



**Te Kāwanatanga o Aotearoa**  
New Zealand Government

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

# 2024 Health Delivery Research Project Grant Application Guidelines

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

This section sets out the requirements for the **Health Delivery Research Project 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 3, 4 and 5 contain instructions for applicants on submitting an application, including administrative requirements and how to demonstrate that the requirements for funding are met.

## 1.1. Description

The Health Delivery Research Project Grant provides support for health delivery research of varying values and durations.

The research must be connected to health delivery at a policy, practice or systems level. At a minimum, this requires having named investigators based in healthcare delivery settings with involvement to shape the research need, undertake the research, and identify translational potential.

## 1.2. Value

- The HRC expects to fund and encourages a range of grant values and durations up to a maximum term of five years and a maximum value of \$1.4 million.
- Funding requests will be pro rata by months – the maximum amount available per full year is \$466,666.
- The HRC encourages applicants to consider the most suitable budget and timeframe for their research, including smaller research projects over a shorter duration.
- Requested budgets need to be justified and reflect the activities being proposed.

## 1.3. Eligibility criteria

1. A 'first named investigator' (i.e. lead researcher) on a Project application must have New Zealand as their principal domicile (see definition in the HRC Rules) and their principal place of employment.
2. The HRC welcomes proposals for 'co-first named investigators' under circumstances that would result in a research team of exceptional strength, such as interdisciplinary work. In addition, early and mid-career researchers who have not previously held a project contract are encouraged to apply as co-first named investigator in combination with a mentor/experienced researcher. Residency conditions apply to both first named investigator and co-first named investigator.
3. There is a limit of **one** Project Grant application per first named investigator/co-first named investigator in the 2024 Health Delivery Research Investment Round. Failure to comply with this limit will result in the withdrawal of the application(s) (i.e. all applications submitted after the limit was reached).
4. The maximum value of the Health Delivery Research Project Grant is \$1.4 million over five years (noting that the HRC expects to fund a range of grant values and durations within this maximum threshold).

5. The research must be within scope of the [2024 Health Delivery Research Investment Signal](#) i.e. it must directly connect to health delivery at a policy, practice or systems level, and the research need must be clearly substantiated.
6. The research team must work in collaboration with key individuals in healthcare delivery settings. At a minimum, this requires having named investigators based in health delivery settings with involvement to shape the research need, undertake the research, and identify translational potential.

Note: Host organisations are responsible for ensuring that Aotearoa New Zealand is the principal domicile<sup>1</sup> and principal place of employment for the applicant. By submitting an application, the host is satisfied that this has been met.

## 1.4. Key dates

In the 2024 Health Delivery Research Investment Round, the Project Grant application and assessment process has been split into the following stages. Please note key dates below and refer to Section 1.5 for further details.

### 2024 Health Delivery Research Project Grant – Registration

- Registration opens in HRC Gateway – **7 February 2024**
- Registration deadline in HRC Gateway – **13 March 2024**

### 2024 Health Delivery Research Project Grant – Expression of Interest (EOI) stage

- EOI application deadline in HRC Gateway – **27 March 2024**
- EOI outcomes confirmed via HRC Gateway – **19 June 2024**

### 2024 Health Delivery Research Project Grant – Full stage

- Full application submission opens in HRC Gateway – **19 June 2024**
- Full application deadline in HRC Gateway – **8 August 2024**
- Rebuttal period – **4 October 2024 – 14 October 2024**
- Outcomes confirmed – **19 December 2024**
- Research must commence by **1 March 2025**

## 1.5. Application process overview

### 1.5.1. Registration

An initial registration must be completed prior to submission of an EOI application, which requires key information about the application to be provided directly via HRC Gateway.

Full details on the registration process are provided in Section 3.

### 1.5.2. Expression of Interest stage (EOI)

At the EOI stage, the application process involves completing and submitting the **2024 Health Delivery Research Project Grant EOI Application Form**.

Note: The EOI Form and assessment criteria are specific to this round and differ from other HRC rounds that include an EOI stage.

Full details on the EOI application process are provided in Section 4.

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<sup>1</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.

### 1.5.3. Full stage

If invited to full stage, the application process involves completing and submitting the **2024 Health Delivery Research Project Grant Full Application Form** and the **2024 Health Delivery Research Project Grant Budget Form**.

Full details on the full stage application process are provided in Section 5.

