

August 2020

2020 COVID-19 EQUITY RESPONSE PROJECT GRANT APPLICATION GUIDELINES

To use with form:

**2020 COVID-19 Equity Response Project Grant
Application Form**



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Part A: Introduction

Please note that these guidelines have been specifically tailored for Project Grant applications to the 2020 COVID-19 Equity Response Call for Proposals. Information about the Community Action Grants can be found in the 2020 COVID-19 Equity Response Community Action Grant Application Guidelines.

This initiative is aimed at ensuring that equity in health and wellbeing is at the centre of Aotearoa New Zealand's preparedness for, and response to, current and future infectious disease threats. Research funded through this call will contribute to the development of policy, services and practice that ensures equitable health and wellbeing outcomes for our diverse communities during outbreaks of infectious diseases, epidemics, and pandemics.

A total funding pool of \$8.3 million (exclusive of GST) is available. This includes \$3.3 million (exclusive of GST) for research that is Māori-led and leads to equitable health outcomes for Māori. This call includes two funding opportunities:

1. Community Action Grants

Grants of shorter duration intended to support communities to partner with experienced health researchers to investigate a well-defined area of health and wellbeing need that's been identified or anticipated in the ongoing response to the COVID-19 pandemic.

The maximum value of a Community Action Grant is \$250,000 (exclusive of GST) over a maximum term of 12 months.

2. Project Grants

Grants of longer duration intended to support Aotearoa New Zealand's capacity and capability to respond to COVID-19 and future infectious disease threats, with a clear line of sight to how the research will drive reduction in inequities in health and wellbeing.

The maximum value of a Project Grant is \$1 million (exclusive of GST) over a maximum term of 24 months.

The scope is inclusive of all research disciplines that are relevant to health and wellbeing, including the humanities and social sciences, and acknowledges the transformative power of teams that include researchers from multiple disciplines.

While addressing the overarching priority of health equity, research proposals are required to address one or more of the following broad themes: biological determinants of health; social determinants of health; mental health and wellbeing; community resilience and innovation; public health and health service delivery; and, Pacific health.

1. Investment stream

This call includes two investment streams:

- Rangahau Hauora Māori: Māori-led proposals that support equity of health and wellbeing outcomes for Māori in Aotearoa New Zealand's preparedness for, and response to, current and future infectious disease threats. \$3.3 million (exclusive of GST) is available to fund research through this investment stream.
- General: Proposals that support equity of health and wellbeing outcomes in Aotearoa New Zealand's preparedness for, and response to, current and future infectious disease threats. \$5 million (exclusive of GST) is available to fund research through this investment stream.

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

2. Outline of the application process

The table below outlines the process for applying for a Project Grant. Applicants must meet each of the deadlines below in order to continue in the process.

Applicants are first required to submit a registration before the submission of an application. The registration is completed online via HRC Gateway.

The application is due subsequently and should be uploaded via HRC Gateway.

All forms are available on HRC Gateway.

Application step	Description	Date due
Registration	Complete and submit online form on HRC Gateway	1pm, 18 September 2020
Application	Complete online sections and upload application forms to HRC Gateway: <ul style="list-style-type: none">• 2020 COVID-19 Equity Response Project Grant Application Form• 2020 COVID-19 Equity Response Budget• CVs for named investigators	1pm, 25 September 2020
HRC assessment	Assessment of applications by independent Assessing Committee	End September – Early November 2020
Results	Outcome notification	27 November 2020

3. Creating an HRC Gateway user account

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

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

Part B: General rules for submitting a Project Grant application

1. Use of the 2020 COVID-19 Equity Response Project Grant Application Form

1.1 When to use the form

The form must be used when submitting a Project Grant application for the 2020 COVID-19 Equity Response call.

1.2 Prior to submission

The HRC only accepts applications on HRC Gateway. Prior to any submission, named investigators must have a current Gateway account, which must be updated annually. Key opening and due dates are in Section 4 below.

Before submitting this application form, applicants should read:

- the COVID-19 Equity Response Call for Proposals document
- this document for eligibility and specific instructions
- New Zealand Health Research Prioritisation Framework
- Guidelines on Ethics in Health Research
- Guidelines for Researchers on Health Research Involving Māori
- Guidelines for Pacific Health Research
- HRC Research Impact Slideshow
- Māori Health Advancement Guidelines.

The above documents can be found on the HRC website (www.hrc.govt.nz) and on HRC Gateway.

