Guidelines

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

December 2018

2019 Ngā Kanohi Kitea Full Project Application Guidelines

(NKKFP219)

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Introduction

Developing Māori capability and knowledge is the prime focus of Ngā Kanohi Kitea community research grants. The grants provide opportunities for iwi, hapū and other community groups to address community identified health needs. This initiative is consistent with the Hauora/Oranga research theme of Vision Mātauranga - a Vote Research Science & Technology-wide policy framework designed to unlock the innovation potential of Māori knowledge, resources and people. It is also consistent with the Ministry of Health's *He Korowai Oranga, Māori Health Strategy* and approaches to health and wellbeing which improve Māori health outcomes.

1.   Development Grants

Not all applicants will have a history of funding successes with agencies such as the HRC. To assist in project development, applicants will have the opportunity to apply for funds that will support them to develop a full project proposal. It is envisaged that the Ngā Kanohi Kitea Development Grant will be used to assist applicants in preparation for submission of a full proposal by obtaining independent and reputable expert advice. However, the HRC also acknowledges that additional resources and support may be needed for community-based groups with limited research expertise and experience. Development phase funding may not exceed 5% of the total proposed budget (in the full project application). For example; if your total research cost is $50,000 you can then apply for a development grant to the total amount of $2,500 likewise if your total research costs are $100,000 then $5,000 may be granted. For full project applications totalling $200,000 the maximum available for the development grant is $10,000.

Note: Applicants may bypass the development phase and submit a full application.

2.   Full Project Grants

Full project grants are available and range from $50,000 to $200,000. It is expected that applications for funding ranging from $50,000 to $100,000 will have for example; one to three specific objectives that are achievable within a 12-month period. Full project grants of $100,000 and over are designed to investigate a well-defined research question over the maximum term of 18 months.

All applications should be **hosted and led** by an iwi, hapū or other community-based group or organisation. They may involve a partnership with a larger research entity (e.g. university) but must be clearly driven by the needs and focus of the community or community organisation. The research team may decide to staircase their research. Stair casing allows applicants to build up a research portfolio by firstly applying for smaller grants (e.g. $50,000 - $100, 0000 range) within the fund to gain research experience and develop a research team. This can be done by looking at a small project or one or two objectives of a larger project. Once experience is gained teams will benefit over time by then applying for the maximum total of up to $200,000 for a full project grant. This allows for relatively inexperienced teams to develop their expertise rather than competing for the maximum fund with teams that may have already done so in previous rounds.

Please note that the funding available is **not** intended to fund costs associated with a PhD, nor fund an evaluation of **one specific** programme or service. Applications for **Whānau Ora** will be excluded as applicants will need to apply to the appropriate funding bodies.

This research funding is targeted at groups who have not had significant research funding but want to build their capability in this research area. That said, the research team should comprise the necessary expertise to complete the project.

Part A: Rules for Submitting the NKKFP219 Application Form

1.   Use of NKKFP219 Form

1.1   When to Use NKKFP219 Form

The NKKFP219 form must be used when applying for a Ngā Kanohi Kitea Full Project.

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 current Gateway account, that must be updated annually. Applicants must register the application to receive an application reference number (HRC Ref ID #) before they can complete and upload their application form. Key opening and due dates are announced on the HRC website (www.hrc.govt.nz), HRC Gateway, and in the *HRC Update*.

Before submitting this application form, applicants should read:

- This document for eligibility and specific instructions
- Guidelines on Ethics in Health Research
- Te Ara Tika and Guidelines for Researchers on Health Research Involving Māori

The regularly updated reference documents and forms are on the HRC web site (www.hrc.govt.nz). Research Office (if applicable) staff should be able to answer most enquiries relating to applications, and applicants should approach them for assistance in the first instance.

1.3   New Host Organisation

The HRC is required to undertake due diligence of new host organisations (e.g. Independent Hosts) that have not previously been funded by the HRC. 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 HRC published 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 Application

Applications must be submitted on the 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 created by using the pdf function in MSWord or other pdf generator. Ensure that the pdf version meets page limits and that graphics and tables are converted correctly from the Word version.

HRC Gateway will allocate file names.

