

July 2019

**2020 PACIFIC EMERGING RESEARCHER
FIRST GRANT (ERFG)
APPLICATION GUIDELINES**

To use with form:

**2020 Pacific Emerging Researcher First Grant
Application Form**



Table of Contents

Part A: What is a Pacific Emerging Researcher First Grant?	3
1. <i>Introduction</i>	3
2. <i>Eligibility Criteria</i>	3
3. <i>Research Investment Streams</i>	4
4. <i>Previous Funding Round Success Rate</i>	4
Part B: General Rules for Submitting a Pacific Emerging Researcher First Grant Application .	5
1. <i>Use of 2020 Pacific Emerging Researcher First Grant Application Form</i>	5
2. <i>Format</i>	5
3. <i>Copies of Applications Required</i>	6
4. <i>Closing Dates</i>	6
5. <i>Privacy Provisions</i>	6
6. <i>Mailing Address</i>	7
7. <i>Enquiries</i>	7
Part C: Submitting an Application – Completion of the 2020 Pacific Emerging Researcher First Grant Application Form	8
1. <i>Use of 2020 Pacific Emerging Researcher First Grant Application Form</i>	8
2. <i>Module 1: General Information</i>	8
3. <i>Module 2: Research</i>	11
4. <i>Module 3: References</i>	14
5. <i>Module 4: Contract Information and Budget</i>	14
6. <i>Module 5: NZ Standard CV</i>	19
7. <i>Module 6: Research Classification</i>	19

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

1. Introduction

These grants are available to provide research funds to support 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 \geq \$105,000 from any source (including institutional or internal funding). Each award is limited to a maximum of \$250,000 for 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: The Pacific Emerging Researcher First Grant 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 information about how applications will be assessed by the external reviewers and assessing committee.

2. Eligibility Criteria

Applicants are eligible if they:

- are of indigenous Pacific descent
- are New Zealand citizens or hold New Zealand residency at the time of application;
- have not previously held a competitive research grant as a First Named Investigator for research expenses of \geq \$105,000 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 the expenses component of such awards does not exceed the \$105,000 expenses threshold. Applicants are required to list the amount of research expenses of their previous awards in this application;
- are normally no more than 6 years from attaining a most recent postgraduate degree at the time of application, but this period could be greater for parental leave, caring responsibilities, career breaks, ill health, or other justified reasons. Time spent working in a career other than research is not considered a justified reason. Eligibility will be counted from the date of degree conferment. HRC may request evidence of this date to confirm eligibility;
- 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 in regard to this justification.

There is a clear distinction between eligibility, defined above, and suitability. Applicants are required to clearly state their suitability in Section 2B: Description of Proposed Research – 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, will be accepted by the HRC 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

Please note: the Rangahau Hauora Māori stream is not listed above as it doesn't apply for this grant.

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

4. Previous Funding Round Success Rate

In the 2019 annual funding round, there were no applications received and none awarded. It is expected that up to two contracts will be offered in the 2020 funding round.

Part B: General Rules for Submitting a Pacific Emerging Researcher First Grant Application

1. Use of 2020 Pacific Emerging Researcher First Grant Application Form

1.1 When to use the 2020 Pacific Emerging Researcher First Grant Application Form

Use this form only for Pacific Emerging Researcher First Grant applications.

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, that must be updated annually. 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 details
- The appropriate Peer Review Manual to understand application assessment
- Guidelines on Ethics in Health Research
- Guidelines for Researchers on Health Research Involving Māori
- Guidelines for Pacific Health Research
- HRC Research Impact Slide Show

The regularly updated reference documents and forms are on HRC Gateway.

1.3 New Host Organisation

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

2. Format

2.1 General Formatting

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

Applications must be in English.

Use the correct HRC form as it contains special features.

Applicants must:

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

2.3 Additional Documents

No other documents are to be included.

3. Copies of Applications Required

3.1 Paper Copy

Applications must be submitted through HRC Gateway and two printed copies of the final system-generated PDF sent to the HRC.

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

3.2 Electronic Copy

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

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

The HRC Gateway will allocate file names.

Important

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

3.3 Do Not Send Files

Do not send 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.

3.4 Returned Applications

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

4. Closing Dates

4.1 Submission of Pacific Emerging Researcher First Grant Application Online

Upload the 2020 Pacific Emerging Researcher First Grant Application 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.