1.3 New host organisation

New host organisations that have not previously been funded by the HRC will be required to provide due diligence information before a contract can be offered. Please contact the HRC for further information. The host organisation is the organisation that will be responsible for administering a contract awarded.

Host organisations are also responsible for ensuring that New Zealand is the principal domicile¹ and principal place of employment for the first named investigator. By submitting an application, the host is satisfied that this criterion has been met.

2. Format

2.1 General formatting

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

Applications must be in English or te reo Māori. If in te reo Māori, a translation in English must also be provided (any translation will not be included in the page limit).

Use the correct HRC form as it contains special features.

Applicants must:

- Use Arial 10-point type font
- Use default margins
- Use single line spacing

¹ Principal Domicile means the holding of New Zealand citizenship, or a residence class visa under the *Immigration Act 2009*, and either be domiciled or residing in New Zealand with the intention of residing here indefinitely, having done so for the immediately preceding 12 months. According to Section 4 of the *Immigration Act*, “residence class visa” means a permanent resident visa or a resident visa.

- Not exceed any page limits

2.2 Compliance

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

3. Copies of applications required

3.1 Electronic copy

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

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

HRC Gateway will allocate file names.

Important

The application is submitted to the host Research Office when the applicant uploads the files through HRC Gateway. The application will be forwarded to the HRC after host Research Office approval. Always allow sufficient time before the HRC closing date for this approval step. For organisations without a Research Office, the application will be forwarded directly to the HRC.

3.2 Do not send files

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

4. Closing dates

4.1 Submission of the form online

Upload the form using HRC Gateway.

Submit the form as a PDF file created by using the PDF function in Word or other PDF generator. Ensure that the PDF version meets page limits and that graphics and tables are satisfactorily presented. HRC Gateway will allocate file names.

The closing date for online submission of the form to the HRC is **1pm, 25 September 2020**. The application is released to the HRC only after approval by the Research Office. It must be submitted to the HRC online by the closing date and time. No applications will be accepted after the closing date and time unless written authorisation has been received from the HRC at least one week prior to the closing date.

4.2 Incomplete applications

Incomplete applications will be regarded as withdrawn.

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 New Zealand Research Information System (NZRIS) curated by MBIE with details provided by funders of the science sector.

5.2 Personal information

Personal information contained in the application will be made available to members of the HRC Committees, and to external reviewers relevant to the review of the application.

5.3 Media release

The HRC publishes details of research contracts, including named investigators, host institution, research title, lay summary, 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. Enquiries

All enquiries related to HRC applications are to 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:

Stacey Pene

Email: spene@hrc.govt.nz

Le-Shan Pomana-Wesley

Email: lpomana-wesley@hrc.govt.nz

Part C: Completing a registration (via HRC Gateway)

Applicants are first required to submit a registration. The registration involves completing a simple, web-based form that is submitted electronically via HRC Gateway.

Registrations are due by **1pm, 18 September 2020**.

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

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

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

Incomplete or late registrations will not be accepted.

Completing the registration

This Module must be completed in HRC Gateway. Start the application process by clicking on the 'Apply now' button on the 2020 COVID-19 Equity Response information page. The 'Apply now' button will only appear when the application submission period is open. Clicking on the 'Apply now' button will open a dialogue form where the following information will be required.

1st Step

The applicant will first be required to select an investment stream, enter a research title, and select a host organisation (there will also be options to select a specific Research Office and Research Office contact if applicable).

Investment stream

Select the investment stream for the application.

The HRC cannot reassign applications that are entered into the wrong stream. If you wish to change the streams while applying, you need to create a new registration on 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. 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.

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

Note: If your host institution does not appear in the drop-down list, please tick the check box 'My host organisation is not in the list'. A field 'Host organisation details' will appear in the next section and the name of the host organisation should be entered here.

If the host organisation has a Research Office with more than one staff member, please select the contact in the Research Office who will most likely be handling the application, or who will be the principal contact.

If the host organisation has more than one Research Office, please select which Research Office will be handling the application.

2nd Step

First named investigator

Some of this information will be automatically populated from the first named investigator's profile in Gateway (e.g. Organisation and department). If the profile is not current, details must be updated. The details listed on the application will be automatically refreshed after the profile is updated. Click on the 'Update' button to enter and update the information requested.