Important

The application is submitted to the host Research Office when the applicant uploads the files through the 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. If a Host does not have a Research Office, the application will be submitted directly to the HRC.

3.3 Do Not Send Files

Do not send files directly to the HRC. Independent researchers and research providers requiring assistance should contact the Senior Manager, Māori Health Research Investment at the HRC for information if they have difficulty.

4. Closing Dates

4.1 Registration and Submission of NKK Application Online

Upload the NKKFP219 file using the HRC Gateway.

All applicants are required to register their application before uploading the completed application form. The closing date for registration and online submission to the HRC is **1 pm on 13 March 2019**. The application is released to the HRC only after approval by the Research Office (if applicable). It must be submitted to the **HRC** online by 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 **5pm on 15 March 2019**.

4.3 Incomplete Applications

Incomplete applications will be deleted from the HRC Gateway after the closing date.

5. Privacy Provisions

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 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 institution, 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 institution and investigator before responding to the request. Where appropriate, the request may be transferred to the host institution.

6. Mailing Address

Paper copies of 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

The HRC Gateway will show the status of any proposal. Do not contact the HRC for application status.

7. Enquiries

All enquiries related to Ngā Kanohi Kitea research applications should be directed in the first instance to the Research Office of the applicant's host institution.

Where the Research Office cannot assist, or for technical enquiries relating to applications, contact the Senior Manager, Māori Health Research Investment at the HRC:

Mr Stacey Pene   Telephone: (09) 303 – 5225   Email: spene@hrc.govt.nz

Part B: Completion of the NKKFP219 Form

Module 1, Section 1A of the Full Project application must be completed on the HRC Gateway. The NKKFP219 Form contains a coversheet and Module 1, Section 1B, Module 2, Module 3, Module 4, and Module 5, Section 5A – 5D. The form can be downloaded and completed before being uploaded to the HRC Gateway as a pdf file. The completed application will be compiled by the HRC Gateway; it can then be accessed for downloading and printing.

1.   Use of NKKFP219 Form

Please use the original NKKFP219 form as it contains special features:

- Complete all sections following the instructions on the form and described in this Guideline.

- Enter the HRC Ref ID and NI Surname on the coversheet.

2.   Module 1: General Information

Section 1A

Note: This section must be entered using the HRC gateway.

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.

Research Location(s)

This is the specific area/region/rohe where most research or data analysis will be undertaken. For example, Whakatane, Bay of Plenty, is an example of a research location.

Discipline

Select from the drop-down box or type in your own words.

Duration

Specify the intended duration of the full research project.

Type of Research

Choose from the drop-down list what you consider the most appropriate term for broadly describing the research proposal for assessment purposes. The HRC reserves the right to assign applications to the most appropriate Science Assessing Committee.

Commencement Date

Enter the proposed start date for the research.

Likely Cost of Research

The likely amount requested from the HRC for the Full Project Grant.

Lay Summary

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

Named Investigators

All NIs must be registered users of the 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 EOI applications are submitted.

FTE for each NI is also required, as the assessing committee needs to know the level of commitment or responsibility of each team member. It is particularly important to identify more junior investigators who may undertake key components for the proposed research.

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 (evidence of this must be provided in the CV). 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.

Section 1B

Tribal Affiliation

This information is required for committee administration purposes.

Advisors/Independent Expert and Subcontractors

List here all personnel advising the team on relevant parts of the research project and/or proposal; subcontractors may be included.

3. Module 2: Proposed Research

The page limit for this Section is **ten pages** (excluding references).

The section headings provided should be used. The assessing committee membership is broadly discipline-based, matched to the range of applications assigned to that committee, so not all members will have working knowledge of every research topic. Write the proposal for scientists with a general understanding of the 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.

Health issue being addressed

Outline the issue you intend to address in the research project (e.g. water quality, asthma in children)*.* The page limit for this subheading is one half page.

Rationale for undertaking this research

Discuss why this piece of research is important to iwi/hapū/community and identify how the health need has been identified by the iwi/hapū/community. The page limit for this subheading is one half page.

