

# 2019 Pacific Emerging Researcher First Grant



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

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## 2019 Pacific Emerging Researcher First Grant Application Guidelines (Pacific FG)

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# Part A: What is a Pacific Emerging Researcher First Grant?

## 1. Introduction

These grants are available to provide research funds to support indigenous Pacific<sup>1</sup> emerging researchers who are seeking to establish independent careers in health research and who have NOT previously held a competitive research grant for research expenses of ≥\$100,000 from any source (including institutional or internal funding). Each award is limited to a maximum of \$250,000 over a maximum of three years. Research proposals should represent an independent research stream, with the applicant able to undertake overall responsibility for the work to be completed. These contracts do not include salary for recipients, who will require salary support from elsewhere. Other academics, professional supervisors or senior researchers may be included as Named Investigators on a **time-only** basis.

An emerging researcher is:

"Someone who is at the beginning of their research career in health with a clear development path and is working in a strongly supportive research environment".

Overarching requirements for emerging researchers in any discipline are demonstrated research capability and a desire to establish an independent health research career. Applicants should detail the extent to which this grant will support them as independent researchers and how it will enable a step change in their career. The applicants need to describe how the grant will support the development of a new research programme. Note that the award can be seen as 'seeding' funding for the applicant's future research.

Assessment will consider the Suitability of the Applicant, Rationale for Research, Design and Methods, and Research Impact. Applicants are encouraged to read the Peer Review Manual for detailed

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<sup>1</sup> While the HRC does not have a standard definition of Pacific peoples, it recognises the diverse and unique cultures of the various Pacific ethnic groups. Although some nations are named within the advice below and in the accompanying document (The Pacific Research Guidelines), this list is not exhaustive. Rather, we provide this advice in such a way as to assist potential applicants to clarify the groups that people identify with (or feel they belong to) and that this self-identification is the key measure of cultural affiliation (Stats NZ).

The term 'Pacific peoples' refers to those from the Pacific Island nations who have made New Zealand their home, those of Pacific Island parentage born in New Zealand, and those from the Realm of New Zealand Pacific countries: the Cook Islands, Niue, and Tokelau who are automatic New Zealand citizens. It excludes New Zealand Māori who are accorded a unique political and cultural status in New Zealand as the Tangata Whenua. Pacific peoples is a broad category encompassing a variety of Pacific Island nations and communities who are linguistically, culturally, and geographically distinct from each other.

Many Pacific Island groups also share some common cultural and genealogical links which have been passed down through generations and become part of Pacific people's common heritage, creating sustainable bonds and solidarity in New Zealand. Identification with other Pacific peoples provides them with a sense of collective identity and security in the midst of less familiar cultures in a globalised multicultural society. Factors which connect Pacific peoples together in New Zealand include similar notions of kinship, links between languages, common historical experiences as island-based communities, cultural networks, and shared genealogical heritage.

Many continue to maintain aspects of their cultural heritage in New Zealand through churches, communal gatherings, reciprocal exchange of goods, ceremonial occasions, and transfer of stories and values to their children. There are also significant differences in terms of language proficiency, world views, and understanding of identity between those born in the islands and those born in New Zealand. The different social conditions in which they have been socialised have shaped their perceptions and behaviours differently. For the new generation of Pacific peoples born in New Zealand, loss of native language competence is common. However, this does not necessarily mean loss of identity since there are other markers of identity other than language. Inter-marriage is common and some identify with more than two or three ethnic groups. This redefines the boundaries of individual and group identities as they embrace diversity. Some may not emphasise their Pacific heritage at all. Through the New Zealand national census, people's ethnic categories are self-defined. For Pacific peoples, this provides them with the opportunity to explore and affirm their individual and group identities in the context of New Zealand.

information, and become familiar with how the applications will be assessed by the external reviewers and assessing committee.

