

# 2021 Health Delivery Research Activation Grant Application Guidelines



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# 1. Health Delivery Research Activation Grant – key information and requirements

This section sets out the requirements for **the Health Delivery Research Activation Grant**, including:

- information about the grant, including the maximum value and duration
- eligibility criteria that applicants must meet
- an overview of the application process and requirements, including key dates
- an overview of the assessment process and assessment criteria.

Sections 2 and 3 contain instructions for applicants on submitting an application, including how to complete the application to demonstrate that the requirements for funding are met.

## 1.1. Description

The Health Delivery Research Activation Grant provides support to enable established or prospective researchers and/or research providers to establish health delivery research evidence needs or research opportunities, or develop research capacity, before applying for further health delivery funding. These grants are designed to incentivise readying and planning for research where resourcing to get started is not otherwise available.

The research activation activity must be connected to a specific health delivery research idea and be within scope of the [2021 Health Delivery Research Investment Signal](#). Applicants must also describe the activity and identify the intended outcome of the activation activity as progressing to further health delivery research.

Examples of types of research activation activities may include relationship development, priority setting, literature review, skill/capacity building. Kaupapa Māori research approaches and methodologies and Pacific health research approaches and methodologies are encouraged, as well as any other research or research-related activities that will clearly lead to further health delivery research.

## 1.2. Value

- A maximum of \$30,000 is available for each grant.
- The requested costs need to be clearly justified and reflect the activation activity proposed.

## 1.3. Eligibility criteria

1. There is a limit of one grant application per applicant per Health Delivery Research Activation Grant round. See Section 1.6 for further details.
2. The maximum value of this grant is \$30,000 for a maximum term of 12 months (i.e. the research activation activity is to be completed within 12 months of the contract start date).

## 1.4. Assessment criteria

1. **Scope:** The research activation activity must be within scope of the [2021 Health Delivery Research Investment Signal](#).
2. **Methodology:** The proposed methods and/or details for undertaking the research activation activity must be justified and be appropriate for the specified activity to provide assurance that the approach to undertaking the activity is sound.

3. **Outcomes:** The intended outcome of the activation activity as progressing to further health delivery research must be clearly described.
4. **Māori health and equity:** The applicant has considered and taken steps to contribute to improving equity and advancing Māori health as appropriate to the context of the research activation activity<sup>1</sup>.

**Note:** Guidance on how to demonstrate these requirements is set out in sections 3 and 4.

## 1.5. Key dates

In the 2021 Health Delivery Research Investment Round, there are two Research Activation Grant rounds being run. Please note key dates below.

### 2021 Health Delivery Research Activation Grant – Round 1

- Opens in HRC Gateway – **9 February 2021**
- Registration deadline in HRC Gateway – **18 March 2021**
- Application deadline in HRC Gateway – **8 April 2021**
- Outcomes confirmed – **Mid-late June 2021**
- Research activation activity must commence by **1 August 2021**

### 2021 Health Delivery Research Activation Grant – Round 2

- Opens in HRC Gateway – **1 July 2021**
- Registration deadline in HRC Gateway – **12 August 2021**
- Application deadline in HRC Gateway – **2 September 2021**
- Outcomes confirmed – **Early December 2021**
- Research activation activity must commence by **1 February 2022**

## 1.6. Application process

The application process involves completing and submitting:

- An initial **registration** (which involves completing some key information about the application directly via HRC Gateway).
- The remainder of the **application** using the **2021 Health Delivery Research Activation Grant Application Form**. This form must be downloaded and completed by applicants before being uploaded to HRC Gateway as a PDF file. The complete application (including the information entered directly into HRC Gateway) will be generated by HRC Gateway. Please note: some additional information (the ANZSRC codes and keywords, which are only used for HRC evaluation purposes) will be required to be entered in HRC Gateway prior to submission of the application form.
- Fundable applications that are not able to be funded due to budget restrictions will automatically proceed to the fundable pool of applications in the subsequent Health Delivery Research Activation Grant round, up to once per application.

Full details on the application process are provided in sections 3 and 4.