Proposed research methodology

Outline how you will address the topic and include the aims and research question(s). Who are the participants? How will they be recruited? What data is needed and how will it be collected? How will the data be analysed and interpreted? How will quality of data collection and analysis be managed? Are there any key ethical issues that need to be considered?

Note: An Independent Expert may be required to assist with this section.

Potential gains from this research in relation to health issue

Discuss how this research will contribute to improving Māori health with regards to the health issue being addressed. What other potential outcomes could the result from the research?

Involvement of community/partnerships

Outline how community will be involved in the research. How will partnerships with iwi/hapū/community inform, and be demonstrated throughout, the research?

Proposed research team

List the names of the proposed team, their roles and areas of expertise, and state the nature of expert advice sought, and the cultural competency of team members (e.g. who your expert advisors are, how will they be associated with the application and beyond, what will their role be in the research project).

Proposed host institution

Include background information on how the research idea was generated, how and why the host institution became involved/how the partnership with iwi/hapū/community was established.

Dissemination strategy

Discuss strategies for disseminating your research findings, and the potential for translating your results to the wider community.

References

Include references to published research supporting your proposed research in this part of the form. Do not extend the research description into the references page.

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 applicant's publications. If references are multi-authored, there is discretion to limit the author list to a more convenient number to fit any space limitations.

There is no limit to the number of reference pages. The reference page(s) do not form part of the page limit for Module 2.

4.   Module 3: Relevance to Specific Population Groups

Section 3A

Identify whether your proposed research involves any of the HRC's priority populations by ticking the relevant sections in the table provided.

Identify iwi, hapū, or other community groups consulted regarding the application. Explain why and how they were selected, indicate their recommendations, and whether they will have a role in the continued development and/or implementation of this research project.

Section 3B

Describe how the research project will build capability of those involved and contribute to the development of a highly-skilled Māori health research workforce.

Identify other priority populations that were consulted regarding this application. Explain how and why they were selected, indicate their recommendations, and whether they will have a role in the continued development and/or implementation of this research project.

Identify whether the research will generate data specific to one or more of the priority populations.

5.   Module 4: Biographical Sketches

This section is to be completed for each investigator named on the Full Project application. The information required includes contact information, ethnicity data, any qualifications achieved, and any awards/scholarships received.

List Any Other Experience Relevant to This Research Application (one page maximum)

Describe any other experience that is relevant to the research being undertaken. This may include previous work undertaken with iwi/hapū/community groups, other research experience, etc.

Publications

State the total number of publications for each NI in the space provided. Do not include abstracts, proceedings, or letters.

NIs should list all their peer-reviewed publications from the previous five years, starting with the most current publications and working backwards chronologically. Identify the publications most relevant to the proposed research by bolding the **Author(s) name**. You may include citations, impact factors, and/or journal rankings.

Other Forms of Research Dissemination (one page maximum)

Use this section to describe other forms of research dissemination relevant to the proposed research, (e.g., media broadcasts, conference papers, editorials, newspaper articles, monographs, reports to groups, government publications, etc.)

6. Module 5: Contract Information and Budget

Sections 5A – 5D are parts of the form.

Section 5E – entered online (Milestones & Objectives)

Sections 5F – 5H are to be completed on the separate Excel file (NKKFP219budget.xlsx).

Section 5A: Justification of Expenses

Justification of Research Staff

Use this section to justify the role and %FTE of the NIs and any other research staff for whom biographical sketches have been provided. Also explain the role of ALL OTHER personnel (named or un-named, funded or not funded by the proposal), 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 postdoctoral fellows should be justified here, but it is recommended that named postdoctoral fellows provide a biographical sketch. Science Assessing Committees may consider not awarding funds for roles that are not fully justified or are simply described as a "training opportunity". Evidence that biostatisticians, data managers and health economists are integrated into the team as appropriate e.g. sufficient FTE is allocated for each year of the contract. 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 Science 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 Science Assessing Committee to understand the appropriateness. Clearly justify the roles of students (must be named) and casual staff so that the Science 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. The HRC encourages the inclusion of allowable costs associated with knowledge transfer activities.

List all supporting budget documents in Section 5D (Letters of Collaboration/Supporting Documents List) and attach to the end of the printed paper copies of the application (not required on uploaded application).