## 2. Eligibility Criteria

Applicants are eligible if they:

- Applicants should be New Zealand citizens or hold residency in New Zealand at the time of the application, and be of indigenous Pacific descent.
- have not previously held a competitive research grant as a first Named Investigator for research expenses of ≥\$100,000 from any source at the time of assessment (including institutional or internal funding), not at the time of application. Scholarship and fellowship stipends are not included, provided they do not exceed the \$100,000 expenses threshold.
- normally no more than 6 years from attaining a most recent postgraduate degree, but this period could be greater for parental leave, caring responsibilities, career breaks, ill health or other justified reasons.
- are developing an independent research stream.
- are not studying for a PhD degree.
- justify how they fit the definition of emerging researcher as defined above. The HRC reserves the right to accept the assessment of the assessing committee.

There is a clear distinction between eligibility, defined above, and suitability. Applicants are required to clearly state their suitability in Section 2B: Suitability of Applicant. The committee's assessment, that an applicant is not suitable because, for example, that applicant is already established in an independent research pathway or an established academic at Associate Professor grade or above, will be accepted by the HRC Council as final.

## 3. 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 of the HRC RIS after reviewing the Investment Signals, the General Guidelines and the Frequently Asked Questions (FAQ) documents. Assessing committees may score out of scope applications at the bottom of the scale for Research Impact (*HRC Peer Review Manual*) because those applications will not advance the goals or priorities of the RIS. This applies to applications that are **clearly** out of scope, not those that could be considered to fall within a 'grey' area (are relevant to more than one investment stream).

The HRC will not provide advice on which RIS to submit to, as the final decision is that of the investigator. Applicants may change this at any time until final submission. Only proposals that have been admitted to an incorrect stream due to administrative error can be reassigned after the closing date.

## 4. Funding

The HRC has allocated approximately \$0.5 M to Pacific Emerging Researcher First Grant contracts.

## Part B: Rules for Submitting the 2019 Pacific FG Application Form

### 1. Use of 2019 Pacific FG Form

#### 1.1 When to Use 2019 Pacific FG Form

The 2019 Pacific FG form should be used for Pacific Emerging Researcher First Grant applications in any investment stream.

#### 1.2 Prior to Submission of the Form

The HRC only accepts applications online (HRC Gateway) (<https://gateway.hrc.govt.nz>). Prior to any submission, Named Investigators must have a Gateway account and register the application to receive an application reference number (HRC Ref ID #) to use on the application form. Key opening and due dates are in Section 4 below.

Before submitting this application form, applicants should read:

- This document for eligibility and specific instructions  
Research Investment Stream signals and the Frequently Asked Questions documents
- *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 web site ([www.hrc.govt.nz](http://www.hrc.govt.nz)).

#### 1.3 New Host Organisation

The HRC is required to undertake due diligence of new host organisations (eg. 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 original 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 any page limits..

#### 2.2 Compliance

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

#### 2.3 Additional Documents

Any additional documentation (including letters of commitment/supporting documents) may be uploaded with the application form on the HRC Gateway. Details of co-funding commitments or funding from other sources, such as another Fellowship award, that are offered or confirmed after the closing date must be provided to HRC for the application file.

### 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

Upload the 2019 Pacific FG form using HRC Gateway.

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 satisfactorily presented.

Submit the budget information in the 2019 Pacific FG budget file in both xlsx and pdf formats. Use the HRC file as it contains special features used for HRC processes. Do not input anything in the coloured cells.

The 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 approval. Always allow sufficient time before the HRC closing date for Research Office signoff.

#### 3.3 Do Not Send Files

Do not send these files directly to the HRC. Independent researchers and smaller research providers requiring assistance should contact the Pacific Investment Manager for information if they have difficulty.

#### 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 Application Online

Although there is no separate closing date for registration of applications, this step is still required and must be signed off by the applicant's Research Office before the HRC Ref ID # is issued so that the full application can be completed.

The closing date for applications is **1pm on 4 July 2018**. No applications will be accepted **after 1pm** on the closing date unless **written** authorisation has been received from the HRC at least one week prior to the closing date.

Applications are released to the HRC only after approval by the applicant host Research Office or equivalent. Applicants should complete online submission of the application several days before the HRC closing date to allow for host Research Office processing.