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<sup>1</sup> Refer to general feedback from the Health Delivery Research Portfolio Panel on the Māori Health Advancement and Equity criterion from the 2020 Health Delivery Research Investment Round for guidance: See <https://www.hrc.govt.nz/maori-health/maori-health-advancement>

## 1.7. Assessment process

The following steps will be undertaken to assess Health Delivery Research Activation Grant applications:

- Initial administrative checking and eligibility screening by the HRC to determine that the **eligibility criteria 1-2** in Section 1.3 have been met.
- Eligible applications are assigned to Health Delivery Research Portfolio Panel (Portfolio Panel) members.
- Portfolio Panel members individually confirm yes/no for each assigned proposal whether **assessment criteria 1-4** (see Section 1.4) have been met.
- Proposals are considered not fundable where there is majority agreement that any one of the assessment criteria has not been met.
- Where an application is deemed fundable but receives one 'No' for the Māori Health and Equity criterion, it will undergo additional consideration (by Portfolio Panel members with specific Māori Health and/or equity expertise) to reach consensus on whether the application meets this criterion.
- Fundable pool of eligible applications progress. If there are more fundable applications than funding available, prioritisation will be given to Māori and Pacific health as set out in the [2021 Health Delivery Research Investment Signal](#),<sup>2</sup> followed by randomisation of the remaining fundable applications.
- All Health Delivery Research Investment Round funding recommendations will be forwarded to the HRC Council for funding approval.

## 1.8. Grant payment and reporting

- The standard HRC contract will be used for this grant.
- For new host organisations, due diligence may be undertaken prior to the submission of a claim form.
- Successful applicants to the 2021 Health Delivery Research Activation Grant must start the grant by **1 August 2021** for the first round and by **1 February 2022** for the second round.
- All recipients of a Health Delivery Research Activation Grant are required to submit an 'end of activity' report to the HRC on HRC Gateway within one month of the activity end date. The report will include information such as readiness to proceed with research based on the outcome of the research activation activity and/or the planned next steps.
- All recipients of a Health Delivery Research Activation Grant are required to participate in an HRC-led evaluation during and post completion of their grant, as applicable.

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<sup>2</sup> Research that advances the health and wellbeing of Māori and Pacific peoples, led by Māori and Pacific researchers. Applications with this key focus area of the signal will be identified by panel members as required, as part of the assessment process.

## 2. General information for submitting an application to the 2021 Health Delivery Research Activation Grant

This section sets out general information for applicants to the 2021 Health Delivery Research Activation Grant.

The information provided in this section includes:

- instructions for using HRC Gateway to submit an application
- formatting requirements for applications
- guidance about the privacy of application content
- contact information if you need assistance with your application.

Applicants must follow the instructions set out in this section.

### 2.1 Preparation

#### 2.1.1. Creating an HRC Gateway user account

Applicants will need an HRC Gateway account to apply. You may use your existing account or create a new one if you do not have one, via the following URL: <https://gateway.hrc.govt.nz>.

Please note that all applicants named on the proposed research team must have an HRC Gateway user account so that their details can be included in the online form. Individual HRC Gateway accounts must be updated annually.

#### 2.1.2. Prior to submission

Before submitting an application form, applicants should read:

- the [2021 Health Delivery Research Investment Signal](#)
- the 2021 Health Delivery Research Activation Grant Application Guidelines (this document)

(Additional documentation)

- [HRC Research Ethics Guidelines](#)
- [Guidelines for Researchers on Health Research Involving Māori](#)
- [HRC Māori Health Advancement Guidelines](#) and supporting [resources](#).
- [Guidelines for Pacific Health Research](#)
- [HRC Research Impact Slideshow](#)
- [New Zealand Health Research Prioritisation Framework](#).

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

#### 2.1.3. 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 (section 2.5). The host organisation is the institution or organisation that will be responsible for administering a contract awarded.

Host organisations are also responsible for ensuring that Aotearoa New Zealand is the principal domicile<sup>3</sup> and principal place of employment for the applicant. By submitting an application, the host is satisfied that this criterion has been met.

#### **2.1.4. Overdue HRC reports**

Applicants will not be able to submit a new application in HRC Gateway if they have an overdue progress or end of contract report for another contract in HRC Gateway.