The first named investigator will be considered the first point of contact during the application and assessment process, and will be understood to be acting for, and in concurrence with, the other named investigators. All correspondence for the application will be addressed to this person and the host. Once an application is created, the first named investigator cannot be changed.

3rd Step

Click on the 'Update' button to enter details for the following fields.

Named investigators

All named investigators must be registered users of HRC Gateway before they can be added to the application. User profiles must be updated by each named investigator before submitting an application so that the current details are in the application. Click on the "Update" button to enter additional information as requested. All named investigators on successful applications may be cited by the HRC in its various communication channels.

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.

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 applications are submitted.

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 named investigators.

FTE for each named investigator 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. **The FTE value should be the value for the first year of that investigator's involvement (from the budget spreadsheet).**

Research location(s)

This is the specific department(s) and organisation where the majority of research or data analysis will be undertaken.

Discipline

Select from the drop-down box.

Duration

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

Type of research

Select from the drop-down list what you consider the most appropriate term for broadly describing the research proposal for assessment purposes.

Commencement date

Enter the proposed commencement date.

Note: Contracts cannot be activated until December 2020 at the earliest.

Lay summary

The lay summary should summarise the intent of the research, planned methodologies, as well as the potential health benefits or outcomes that could arise as a result of HRC supporting this application. This information will be used to inform the Council in the final approval process if the application is recommended for funding. The lay summary will also be publicised through the HRC's communication channels (e.g. website) and should be written to be readily understood by members of the public (150-word limit).

Peer reviewers unacceptable to applicant

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

Part D: Submitting an application – completion of the 2020 COVID-19 Equity Response Project Grant Application Form

Module 1 of the application must be completed on HRC Gateway. This module incorporates the registration information, with some additional fields required at the application stage. Some fields may be editable or updated from Registration. The form contains a Coversheet, Module 2, Module 3 and Sections 4A - 4D of Module 4. Supporting documents (as listed in Section 4D) are now required to be uploaded separately in HRC Gateway. The contract information and/or budget Excel file for Module 4 must be uploaded separately. Module 5 contains named investigator CVs that are uploaded separately. Module 6 is the research classification of the research that must be completed online.

This form must be downloaded and completed by applicants before being uploaded to HRC Gateway as a pdf file. The complete application with all Modules will be generated by HRC Gateway for downloading and printing.

Note: By submitting an application to the HRC on Gateway, the applicant is confirming that the submitted application complies with all requirements including formatting and page limits. The HRC will not accept changes after the closing date.

1. Use of the form

Please use the original form and contract information file as these contain special features.

The form is compatible with most 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:

- Input HRC reference ID# and first named investigator surname on the coversheet.
- 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.
- Enter information only at the indicated form fields.
- Do not reformat Module and Section headings.
- Do not delete spreadsheet columns/shaded rows, but you may insert more unshaded rows.

2. Module 1: General information

This Module must be completed in HRC Gateway. This module incorporates the registration information, with some additional fields required at the application stage. Some fields may be editable or updated from Registration.

Research costs

Enter in the relevant totals for staff costs, overhead, working expenses, and total cost of research (from the Excel budget spreadsheet).

Named investigators

All named investigators must be registered users of HRC Gateway with a current profile that must be updated annually.

FTE for named investigators

A defined FTE value will need to be entered for each named investigator (and for the first named investigator). **The FTE value should be the value for the first year of that investigator's involvement (from the budget spreadsheet).**

Objectives and milestones

Objectives and milestones are **assessed** along with budget requests, included in awarded research contracts, and used for contract reporting templates. This section is now inserted immediately after the list of named investigators in the final system-generated PDF.

Poorly described milestones and objectives can affect application scoring, or result in delayed processing of an application or requests for further information at contracting.

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: The HRC suggests a minimum of three 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.

Milestones

Provide key milestones that you aim to achieve. Each milestone must relate to one or more of the objectives, e.g.:

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

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

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

For the purposes of this research fund and the urgency of evidence need, applicants can expect a greater level of contract monitoring and engagement with the HRC, with an emphasis on how key findings are communicated to relevant stakeholders in a timely manner. This may take the form of progress reports and other additional activities or deliverables.

3. Module 2: Research

3.1 Section 2A: Summary of proposed research (1-page limit)

This section should clearly summarise the rationale, design & methods, Māori health advancement, impact, and team. A clear and succinct summary including all important points of the application provides a good overview and is useful as a quick reference for assessing committee members. Use the headings and add subheadings if required.