#### 4.2 Submission of Paper Copies

The closing date for paper copies to reach HRC is **5pm on 9 July 2018**.

#### 4.3 Incomplete Applications

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

### 5. Privacy Provisions

#### 5.1 Statistical and Reporting 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 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 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 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

The application should be sent to the HRC office address:

### **Mailing Address:**

Attention: Pacific Health Research  
Health Research Council of New Zealand  
P O Box 5541  
Wellesley Street, AUCKLAND 1141

### **Physical/ Courier Address:**

Attention: Pacific Health Research  
Health Research Council of New Zealand  
3<sup>rd</sup> Floor, ProCare Building  
110 Stanley Street, AUCKLAND 1010

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

## 7. Enquiries

All enquiries related to HRC 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 HRC:

Tolotea Lanumata

Telephone: (09) 303 – 5224

Email: [tlanumata@hrc.govt.nz](mailto:tlanumata@hrc.govt.nz)

## Part C: Completion of the 2019 Pacific FG Form

Module 1 of the application must be completed on the HRC Gateway to register the application and receive an HRC Ref ID#. This form contains a Coversheet, Modules 2, Module 3 and Sections 4A-4D of Module 4. The budget file (Module 4, Sections 4E-4H) must be uploaded separately. Module 5 contains NI CVs that can be uploaded separately. Module 6 contains administrative information for successful applicants. Module 7 contains research classification data that must be completed online.

This form must be downloaded and completed by applicants before being uploaded to the HRC Gateway as a pdf file. CVs and budget file are also to be uploaded separately. The completed application will be generated by HRC Gateway for downloading and printing.

### 1. Use of 2019 Pacific FG Budget Form

Use the original form and 2019 Pacific FG budget spreadsheet as these contain special features.

The form is compatible with Windows PC and MAC computers. The form has default formatting that conforms to HRC requirements. Figures and tables are best pasted in from a draft document instead of created directly in the form.

Remember:

- a) Enter information only at the indicated form fields.
- b) Do not reformat Module and Section headings.
- c) Do not delete spreadsheet columns/shaded rows, but you may insert more unshaded rows.
- d) Use the original HRC document templates. Do not copy and paste into a new document as this can drastically change fonts and remove other features required for HRC processes.
- e) Input HRC Ref ID# and NI surname on the coversheet.

### 2. Module 1: General Information

Module 1 is required for application registration.

#### Research Investment Stream

Choose the appropriate application type and investment stream from the funding round list on 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.

#### Host Organisation

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

#### 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.



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

Enter Total Cost of Research on the registration page.

### Commencement Date and Term

Enter the proposed commencement date and the term (months). Please note that contracts cannot be activated until February 2019 at the earliest.

### Named Investigators (NIs)

All NIs must be registered users of the HRC Gateway before they can be added to the application.

Include the First NI and other NIs involved in the proposed research (e.g. supervisors, academic colleagues). Do not include here research support staff, such as technicians and research assistants, who will be directly funded from this award. 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. Only the First NI will be cited by the HRC in its press release on successful applications. Please ensure that the names of NIs are consistent in the form and CV.

Information on ethnic identity, gender and whether the researcher is a clinician (and is practicing) is used for HRC information purposes only. The ethnic identity information is required and gender information is optional.

Include FTE when describing **Role in Project** 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 hapu, 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 and provide appropriate details in Module 5: NZ Standard CV.

### Email Address

This is from the applicant's HRC Gateway profile.

### Lay Summary of Research

The lay summary should be a statement of not more than 150 words suitable for dissemination to, **and understanding by**, a lay audience, e.g. in a media release. Include:

- a) Research objectives
- b) Principal methodologies
- c) Potential health outcomes or impact.

Also ensure the content has been reviewed and is in a final form ready for publication if needed.

### Discipline

Make a choice from the scrollable dropdown list.

### **3. Module 2: Research**

#### **3.1 Section 2A: Summary of Research (one page only)**

The one-page summary should clearly describe the suitability of the applicant, goals and objectives, research plan (including outline of methods) and significance and/or relevance of the research proposal. A clear and succinct summary including all the important points of the application can help reviewers get an overview of the proposal, and is useful as a quick reference for Science Assessing Committee members. Use the headings and add subheadings if required.