## **2.2. Format**

### **2.2.1. General formatting**

Use the 2021 Health Delivery Research Activation Grant Application Form as it contains special features specific to this grant type.

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).

Applicants must:

- use Arial 10-point type font or larger
- use default margins
- use single line spacing
- not exceed any page limits.

### **2.2.2. Compliance**

The HRC will not process any application that does not use the correct HRC application form or does not comply with stated page limits and font sizes/styles. This may result in withdrawal of the application.

## **2.3. Copies of applications required**

### **2.3.1. Electronic copy**

Applications must be submitted through HRC Gateway.

Submit the relevant form as a PDF file created by using the PDF function in Microsoft Word or another PDF generator. Ensure that the PDF version meets page limits, and that graphics and tables are converted correctly from the Word version.

HRC Gateway will allocate file names.

Note: Applicants are no longer required to submit paper copies of applications to the HRC.

#### **Important**

For applicants from host organisations that have dedicated Research Offices, the application will be 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.

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<sup>3</sup> 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.

For applicants that are either independent or whose host does not have a Research Office, applications are submitted directly to the HRC.

### 2.3.2. 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.

### 2.3.3. Incomplete applications

Incomplete applications will be regarded as withdrawn.

## 2.4. Privacy provisions

### 2.4.1. 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 the Ministry of Business, Innovation and Employment (MBIE) with details provided by funders of the science sector.

### 2.4.2. Personal information

Personal information contained in the application will be available to the HRC staff and those involved in the assessment process of the Health Delivery Research Activation Grant applications.

### 2.4.3. Media release

The HRC publishes details of research contracts including named individuals, host organisation, research title, lay summaries and funding awarded for public interest purposes and to meet the statutory requirements of the *Health Research Council Act 1990*.

### 2.4.4. Official Information Act

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

## 2.5. Enquiries

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

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

Contact	Telephone	Email
Luke Garland	(09) 303 5214	<a href="mailto:lgarland@hrc.govt.nz">lgarland@hrc.govt.nz</a>
Sayaka Steed	(09) 883 0591	<a href="mailto:ssteed@hrc.govt.nz">ssteed@hrc.govt.nz</a>

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

## 3. Health Delivery Research Activation Grant – instructions for completing the registration

This section sets out instructions for the first part of applying for a Health Delivery Research Activation Grant – registration in HRC Gateway.

It includes prompts for providing certain information in your registration.

A full application consists of 5 Modules. This section relates to Module 1, which is the general information required about the application.

### 3.1. General registration information

Applicants are first required to submit a registration by completing some key information about the application directly via HRC Gateway.

Registrations are due by **18 March 2021** for the first 2021 Health Delivery Research Activation Grant round and by **12 August 2021** for the second round. Incomplete or late registrations will not be accepted.

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

Once submitted, the registration is forwarded (in HRC Gateway) to the host Research Office. The Research Office will 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 organisation doesn't have a Research Office, the registration will be automatically forwarded to the HRC.

The activation lead and all other activation team members must have an HRC Gateway account to be able to be included in an application. Activation team members will be able to be added after a registration has been submitted and before the application is submitted.

#### Notes:

The terms 'first named investigator' and 'named investigators' will still be used in HRC Gateway, and in the final HRC Gateway-generated PDF of the application, but for the purposes of the Health Delivery Research Activation Grant, these roles should be considered to be activation lead and activation team members respectively.

While the fields completed and submitted for the registration can be updated prior to the final submission of the application (section 4), the intent is that the registration submission should be an accurate reflection of the final information that will be included in the application.

### 3.2. Step 1

Start the registration process by clicking on the 'Apply now' button on the 2021 Health Delivery Research Activation Grant information page on HRC Gateway. 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.

The applicant will first be required to enter a title for the research activation activity and select a host organisation (there will also be options to select a specific Research Office and Research Office contact if applicable).

### 3.2.1. Research title

The research activation activity title should be succinct and clearly describe the proposed work. The title must not exceed 80 characters, including spaces and punctuation. Do not use all uppercase type.