3.2 Section 2B: Description of proposed research (10-page limit, excluding references)

The section headings provided must be used. The assessing committee membership is broadly discipline-based, 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 but ensure that the format of non-text content is compatible with PDF conversion software.

Rationale

Provide the research rationale with a robust demonstration of the research gap and a statement of purpose or research aims for scientific enquiry, hypothesis, new knowledge, technical advance and innovation.

Include information that you feel is essential for the assessor to appreciate or understand the rationale for your research application. How is the research relevant to the objectives of the call? **Identify which theme(s) the research is aligned with.** Describe the health equity issue(s) that will be addressed by this research, and how it will respond to the needs of groups that experience inequity of health or social outcomes. Demonstrate a clear line of sight to change in knowledge, policy, practice, or service delivery. How does your proposed research build on existing knowledge and evidence, and how will it contribute to, or align with, research currently being undertaken either nationally or internationally. Why is this needed in Aotearoa New Zealand or the Pacific? How will it

support Aotearoa New Zealand's unique, diverse communities and social and cultural contexts? Describe how the research will support development of solutions that are culturally responsive and relevant to Aotearoa New Zealand or the Pacific.

Design and methods

Provide sufficient details for technical assessment of scientific protocol, feasibility, and validity of data.

Include sufficient detail of study design and methods so that an assessment can be made of its appropriateness, robustness, and/or innovativeness. This might include a description of subject recruitment and characteristics (including number, gender, and ethnicity), study methodology, and proposed methods of data collection and analysis. How does the proposal demonstrate commitment to the principles of equity in the undertaking of the research? Describe how the design or conduct of the research is such that it will not perpetuate current inequities. Detail strategies to mitigate the potential impact of future pandemic response measures on the feasibility of undertaking or completing the research. Where relevant, describe the process for community engagement, and how meaningful and reciprocal relationships are to be built. Clinical trial applications are to include a description of data and safety monitoring arrangements. Indication of timelines for the research should be included to demonstrate that the research is feasible and achievable within the specified timeframe. Consultation with specialists such as methodologists, statisticians, health economists, kaupapa Māori, and Pacific health experts should occur as early as possible before finalising your research design.

Māori health advancement

The HRC expects applicants for HRC research funding to consider all potential ways in which their proposal will advance Māori health, and to outline what actions they will undertake to help achieve this potential. Assessment of Māori health advancement will explicitly consider two components:

- An outline of contributions the research may make to advancing Māori health.
- Specific actions that have been, and will be, undertaken to realise the contribution to advancing Māori health through the life of the project and also beyond it.

*In responding to these questions, applicants should consider how their research is informed by the four domains of Māori health advancement (see the Māori Health Advancement Guidelines for more details). Researchers are encouraged to consider the domains during development of their research, as this may identify aspects of the research not previously considered. It is not a requirement that all four domains are specifically addressed in the proposal, but researchers are advised to consider each in formulating the strongest rationale for the application. **Consideration of Māori health advancement is context-specific, as determined by the nature and scope of the research.***

Alignment of the response to the Māori Health Advancement criterion and other assessment criteria will strengthen an application.

1. How will the outcomes of your research contribute to Māori health advancement?

Provide a realistic description of how this research could contribute to improved Māori health outcomes or reductions in inequity over time. Consideration should be given to potential short-term and/or longer-term Māori health gains, within the specific context of the research and where it is positioned along the research pathway (cf. potential 'line of sight' or 'pathway' to impact). In addition, more immediate users and beneficiaries of the research who can utilize the research findings for Māori health gain should be identified.

2. What activities have you already undertaken (that are relevant to this project), and what will you undertake during this project, that will realise your research contribution to Māori health advancement?

Describe specific actions that have been, and will be, undertaken (from the development of the research idea through to the completion of the project) to maximise the likelihood that this research will contribute to Māori health advancement. Outline actions taken to ensure that the next users or beneficiaries of the research can utilise the findings for Māori health gain.

If the research is not expected to make direct contributions to Māori health, identify actions that will be undertaken throughout the life of the project to contribute to other facets of Māori health advancement. Identify barriers to actioning your aspirations for advancing Māori health, and your mitigation strategies (where relevant). Identify elements of the team's track record that provide

confidence that this research will optimally contribute to Māori health advancement. For example: existing links, relationships, or networks with relevant Māori communities and next-users or end-users of research; demonstrable examples of knowledge translation and uptake; or changes to practice or policy that have enhanced equity and advanced Māori health. This component is considered relative to opportunity (i.e. stage of career progression, nature of research, and institutional capacity and capability).