#### **3.2 Section 2B: Description of Proposed Research Project (6-page limit, excluding references)**

The section headings should be used as they correspond to the assessment criteria. 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.

##### **Suitability of Applicant**

###### **Emerging Researcher**

Justify how you fit the emerging researcher definition briefly taking into account your postgraduate qualifications and other factors. Also state why you would be a suitable recipient for this funding support. Describe the direction of your research career to date, note any highlights and outline your career aspirations. If you are more than 6 years from your most recent postgraduate qualification, clearly explain why you still feel you are eligible for this grant. The examples include parental or caring leave, change of career, etc.

###### **Research Capabilities**

Include here information that you feel is essential for the reader of the application to better appreciate and understand your research capabilities. Describe how your current or previous research outcomes are relevant to the proposed research. Describe how your research interests align with those of the department/division in which you work and outline your contribution to the department/division to date. Include your vision of how your research career would develop over the duration of this contract, should it be funded. (Ensure that all research reports on previous HRC contracts have been submitted, as Pacific Assessing Committee may incorporate this information in their scoring of track records).

Attach a letter of support from your programme leader/Head of Department/research mentor. The letter should confirm that you will be working independently and specifically outline your contribution to the research. Confirmation that you will have access to necessary resources and support should also be included. The letter of support must be included with the application and state the relevant HRC reference number. Attach the letter at the end of Section 2B.

###### **Rationale for Research**

Include information that you feel is essential for the reader of the application to better appreciate or understand the rationale for your research application. Where does this research fit relative to the world-wide perspective. For example, is it unique to New Zealand? Does it support or contribute to research being conducted elsewhere? Is it part of a worldwide collaborative research project?

###### **Research Design and Methods**

Include your specific research hypothesis (if relevant), and a detailed design that describes sample recruitment and characteristics (including number, gender and ethnicity where relevant), study methodology, and proposed methods of data analysis. Consult specialists such as statisticians and health economists before finalising your research design.

## Research Impact

Include the anticipated outcomes of the research, including its impact with respect to Investment Signal Goal(s). The contributions of this research to increased knowledge, health, social and/or economic gains; importance of potential outcomes; and the pathway for knowledge transfer 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 contribute to address the problem and/or develop new knowledge.

## Dissemination of Results

Describe how the research results will be shared with professional colleagues, the general public, health service funders and providers, study participants, iwi and other important groups. As well as peer reviewed publications; examples include patient leaflets, participant newsletters, clinical guidelines, hui and public meetings and media items as appropriate for the research and the findings.

## Responsiveness to Māori

How has Māori consultation informed your research design? 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.

**Note:** The declaration on Responsiveness to Māori is part of the Contract with the host institution.

## 4. 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 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

Sections 4A – 4D are parts of the form.

Section 4E Milestone and Objectives are entered online

Sections 4F – 4H are to be completed on the separate Excel file (2019 Pacific FG Budget).

Section 4I List of collaborators entered online.

### 5.1 Section 4A: 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 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 postdoctoral fellows should be justified here, but it is recommended that named postdoctoral fellows provide a CV. Science 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 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.

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

## **5.2 Section 4B: Previous/Current Contracts and Awards**

### **Outline of Current and Previous Support from all Agencies**

Using the tables provided, outline current and previous support from any agency that has been received by the research team. Only include support for any NIs whose FTE contribution is 10% or more on the current application. Copy the table and repeat as required. This section is intended to provide the HRC reviewers and committee reviewers with an overall summary of the applicants' 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.

Final Reports for recently completed HRC contracts are made available to the Science Assessing Committees. Please ensure that HRC Final Reports (for the First Named Investigator only) from the past 5 years are included with the application by uploading the pdf version of the report to the online submission system. Please contact your Research Office in the first instance if you do not have a copy.