### 3.2.2. Host organisation

The host organisation is the institution or organisation that will be responsible for ensuring an awarded grant is completed according to the requirements of this grant type and what was proposed in the application.

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

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.

## 3.3. Step 2

### 3.3.1. First named investigator (Activation lead)

**Note:** This field will be captured as 'first named investigator' in HRC Gateway, but for the purposes of this grant, the role will be considered as 'activation lead'.

Some of this information will be automatically populated from the activation lead'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. **FTE** for the activation lead is required to be inputted.

The activation lead 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 activation team members. All correspondence for the application will be addressed to the activation lead and the host (if applicable). Once an application is created, the activation lead cannot be changed.

## 3.4. Step 3

**Note:** The following fields can also be updated between submission of the registration and submission of the final application.

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

### 3.4.1. Support personnel

Support personnel are additional HRC Gateway users who can view and edit the application and are not named investigators or research office staff.

### 3.4.2. Named investigators (Activation team members)

**Note:** Individuals named on this application will be entered as 'named investigators' in HRC Gateway and captured as such in the final HRC Gateway-generated PDF of the application, but for the purposes of this grant, these roles should be considered as being 'activation team members'.

All activation team members must be registered users of HRC Gateway before they can be added to the application. User profiles must be updated by each activation team member 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 activation team members on successful applications may be cited by the HRC in its various communication channels.

**Role in project** should include brief information on what the team member will undertake in the activation activities (1-2 sentences maximum).

Information on ethnicity, gender and whether the researcher is a clinician (and is practising) is used for HRC information purposes only. Please note ethnicity, iwi, clinician, or practising clinician are not required to be entered as these details will automatically populate from the individual person profiles.

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.

**FTE** for each activation team member is also required, to indicate the level of commitment or responsibility of each team member.

### 3.4.3. Research location

This is the primary location(s) in Aotearoa New Zealand, where the research activation activity applies.

### 3.4.4. Discipline

Select from the drop-down box. This should be the area of health delivery research that the proposed research activation activity is connected with.

### 3.4.5. Type of research

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

### 3.4.6. Duration

Enter the proposed term of the work (months), not exceeding 12 months.

### 3.4.7. Commencement date

Enter the proposed commencement date. Please note that the research activation activity must commence by **1 August 2021** for Health Delivery Research Activation Grant – Round 1 and by **1 February 2022** for Health Delivery Research Activation Grant – Round 2.

### 3.4.8. Lay summary

The lay summary is important. The lay summary should be a statement of not more than 150 words and should summarise the intent of the research activation activity, the intended outcome, and how this will lead to further health delivery research activity. The lay summary should be suitable for dissemination to, and understanding by, a lay audience, for example, in a media release and on the HRC website. This information will also be used to inform the HRC in the final approval process if the application is recommended for funding.

## 4. Health Delivery Research Activation Grant – instructions for completing the application

This section sets out instructions for the second part of applying for a Health Delivery Research Activation Grant – the part of the application that requires applicants to complete details in the 2021 Health Delivery Research Activation Grant Application Form.

This section includes prompts for providing certain information in your application form that will be used to determine if you have met the criteria set out in section 1.3 and 1.4.

A full application consists of 5 Modules. This section relates to Modules 2 to 5. The Health Delivery Research Activation Grant Application Form corresponds to the instructions in this section.

### 4.1. About the application form

The **2021 Health Delivery Research Activation Grant Application Form** is a Microsoft Word form that contains a coversheet, Module 2, Module 3 and Module 4.

Module 5 is completed in HRC Gateway at any time after the registration has been submitted. Supporting documents for Section 4D of Module 4 are uploaded to HRC Gateway separately.

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 (including Module 1, completed as part of the registration, and Module 5 completed in HRC Gateway) will be generated by HRC Gateway.

**Note:** By submitting an application in HRC Gateway, the applicant is confirming that the submitted application complies with all requirements as outlined in Section 1, as well as formatting and page limits. The HRC will not accept changes after the closing date.

### 4.2. Completing the application form

The **2021 Health Delivery Research Activation Grant Application Form** is compatible with Windows PC and MAC computers. The form has default formatting that conforms to HRC requirements. Figures and tables are best pasted in from a separate draft document instead of created directly in the form.