There is no separate closing date for registration of applications, but this step is still required. The closing date for online submission of the Pacific Emerging Researcher First Grant application to the HRC is **1pm, 28 August 2019**. 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 Submission of Paper Copies

The online system creates a single PDF document of the complete application by merging the uploaded application form with the online registration details for processing and printing. Send two copies of the system-generated version to the HRC by **5pm, 30 August 2019**.

4.3 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. Mailing Address

The application should be sent to the HRC office address:

Mailing Address:

Research Investment & Contracts
Health Research Council of New Zealand
PO Box 5541
Wellesley Street, AUCKLAND 1141

Physical/Courier Address

Research Investment & Contracts
Health Research Council of New Zealand
3rd Floor, ProCare Building
110 Stanley Street, AUCKLAND 1010

7. 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:

Dr Vernon Choy

Telephone: (09) 303 5206

Email: vchoy@hrc.govt.nz

Tolotea Lanumata

Telephone: (09) 303 5224

Email: tlanumata@hrc.govt.nz

Part C: Submitting an Application – Completion of the 2020 Pacific Emerging Researcher First Grant Application Form

Module 1 of the Pacific Emerging Researcher First Grant application must be completed on HRC Gateway. The 2020 Pacific Emerging Researcher First Grant Application 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 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 2020 Pacific Emerging Researcher First Grant Application Form

Please use the original 2020 Pacific Emerging Researcher First Grant Application 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. Start the application process by clicking on the 'Apply now' button on the 2020 Pacific Emerging Researcher First Grant 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 dialog form where the following information will be required.

1st Step

The applicant will first be required to select a research 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).

Research Investment Stream

Select the Research Investment Stream for the Pacific Emerging Researcher First Grant.

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

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 in 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 HRC 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 Investigators before submitting an application so that their 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 study (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 a 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 (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. The HRC reserves the right to assign applications to the most appropriate Science Assessing Committee.

Commencement Date

Enter the proposed commencement date.

Note: Contracts cannot be activated until 1 June 2020 at the earliest. Recipients are required to begin within three months of contract offer.

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).

Research Costs

Enter in the relevant totals for Staff Costs, Overhead, Working Expenses, and Total Cost of Research (from the Excel 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.

3. Module 2: Research

3.1 Section 2A: Summary of Proposed Research (1-page limit)

This section should clearly summarise 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 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 (6-page limit, excluding references)

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

The use of graphics and tables is an efficient use of space but 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 (e.g. if you have taken parental leave or other justified leave).

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, and any new research skills this project will help you to develop. Highlight the number of publications for which you have been lead, senior, or corresponding author. 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. Ensure that end of contract reports on previous HRC contracts have been submitted, as assessing committees may incorporate this information in their scoring of track record.

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 (this is not included in the 6-page limit).

Plan for Independence

Include your vision of how your research career would develop over the duration of this contract, should it be funded. How will this project enable you to develop your research leadership skills? For example, you could comment on opportunities to train and manage research staff and supervise students. How will this project enable you to establish your independence? Some projects by necessity are carried out in a team environment, so it is helpful to identify new and existing collaborations. It is also important to define which parts of the project are your responsibility, especially when continuing to work with previous mentors/colleagues. Overall, this section ought to clearly articulate how this project will help you become established as an independent researcher.

Rationale for Research

Include information that you feel is essential for the assessor to appreciate or understand the rationale for your research application. Where does this research fit relative to the worldwide 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, for example, subject recruitment and characteristics (including number, recruitment rate, gender, and ethnicity, where relevant), study methodology, technical development and proposed methods of data analysis. Consult specialists such as methodologists, statisticians, and health economists before finalising your research design. Clinical trial applications must include a description of data and safety monitoring processes.

Research Impact

In addressing research impact for Emerging Researcher First Grants, applicants should focus on describing the potential benefits arising from the proposed research and the likely pathway to impact. This description of research impact should be considered relative to the scope and context of an Emerging Researcher First Grant.

Health and Wellbeing in New Zealand (HW), Improving Outcomes for Acute and Chronic Conditions in New Zealand (IOACC), and New Zealand Health Delivery (NZHD)

Note: Applicants for the HW, IOACC, and the NZHD investment streams are no longer required to link their impact section to the Goals of the relevant investment signal. This is to encourage applicants to consider all potential ways in which their proposal can add value for NZ, and what actions within their influence can help achieve this potential. Assessment of Impact for these streams has been restructured to include two components: 1) a **description** of how your research might be used and the anticipated benefits for NZ, and 2) the **action plan** to maximise the use and benefits of the research. See the HRC's Impact Webinar for additional guidance on completing this section.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). Importantly, it should also identify the more immediate benefits, and users of the research who will form a focal point for your Action Plan (below). 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 NZ). Research-related benefits, such as capacity and capability gains for NZ, and influence on future research agenda-setting, may be included where relevant.