Impact

Consider all potential ways in which the research can add value for Aotearoa New Zealand, and what actions within your influence can help achieve this potential. Assessment of Impact includes two components:

- A **description** of how your research might be used and the anticipated benefits for Aotearoa New Zealand.
- The **action plan** to maximise the use and benefits of the research.

See the HRC's Research Impact Slideshow (at www.hrc.govt.nz) for additional guidance on completing this section.²

1. What types of benefits are expected to arise from your research, and who will benefit?

This section should provide a realistic description of how research findings could contribute to improved health or other societal benefits over time (a 'line of sight' or 'pathway' to impact). Detail the impact the research will have on equity for groups who experience inequity of health or social outcomes. Identify the more immediate benefits, and users of the research who will form a focal point for your Action Plan. The balance between describing short-term benefits and potential longer-term impact will be dependent on the specific research context, with emphasis on considerations within your sphere of influence throughout the life of the research project.

The HRC's Research Impact Slideshow includes discussion of elements that should be covered in this section, including the **types of benefits and research users**, and the **geographical distribution of benefits** (such as how contribution to international research effort will benefit Aotearoa New Zealand). Research-related benefits, such as capacity and capability gains for Aotearoa New Zealand, and influence on future research agenda-setting, may be included where relevant.

2. What specific activities will you undertake, throughout the life of the research project, to maximise the use and benefits of your research?

Describe what targeted actions have been, or will be, taken³ to improve the likelihood of research uptake and impact, and to ensure that the next users or end users (identified in the previous section) can meaningfully contribute to, and/or benefit from, the research, especially those groups that experience inequity of health or social outcomes. Describe other planned culturally appropriate dissemination activities that are designed to reach broader audiences. Who can enable the uptake of your research, and how have they been involved in your research? Identify uncertainties to uptake, or systematic/institutional barriers, and your mitigation strategies (where relevant).

What elements of the **team's track record of knowledge transfer** provide confidence in the likelihood of research uptake? For example: existing links, relationships, or networks with relevant research next-users or end-users; demonstrable examples of knowledge mobilisation, or changes in health outcomes or societal impact generated from similar research. This component is considered relative to opportunity.

² Consult the HRC's Research Impact Slideshow (www.hrc.govt.nz) for further discussion on the types of benefits that can arise from health research, and where these benefits might be expected to occur along a pathway to impact.

³ Consult HRC Guidelines and funding rules for information on support of knowledge transfer activities and include these activities in objectives/milestones where appropriate. Progress against implementing the action plan will form part of the milestones HRC monitors with respect to contractual compliance and delivery.

Team

Evidence that the team has the experience, qualifications, relationships and networks to deliver the research. The role of each team member is required.

The team should include the appropriate mix of disciplines and expertise to undertake the research, including appropriate Māori, Pacific, or disability health expertise and leadership. Community and other relevant stakeholders should also be included within the team and leadership, and identified as important members of the team through inclusion as named investigators. Consider inclusion of a broad range of research expertise and leadership related to health and wellbeing, including the humanities and social sciences. Prioritise and highlight the capability, skill, and experience of those team members undertaking the majority of the work. Describe how the research will facilitate the development of new and emerging or mid-career researchers. Include a brief description of the team's track record, related to the proposal area, to demonstrate the ability to deliver proposed study outcomes. Highlight important skills and/or expertise in the team that would support delivery of the proposed research.

Describe any career disruptions, and their impact, that may be relevant to career history. A career disruption is defined as a prolonged interruption to an applicant's capacity to work due to pregnancy, major illness/injury, parental leave, and/or carer responsibilities.

Clearly define the role, expertise, and track record of each member of the team giving particular weight to those with high FTE commitments to the project. Team members' unique identifiers on publication databases such as Scopus or Google Scholar may be provided in relation to their FTE. Justification for staff roles should be provided. The role and FTE of each team member is required in Module 1. Please state if you have previously collaborated with the team assembled for this proposal. In addition, state how you have utilised previous funding resources and your productivity.

The HRC recognises that applicants with experience in sectors other than public sector research may have gained valuable expertise or produced outputs (e.g. patents) relevant to research translation, and this may have limited the applicant's opportunity to produce more traditional research outputs.