Remember:

- Enter information only in 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.
- 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 the HRC's processes.
- Input HRC Ref ID# and activation lead surname on the coversheet.
- Provide information to satisfy the following sections in the form.

#### 4.2.1. Module 2: Research activation activity information (3-page limit)

##### First named investigator (Activation lead)

Provide additional detail to that on Module 1 on who will be leading this work, including previous experience relevant to the activation activity, as well as their role in taking this work forward to connect to future health delivery research opportunities.

### What category best describes the research activation activity?

This section should be limited to single terms or words (a more detailed description of what the research activity will involve can be provided under the subsequent heading – What is the proposed research activation activity?).

Applicants must categorise/state the type(s) of activity/activities they are undertaking. Examples include (but are not limited to) relationship development, priority setting, literature review, skill/capacity building.

### What is the proposed research activation activity?

Describe the proposed research activation activity, how the activity is within scope of the [2021 Health Delivery Research Investment Signal](#), and provide a timeframe for the actions that will be undertaken.

### How will you undertake the research activation activity?

Provide detail on, and clearly justify, the proposed methods and/or steps for undertaking the research activation activity, providing evidence that methods described are appropriate for the specified activity.

### How will the research activation activity contribute to further health delivery research activity?

Outline how this proposed research activation activity will contribute to further health delivery research and the next steps that would allow this to be achieved. In particular, consideration should be given to how this future research will contribute to improved health delivery by informing decisions or changes to policy, practice or systems in Aotearoa New Zealand. We encourage consideration of the project and people pipeline structure (see the [2021 Health Delivery Research Investment Signal](#)).

### How will the research activation activity contribute to Māori Health Advancement?

Provide a description of whether the proposed research activation activity is informed by collaboration or partnership with Māori, and therefore how it has been designed to advance Māori health. If no existing relationship has informed the proposed research activation activity, describe your plan to ensure development of this connection so that the activation activity and/or intended future research connected to this activation activity could lead to improved Māori health. Provide detail as appropriate to the nature and scope of the research activation activity. See the HRC's [Māori Health Advancement Guidelines](#) and [general feedback from the 2020 Health Delivery Research Investment Round](#) for further information.

### How will the research activation activity contribute to improving equity?

What are the downstream impacts on health equity stemming from this research activation activity and/or potential future research connected to this activity? What steps are you taking in your research activation activity to ensure you are contributing to improving equity in Aotearoa New Zealand?

#### **4.2.2. Module 3: References (1-page limit)**

Ensure this section starts on a new page. References may be provided as applicable to the research activation activity being undertaken.

There is a one-page 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 should 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.

### 4.2.3. Module 4: Budget information

#### Section 4A – Budget details

Provide a detailed breakdown of the costs associated with this activation activity in the table provided.

#### Section 4B – Budget justification

Provide justification about why the listed costs are necessary, and how the cost for each item was determined.

#### Section 4C – Other support

##### Other applications awaiting decision

List in this section any relevant applications pending with the HRC and/or other funders that might alter the 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's peer-review process.

##### Financial or 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 organisation. While not an exhaustive list, examples of financial interests include positions such as consultant, director, officer, partner or manager of an entity (whether paid or unpaid); salaries; consulting income; honoraria; gifts; loans and travel payments. Examples of other interests include alignment with special interest groups seeking to advance or promote a particular world view or policy.

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

#### Section 4D – Letters of collaboration/supporting documents

List any subcontracts/Memoranda of Understanding (MOU), letters of collaboration, appendices and any other supporting documents.

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

A letter of collaboration should outline how the interested party intends to contribute resources or to be actively involved in the research activation activity, not simply to state that this work is necessary. Please ensure that any organisation providing a letter of collaboration recognises their intended commitment to the conduct of the proposed activity and timeline of their involvement.

#### **4.2.5. Module 5: Research classification – ANZSRC codes and keywords**

Classification of research is for the HRC's evaluation purposes only. The information is not used in allocating funding. Required details must be entered in HRC Gateway (after the registration has been submitted).

Categorise the proposed research activation activity 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 area of health delivery research that this research activity is connected to.