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, taken² 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. Describe other planned dissemination activities that are designed to reach broader audiences. Who can enable the uptake of

¹ Consult the HRC's Impact Webinar 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.

² 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.

your research, and how have they 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.

HRC Pacific Health Research Priorities

Note: Assessment of Impact for Pacific Health Research has been restructured to include two components: 1) a **description** of how your research might be used and the anticipated benefits for Pacific peoples and NZ, and 2) the **action plan to address all 4 Pacific research priorities** to maximise the use and benefits of the research. See the HRC's Impact Webinar for additional guidance on completing this section.³

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 Pacific health or other societal benefits over time (a 'line of sight' or 'pathway' to impact). Importantly, it should also identify the more immediate benefits, and users of the research who will form a focal point for your Action Plan (below). 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 NZ). Research-related benefits, such as capacity and capability gains for NZ, and influence on future research agenda setting, may be included where relevant.

What specific activities have been, or will be, undertaken, throughout the life of the research project, to **address the 4 Pacific health research priorities** to maximise the use and benefits of your research?

Note: Applicants **must** address all 4 Pacific health research priorities in this section:

[i] Enhance health and wellbeing for Pacific peoples

[ii] Contribute to the creation of Pacific health knowledge

[iii] Contribute to the translation of research findings into Pacific health gains

[iv] Build the capacity and capability of the Pacific health research workforce

Describe what targeted actions have been, or will be, taken⁴ 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. Describe other planned dissemination activities that are designed to reach broader audiences. Who can enable the uptake of your research, and how they have 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.

³ Consult the HRC's Impact Webinar 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.

⁴ 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.

Responsiveness to Māori

Consideration should be given to how the research will contribute to the health needs of Māori, recognising that the most appropriate approach to advancing Māori health will vary by the type of research and consideration should be context-specific, as determined by the nature and scope of the research. For example, 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. Are you partnering or engaging with Māori, or have you sought advice for the study from a Māori researcher/representative? Does the research team have the required skills and expertise, and builds capability and capacity of the Māori health research workforce?

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 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 percent 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 5 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, when they were also the **Principal Investigator for a previously funded contract**, awarded in the last **5 years**.
- **Programme** contract reports for the **senior Named Investigators** who were the **Principal Investigator** can also be included, for contracts awarded in the last **6 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 world view or policy.

A conflict of interest is a situation in which an individual's financial relationships or interests may compromise, or have the appearance of compromising, the individual's professional judgment in conducting or reporting research. 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 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.

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 and year 3 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 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 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 Masters Student (\$20,000 per year) is requested, the student must be named. Enter Masters and PhD stipends (for named students only) into 'Working expenses – Materials and Research Expenses'.
- c) Casual Staff (those persons without an on-going role or commitment to the research, but providing one-off services to the research on a part-time, hourly or per diem basis, e.g. interviewers) should also be requested under 'Working expenses - Materials and Research Expenses'.

Working Expenses

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

Materials and Research Expenses

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

- Research consumables (these should be itemised at current cost per unit and full cost for number required).
- Other costs **directly** related to the research – telephone calls/communications, mail and freight.
- Computer-related license fees for research-specific software; access to High Performance Computing infrastructure (NeSI).
- Minor research equipment (to a total of \$5,000).
- A proportionate part of new specialised equipment (equipment to be acquired) may be included and **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 Masters (\$20,000 pa) or PhD (\$30,000 pa) named students only can be claimed if a description of the student's research project is provided in Section 4A. Funds will be conditional upon the institution arranging a tax-free stipend that satisfies the Inland Revenue and host institution's rules. Ensure that PhD students requested are supported for three years of PhD study, either entirely or partly through this project. **Note:** Students' fees and thesis costs cannot be claimed.
- Dissemination of research results (fair and reasonable charges associated with the approved publication of the results of HRC sponsored research in journals, reports, monographs or books may be paid from contract funds. Also, costs incurred from other forms of dissemination, such as meeting with community groups, 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. A 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% for Emerging Researcher First Grants.

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 NIs 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” and “Postdoctoral Fellow”, etc.). Half percentages (e.g., 4.5%) are not allowed. Indicate when NIs are “Time Only” (i.e., **not** receiving salary for their involvement in the research 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 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.