4. Module 3: References

Ensure this section starts on a new page.

Citations for key references in the text in Module 2 should be supplied. There is no limit to the number of reference pages. Reference to Māori terms in the application with brief translation should be included here. Asterisks are to be placed beside applicants' publications. Endnote lists must be copied into a plain text editor before pasting in here. Details must include a **full list of all author(s)**, title of article, journal, year, volume and page numbers; however, if references are multi-authored, there is discretion to limit the author list to a more convenient number to fit any space limitations.

5. Module 4: Contract information and budget

Section 4A – 4D are parts of this form.

Section 4E – 4H are to be completed on the separate Excel file (2020 COVID-19 Equity Response Budget.xlsx).

5.1 Section 4A: Justification of expenses

Justification of research staff

Use this section to justify the role and FTE of the named investigators and any other research staff listed in section 4E. Also explain the role of ALL OTHER personnel (named or un-named, funded or not funded by the proposal), who will actively contribute to this research. 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 but it is recommended that named postdoctoral fellows should be included as named investigators and should provide a CV. Science Assessing Committees may decline funds for roles that are not fully justified or are simply described as a "training opportunity". Provide 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 in this section will exceed 100% FTE of their combined commitments during the term of the contract. The roles of students and casual staff should be justified under 'Working Expenses'. Any promotion of staff or increase in salaries over the term of the contract (beyond 3% annually) **must be clearly justified** in Section 4A.

Note: The HRC does not consider annual scale increments or across-the-board wage increases as promotions.

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, and full costs 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, research tools and significant one-line items are necessary for the successful completion of the research. Clearly justify the role of students (must be named) and casual staff so that the Science Assessing Committee can appreciate how these persons are necessary for the proposed research. It is the responsibility of the applicants to ensure that no students 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.

Quotes must be provided to support discretionary costs, where available.

List all supporting budget documents in Section 4D (Letters of collaboration/supporting documents index) and upload separately via HRC Gateway.

5.2 Section 4B: Previous/current contracts and awards

List contracts awarded to the first named investigator within the past five years

Using the table provided, outline current and previous support (from any agency) that has been received by **the first named investigator as principal 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.

If applicable, please detail how this previous/current contract relates to and/or overlaps with the application.

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.

Previous HRC 'end of contract' reports

End of Contract or Final reports for recently completed HRC contracts are part of this application.

- Ensure that reports are for the **first named investigator** of this application only, when they were also the **Principal Investigator for a previously funded contract**, awarded in the last **five years**.
- **Programme** contract reports for the **senior named investigators** who were the **principal investigator** can also be included, for contracts awarded in the last **six years**.
- Do not upload full deliverable reports from HRC **Research Partnerships** contracts; only upload the **executive summary** of deliverable reports.

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

5.3 Section 4C: Other support

Other research applications awaiting decision and co-funding

List in this section any relevant research applications pending with other funders that might alter the project budget. 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.**

Co-funding

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

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.

Financial and other interest(s)

For the purposes of HRC funding applications, a financial or other interest is anything of economic value or a 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 worldview 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. In the event that 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.

5.4 Section 4D: Letters of collaboration/supporting documents list

List any subcontracts/MOU, letters of collaboration, appendices and any other supporting documents. Please see the sub section 'Subcontracts/Memorandum of Understanding (MOU)' in Section 4E below for further details.

The documents themselves must be uploaded separately into Gateway as PDF files.

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 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.

5.5 Section 4E: Research proposal budget

The budget spreadsheet in Section 4E can be used for different types of applications. Select from the dropdown list the application type you wish to submit. Further instructions are contained in the Notes tab of the file.

For more information refer to the HRC Rules which are available on the HRC website.

Budget calculations and spreadsheet

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

The 'Salary', 'Working Expenses' and 'Total Cost of this Research' are components of Section 4E. 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 of the figures in this box.

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

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; 'time only' permissible. The monetary value (\$) should be the **actual** salary amount that the named staff member is expected to receive for the research proposed. **Salaries for year 2 may be increased by a maximum of 3% per annum each year**, or by more if specific details of expected promotion are provided and **fully justified** in Section 4A. **Note:** The HRC does not consider annual scale increments or across-the-board wage increases as promotions.

