank order of proposals. A panel of assessors will be appointed by the HRC. All eligible proposals will be assigned to a subpanel of approximately 3 assessors, who will be asked to confirm (<u>not score</u>) for each proposal that the two criteria listed below are met:

- The research is potentially transformative

The subpanel must decide by majority that a proposal is potentially transformative. There is no universally accepted definition of transformative research. The assessing panel will apply the core elements of the USA National Science Board definition of transformative research[5], alongside additional information for clarity, captured in the following bullet point descriptors of transformative research:

- ➢ has the potential to radically change our knowledge base by disrupting understanding of existing theories or concepts, OR has the potential to create a new paradigm or pathway to a new field[6];
- ➢ is not restricted by discipline, and can include any health-related research in the clinical, kaupapa Māori, basic, behavioural, social, public-health and translational sciences;
- ➢ may be challenging to accept;
- ➢ encompasses novel hypotheses, methods, tools, technologies, and/or conceptual frameworks;
- ➢ embraces a flexible and exploratory approach to a question[7], and may be interdisciplinary;
- ➢ is likely to be untested and lacking supporting data; and
- ➢ is not incremental - a next step or extension to current research.

The subpanel is encouraged to focus on strengths and potential of an application. An impact on knowledge is valid, and the research results may need not be immediately applicable in terms of a

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[5] *a range of endeavors which promise extraordinary outcomes, such as: revolutionizing entire disciplines; creating entirely new fields; or disrupting accepted theories and perspectives – in other words, those endeavors which have the potential to change the way we address challenges in science, engineering, and innovation*

[6] https://www.nsf.gov/nsb/documents/2007/tr_report.pdf

[7] https://www.rand.org/pubs/research_reports/RR506.html

health outcome. Applications assessed as being potentially transformative would be considered to have potential for impact on the health, social and/or economic goals of the Research Investment Stream.

- The proposal is exploratory but viable

  The subpanel must decide by majority that the proposal is viable. The assessing panel will be asked to confirm that the idea and methodology are potentially viable, the research environment is appropriate and that sufficient progress can be made within the term of the grant.

Prior to the assessment meeting, each assessor will return their judgement about the two criteria for each assigned research proposal, along with a supporting statement to justify how the transformative criterion is or is not met. Those proposals for which there is <u>unanimous</u> agreement that the transformative criterion is met and majority agreement that the viability criterion is met will enter the pool of potentially fundable proposals and will not be discussed at the assessment meeting. The subpanel will have the opportunity to discuss those proposals for which there are discrepancies of opinion about the two criteria at a subpanel assessment meeting. After discussion, these proposals will be re-evaluated by each assigned assessor, and those proposals for which there is a <u>majority</u> agreement that both the transformative and viability criteria are met, will be added to the pool of potentially fundable proposals.

3. <u>Random selection</u> of proposals to receive funding.

All proposals that have been judged compatible with the scheme's intent are equally likely to receive funding. These proposals will be randomly ordered, with funding offered to the first ordered proposals up to the limit of the available budget. The funding recommendations will be presented to the HRC Council for approval.