Section 5B: Previous/Current Contracts and Awards

List 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. Copy the table and repeat for each received grant as required. This section is intended to provide the HRC reviewers and committee members with an overall summary of the first named investigator's abilities to secure research funding for this type of research.

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.

Note: The table and text after the heading of this subsection can be deleted and replaced by an Excel spreadsheet using the layout and required information in the original table.

Section 5C: Other Support

Other Research Applications Awaiting Decision

List in this section the applicant's research applications pending with other funders. If applicable, indicate in the spaces provided any overlap (research, resources and personnel) that the listed application might have with this application. **The applicants agree that the HRC may seek clarification details from the other funders if required**.

Applicants should disclose and provide details of any significant relationship to third parties (e.g., commercial sector entities contributing to project costs, equipment, staff joint appointments). 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.

Provide details if the applicant has approached other funders for co-funding of this research. If applicable, detail the joint funding arrangements.

Co-Funding

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

Financial and Other Interest(s)

For the purposes of HRC funding applications, a financial or other interest is anything of economic value or potential political/philosophical perspective, 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. Examples of other interests include alignment with special interest groups seeking to advance or promote a particular world view or policy.

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

Section 5D: Letters of Collaboration/Supporting Documents List

List any subcontracts/MOU, letters of collaboration, appendices and any other supporting documents.

The documents themselves should be uploaded separately into Gateway.

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.

Section 5E: Milestones and Objectives

This information is entered on the HRC Gateway. Milestones and objectives are **assessed** along with budget requests, included in an awarded research contract and used for contract reporting templates.

Poorly described objectives and milestones can affect application scoring, delay or rejection of the application from processing and/or requests for further details at contracting stage.

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.

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. There is no limit to the number of objectives and milestones.

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, e.g.:

Year	Milestone	Objective(s)
1	Recruit 200 patients for clinical study	Objective 2
1	Complete data entry and analysis (lab study)	Objective 1
2	Complete statistical analysis (clinical study)	Objective 2
3	Submission of manuscript to NZMJ	All Objectives

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

For contract monitoring, and HRC accountability reporting, if the research requires **ethical consent**, this should be identified as a milestone.

Section 5F: Research Proposal Budget

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

Budget calculations and spreadsheet

All calculations should be GST exclusive and be in whole dollar amounts, i.e. no cents or decimals.

The "Salary," "Working Expenses" and "Total Cost of Research" are components of Section 5F. The spreadsheet automatically calculates totals for each year of costs. Insert more rows into the table if required.

The "Total Cost of Research" shaded section automatically calculates all the figures in this box.

Do not enter any details into any shaded areas as these are completed automatically.

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, FTE and salary. 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, not annual salary. The budget does not accept FTE less than 3%. The HRC and Science Assessing Committees do not favour listing numerous investigators with a very low FTE and salary requests only when there is a significant input and involvement in the project. Advisory groups of contributors, who have FTE commitments less than 3%, may be a consideration for the research team.

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 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 using Section 5G. 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' for each year.

    b) If funding to provide a stipend for a PhD ($30,000 per year) or Masters Student ($20,000 per year) is requested, the student must be named. Enter Masters and PhD stipends (for named students only) into 'Working expenses – Materials and Research Expenses'.

    c) Casual Staff (those persons without an on-going 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 5 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 5A. 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 **only if NI is 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; contributions to property costs or laboratory space, 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. Such institutional costs are included in the overhead costs paid on an HRC Contract.

Subcontracts/Memorandum of Understanding (MOU)

Subcontract staff are not employees of the host institution. The salaries for these staff 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 5G (MOU Budget). Attach a copy of the subcontract/MOU at the end of the printed paper copy of the application **if available**. MOUs should also be provided for time only subcontracted staff not employed by the host.

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 budget. 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, the total cost of the research will be automatically calculated. Enter this amount in the online section of the research application.

Section 5G: MOU Budget

When a substantial proportion of the total budget of a research proposal is contained in a subcontract/MOU, the expenditure must be itemised in the same way as the overall research proposal budget (see above). Use Section 5G to provide budget details for all MOU requesting more than $50,000; add a copy Section G for each subcontractor. 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' and a copy of the subcontract/MOU should be attached to the end of the printed paper copy of the application.