### **Previous HRC Final End of Grant Report(s)**

Final Reports for recently completed HRC contracts are made available to the Science Assessing Committees. Please ensure that HRC Final Reports (for the **First Named Investigator** only) from the past 5 years are included with the application by uploading the pdf version of the report to the online submission system. Do not upload full deliverable reports from HRC Research Partnerships contracts; only upload the **executive summary** of deliverable report.

Submission of annual reports are an HRC contract requirement. Delayed submission without justification will result not only in contract suspension but also in disqualification of new research applications.

## **5.3 Section 4C: Other Support**

### **Other Research Applications Awaiting Decision**

List in this section the applicant's research applications pending with other agencies. If applicable, indicate in the spaces provided any overlap of resources and personnel that the listed 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 applicant, 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. This statement has been presented to HRC reviewers and members of Science Assessing Committees.

### **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 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.

## **5.4 Section 4D: Letters of Collaboration/Supporting Documents List**

List any MOU or sub-contracts, letters of collaboration or support. These can be uploaded online with this form and budget file.

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 paper copy of the application and include the HRC Ref ID#.

## **5.5 Section 4E: Milestones and Objectives**

Milestones and objectives are entered online.

Note that should the application be funded, these tables will form the basis of the contract milestones and objectives.

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

Provide key milestones that you aim to achieve. Each milestone must relate to one or more of the Objectives listed with intended timeline, e.g., year of contract.

## **5.6 Section 4F: Research Proposal Budget**

The guidelines below should be considered only a summary of the HRC funding rules. For more complete information refer to the *Health Research Council of New Zealand 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. 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 4F. 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](mailto: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 (ie, the product of their **Annual Salary X %FTE** devoted to this research application).

**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 4G. 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 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 4).
- 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.
- 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.
- Stipends for Masters or PhD students. Stipends for 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 and must be fully justified. The allowance cannot be distributed proportionately between grants. This allowance is intended to contribute to the cost of relevant domestic travel to attend one conference, meeting or seminar annually. Domestic travel is considered to include Australia, excluding Northern Territory and Western Australia. 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 (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 4G (MOU Budget). Attach a copy of the subcontract/MOU at the end of the printed paper copy of the 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 amount in the online registration page of the research application.

### **5.7 Section 4G: 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 4G 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 CV should be provided in Module 5 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. If you require any further advice contact one of the HRC Project Managers.

All subcontracts/MOU 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 4G.

### **5.8 Section 4H: FTE Summary**

List the time involvement of ALL personnel (including those on a subcontract/MOU) in terms of Full Time Equivalents (%FTE). Give all names (for un-named positions, indicate as "Technician", "Research Nurse" and "Postdoctoral Fellow", etc.). The HRC and Science 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. State FTE as a percentage and not a decimal proportion, e.g. "10%" instead of "0.1". Half percentages (eg, 2.5%) 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 4F and 4G). 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.

### **5.9 Section 4I: List of Collaborators**

Please list any Collaborators (not Named Investigators) 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.



## 6. Module 5: Standard CV

Upload a CV for all staff (include those on MOU) using the template from the HRC website, that will contribute to this research. You must use the new HRC CV template. Your CV must not be more than 5 pages long when submitted.

Follow CV guidelines:

- No more than 2 pages for Part 1
- No more than 3 pages for Part 2
- Arial 10-point font
- Standard margins
- Delete instructions
- List publications with full authorship

Take care to use the original CV formatting including the default font and page limits. The HRC will not accept any other form of CV. The information provided in the CV **must be the same** as that provided in Module 1. For example, title and contact details may need updating in the CV before submission.

## 7. Module 6: Research Classification

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

### 7.1 Section 6A Australian and New Zealand Standard Research Classification (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.

### 7.2 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.

### 7.2 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, <i>etc.</i> ).	
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).	
<b>Clinical</b>		
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.	
<b>Health Services</b>		
Health Economics	Research into the cost-effectiveness of treatments/services <i>etc.</i>	
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.	
<b>Public Health</b>		
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 <i>etc.</i> 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, <i>etc.</i> Includes research using diagnostics in a particular group.	
Community services	Research around community-run services and community groups, e.g. Marae and Pacific 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.