The budget form does not accept FTE less than 3%. The HRC and Science Assessing Committees do not favour applications listing numerous investigators with a very low FTE. Salary requests should only be for significant input and involvement in the research 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 Master's 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 4F. The total GST-exclusive dollar figure for the subcontract/MOU should be all-inclusive, including overhead calculations. **Note:** The HRC doesn't cover overheads for overseas based organisations. 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 Master's Student (\$20,000 per year) is requested, the student must be named. Enter Master's and PhD stipends (for named students only) into 'Working Expenses – Materials and Research Expenses'.
- c) Casual staff (those persons without an ongoing role or commitment to the research, but providing one-off services to the research on a part-time, hourly or per diem basis, e.g. interviewers) should also be requested under 'Working Expenses - Materials and Research Expenses'.

Working expenses

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

Materials and research expenses

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

- Research consumables (these should be itemised at current cost per unit and full cost for number required).
- Other costs **directly** related to the research – telephone calls/communications, mail and freight.
- Computer-related license fees for research-specific software; access to high performance computing infrastructure (NeSI).
- Minor research equipment (to a total of \$5,000).
- A proportionate part of new specialised equipment (equipment to be acquired) may be included and **fully** justified on research applications (upload budgetary supportive documents separately via HRC Gateway and list in Section 4D).
- 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 Master's (\$20,000 pa) or PhD (\$30,000 pa) named students only can be claimed if a description of the student's research project is provided in Section 4A. Funds will be conditional upon the institution arranging a tax-free stipend that satisfies the Inland Revenue and host institution's rules. PhD students can be supported for two 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, or conference dissemination can be claimed if reasonable and justified).
- Conference allowance: The maximum allowance for conference attendance is \$1,000 per annum per named investigator **if fully supported at 100% FTE** by the grant and must be **fully** justified. The allowance cannot be distributed proportionately between grants. This allowance is distinct from the cost to disseminate findings from this proposed research; this cost must also be fully justified. Fares and allowances should be calculated in accordance with the regulations and scales of the host institution.
- 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, info@hrc.govt.nz.

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 must appear in a detailed subcontract/MOU between the host institution and non-host institution. An MOU should also include overhead calculations for salaries.

Note: The HRC doesn't cover overheads for overseas-based organisations. A *pro forma* MOU is available upon request from the HRC. If a subcontract/MOU is greater than \$50,000, all expenses requested should be broken down into the appropriate categories in Section 4F (MOU Budget). [Upload the MOUs separately via HRC Gateway \(see Section 4D above\).](#)

MOUs must also be provided for 'time only' subcontracted staff. In the event that MOUs are unable to be provided for time-only subcontracted staff, it is acceptable to include a support letter with description of the level of involvement and role of these individuals in the application. If the application is successful, copies of MOUs for any time-only individuals not provided in the application may be required at the contracting stage.

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. The amounts for each year should be entered separately in the budget form and the percentage rates for both ACC and super should be noted for each individual (and justified in Section 4A where required, i.e. for non-standard rates).

International expenses

The HRC will not contribute to the overhead of the overseas investigators, and the total proportion of contract budget allocated to overseas investigators must not exceed 20% of the budget.

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.

5.6 Section 4F: 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 4F to provide budget details for all MOU requesting more than \$50,000; add a copy of Section 4F 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.

Note: The HRC does not cover overheads for overseas-based organisations.

The total dollar amount for each year should then be entered under 'Working Expenses – Subcontracts' and a copy of the subcontract/MOU should be uploaded separately in HRC Gateway.

A CV must be provided in Module 5 for all named investigators on MOUs 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.

All subcontracts/MOUs must be listed in Section 4D (Letters of collaboration/supporting documents index). If there are no subcontracts/MOUs for this application, or none requesting more than \$50,000, you may delete or ignore Section 4F.

5.7 Section 4G: FTE summary

List the time involvement of ALL personnel (including those on a subcontract/MOUs) in terms of Full Time Equivalents, e.g. 10% FTE. Give all names (for un-named positions, indicate as technician, research nurse, postdoctoral fellow, etc.). Half percentages (e.g. 4.5%) are not allowed. Indicate when named investigators are 'Time Only' (i.e. **not** receiving salary for their involvement in the research project). Identify all Postgraduate students by 'Master's' 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 4E and 4F), as well as in Module 1. Heads of Department will be required to agree to provide workload relief for research staff working on HRC contracts (Principles of Full Cost Funding).

5.8 Section 4H: List of collaborators (national and international)

Please complete the Collaborators section (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: NZ standard CV

Upload a CV for all named investigators (include those on MOU).