A biographical sketch should be provided in Module 4 for all NIs on MOU to enable the Science Assessing Committees to determine whether the investigator's expertise is appropriate and/or necessary. Without this information the Science Assessing Committees may decide not to support the budget for the MOU. CVs are not necessary for employees of commercial enterprises providing service for fees. If you require any further advice contact one of the HRC Project Managers.

All subcontracts/MOU should be listed in Section 5D (Letters of Collaboration/Supporting Documents List). If there are no subcontracts/MOU for this application, or none requesting more than $50,000 you may delete or ignore Section 5G.

Section 5H: FTE Summary

List the time involvement of ALL personnel (including those on a subcontract/MOU) in terms of Full Time Equivalents, e.g., 10% FTE. Give all names (for un-named positions, indicate as "Technician", "Research Nurse" and "Postdoctoral Fellow", etc.). Half percentages (e.g., 3.5%) are not allowed. Indicate when NIs are "Time Only" (i.e., **not** receiving salary for their involvement in the project). Identify all Postgraduate students by "Masters" or "PhD" as well as by their names. Ensure the FTE figures are the same as those in the budget and MOU budget sections (Sections 5F and 5G). Heads of Department will be required to agree 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.

7.   Module 6: Research Classification

Module 6 is for HRC evaluation purposes only. The information is not used in allocating funding.

Section 6A   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.

Section 6B   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.

Section 6C   Category and Health Issue
Portfolio Mapping Category
Enter the requested information on the 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.	

Health Issue

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.

Appendix 1: Assessment Criteria for Ngā Kanohi Kitea Full Project Research Applications

This section summarises the scoring criteria that are applied by the Ngā Kanohi Kitea assessing committee. For each of the criteria, a 7-point scale is used with the descriptors listed in the table below.

Score	Criteria Descriptor
7	Exceptional
6	Excellent
5	Very good
4	Good
3	Adequate
2	Unsatisfactory
1	Poor

Fit with 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 project originated and is clearly driven by the aspirations of the community. The application is hosted by a suitable organisation and the ongoing community involvement is appropriate. The project will provide a Māori community with significant opportunities to build their research capacity. The project has the potential to significantly advance knowledge relevant to Māori health.
4	The applicants have attempted to align the proposed research with the objectives and requirements as stated in the Request for Proposals document but does not sufficiently address the objectives and requirements to provide the desired outcomes of the RFP. There is some community involvement in the project. The project will provide a Māori community with some opportunities to build their research capacity. The project will provide some new knowledge relevant to Māori health.
1	The applicants have not aligned the proposed research with the objectives and requirements to provide the desired outcomes of the RFP. There is no community involvement in the project and the project will not build research capacity.

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, and clearly incorporate culturally appropriate methods for data handling and involvement of Māori participants. The statistical power (where appropriate) is sufficient to ensure a definitive outcome and the statistical analyses are well developed. A qualitative sampling and analytic frame (where appropriate) is provided and justified. 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 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.

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.

Expertise and Track Record of the Research Team

7	Collectively, the research team has excellent topic based knowledge and experience to undertake the proposed research. Research proposals received from iwi, hapū and Māori organisations, have demonstrated outstanding application of relevant evidence-based practice consistent with research principles in service development and delivery. The application also indicates that culturally relevant and appropriate methods for dissemination are well understood and clearly demonstrated.
4	Collectively, the research team has adequate topic based knowledge and experience to undertake the proposed research. Research proposals from iwi, hapū and Māori organisations, will have demonstrated application of relevant evidence-informed practice consistent with research principles in service developments and delivery. The application also indicates that culturally relevant and appropriate methods for dissemination are understood, however, there are some areas where this is not fully apparent.
1	Collectively the research team has inadequate topic based knowledge and experience to conduct the research. Research proposals received from iwi, hapū and Māori organisations, have not demonstrated application of relevant evidence-based practice consistent with research principles in service developments and delivery. There are also serious doubts that the proposed research will be completed and disseminated with a good understanding of appropriate Māori dissemination methods.