Use the NZ standard CV template with default font from the HRC website. Do not exceed the 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 elsewhere in the application and in the investigator's HRC Gateway profile.

CV may indicate when career breaks have taken place as track record will be assessed relative to opportunity.

7. Module 6: Research classification

Classification of research is for HRC evaluation purposes only. The information is not used in allocating funding. Required details must be entered in HRC Gateway.

7.1 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.

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.

7.3 Section 6C: Health issues and mapping category

Health issues

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

Mapping category

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

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

Appendix: Score criteria and anchor point descriptors

The same 7-point word ladder containing criteria descriptors is considered against each of the following assessment criteria outlined below (listed A – E)

Note:

- The “Adequate” anchor point represents a score of 3.
- The information provided for each of the criteria is the guidance that the Assessing Committee will use when scoring applications against each criteria.

Score	Criteria descriptor	Criteria	Points	% score
7	Exceptional	Rationale	7	20
6	Excellent	Design and Methods	7	20
5	Very good	Māori Health Advancement	7	20
4	Good	Impact	7	20
3	Adequate	Team	7	20
2	Unsatisfactory	Total	35	100
1	Poor			

A. Rationale

The proposed research is important, worthwhile, and justifiable to Aotearoa New Zealand, because:

- It addresses the objectives of the call and is aligned with one or more of the research themes.
- The applicants have identified and described the health equity issue that the research will address, and how it will respond to the needs of groups that experience inequity of health or social outcomes.
- It demonstrates a clear line of sight to change in knowledge, policy, practice, or service delivery.
- The aims, research questions, and hypotheses build on existing knowledge and address a knowledge gap.
- The research findings will be original and innovative and will support the development of solutions that are culturally appropriate and relevant to Aotearoa New Zealand or the Pacific region.

B. Design and Methods

The proposed research has been well designed to answer the research questions because:

- The study design is comprehensive, feasible, and achievable within the timeframe.
- The study design is appropriate to address the objectives of the research.
- The proposal demonstrates commitment to the principles of equity in design and conduct.
- The design and conduct of the research will not perpetuate or exacerbate current inequities.
- Applicants have described strategies to mitigate the potential impact of future pandemic response measures on the feasibility of undertaking or completing the research.
- The process for community engagement and the development of meaningful and reciprocal relationships has been described.
- There is consideration of statistical requirements, technical or population issues, and practicalities of undertaking the research.
- Culturally appropriate methodologies are being used to undertake the research.
- There are appropriate arrangements for data management and data monitoring.

- Patient safety issues have been identified and are well-managed.

C. Māori Health Advancement

The proposed research is likely to advance Māori health because:

- Applicants have provided a description of how their research could lead to improved Māori health or reductions in health inequity over time.
- The research team are undertaking activities to address Māori health advancement, as appropriate to the nature and scope of the research. This may include, but is not limited to, activities such as:
 - the establishment of meaningful, collaborative, and reciprocal relationships with Māori
 - undertaking research that addresses Māori health need and inequity
 - the formation of appropriate research teams
 - the development of current and future workforce capacity and capability, including upskilling of research team members, and
 - adherence to culturally appropriate research practices and principles (as appropriate to the context of the research).

D. Impact

The proposed research is likely to add value and benefit Aotearoa New Zealand because:

- Applicants have described a credible pathway for how their research will:
 - support improved health equity for groups who experience inequity of health or social outcomes, and
 - result in benefits or opportunities for future research, or
 - influence policy, practice, or health services or technologies, leading to improved health or other social/economic impacts.
- The research team are undertaking steps to maximise the likelihood of impact beyond the production of knowledge (as appropriate to the context of the research) and have the necessary skills, networks, and experience to achieve this.
- There are plans to undertake culturally-appropriate dissemination activities to reach broader audiences.

E. Team

The team, relative to opportunity, can achieve the proposed outcomes and impacts because:

- It includes an appropriate mix of personnel, including Māori, Pacific, or disability health expertise and leadership, and representation from communities or other stakeholders.
- Collectively, there is appropriate research qualifications and experience from a broad range of research disciplines relating to health and wellbeing.
- The proposed research will facilitate the development of new and emerging or mid-career researchers.
- The FTE is sufficient to complete the proposed research.
- The personnel have established networks and collaborations that will facilitate successful completion of the research.
- There is demonstrated history of productivity and delivery on previous research funding.