### 1.5.4. The Health Delivery Research Portfolio Panel

A significant part of the Project Grant assessment process is undertaken by the Health Delivery Research Portfolio Panel (Portfolio Panel). Each round, the Portfolio Panel is made up of members with broad expertise across health, research, tertiary education, Māori, Pacific, disability, research end-user, commercial and policy sectors and backgrounds. Portfolio Panel membership comprises strong Māori representation, and at least one of the co-chairs will be Māori.

In situations where there is an insufficient number of Portfolio Panel members for assessment based on application demand, the HRC may allocate the assessment of applications across two separate assessment panels or appoint additional experts to undertake aspects of the assessment of individual applications.

The Portfolio Panel can include different membership between EOI and full stage.

## 1.6. EOI stage assessment process and criteria

### 1.6.1. EOI stage assessment process

The following steps will be undertaken to assess Health Delivery Research Project Grant applications at the EOI stage:

- Initial administrative checking and eligibility screening by the HRC to determine **eligibility criteria 1-2** have been met (consideration of **eligibility criteria 3-4** will be captured in the assessment processes).
- Eligible applications assessed and scored by the Portfolio Panel members separately according to assessment criteria (details on these are set out in Section 1.6.2).
- Applications are ranked, and the lowest scoring applications may be triaged, i.e. do not proceed to the Portfolio Panel meeting and do not receive specific feedback.
- The Portfolio Panel convenes to discuss and score the remaining applications. From this, a final ranking is determined.
- The top ranked applications are invited to full stage.
- Portfolio Panel feedback provided for all applications discussed at the Portfolio Panel meeting.

### 1.6.2. EOI stage assessment criteria

Health Delivery Research Project Grant EOI applications are scored using a 7-point scale for each criterion so that the total maximum score is 21.

The EOI form is structured to ensure the Portfolio Panel have sufficient information to make an assessment regarding the following criteria.

Score	Criteria descriptor
7	Exceptional
6	Excellent
5	Very good
4	Good

3	Adequate
2	Unsatisfactory
1	Poor

### Rationale for research

Based on the information in the EOI form, the Portfolio Panel will determine whether the proposed research:

- is in scope of the [2024 Health Delivery Research Investment Signal](#), having the potential to directly inform decisions or changes to policy, practice or systems in the Aotearoa New Zealand health and disability sector
- addresses an issue that is important for Aotearoa New Zealand health delivery, with demonstration of the evidence gap
- is shaped by health sector, policy, consumer, community, or system involvement and that this involvement will continue throughout the research, to be substantiated by evidence of engagement and involvement on the research team
- will contribute to achieving health equity, with the applicant demonstrating consideration of the downstream impacts of their research on health equity.

### Māori health advancement

Based on the information in the EOI form, the Portfolio Panel will determine if the proposed research is likely to advance Māori health by considering whether:

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

### Research impact

Based on the information in the EOI form, the Portfolio Panel will determine if the proposed research is likely to have an impact that adds value and benefit to Aotearoa New Zealand, by considering whether the research:

- has the potential to influence health delivery policy, practice, or systems in Aotearoa New Zealand, leading to improved health or other social/economic impacts
- will contribute to development of workforce capacity and capability, including upskilling of research team members
- has been well-designed to answer the research aim(s) and question(s).

## 1.7. Full stage assessment process and criteria

### 1.7.1. Full stage assessment process

The following steps will be undertaken to assess Health Delivery Research Project Grant applications at full stage:

- Applications assigned to three or four external peer reviewers to assess the following criteria:
  - Design and methods
  - Expertise and track record of the research team.

The outcome is a score for each of these criteria with feedback/justification for the score allocated and additional comments if necessary. Details on each of these criteria are set out in section 1.7.2.
- Two to three Portfolio Panel members assess the other three criteria concurrent to the external peer review stage:
  - Rationale for research
  - Research impact
  - Māori health advancement.

The outcome is a score for each of these criteria with feedback/justification for the score allocated and additional comments if necessary. Details on each of these criteria are set out in section 1.7.2.
- The reports resulting from external reviewer and Portfolio Panel assessment will be provided to the applicant for their response.
- Note that the applicant response is an opportunity for the applicants to respond to the comments or questions raised by the external reviewers. The applicants are advised to address the main issues raised by the reviewers, remain objective in addressing reviewers and avoid emotional responses.
- The Portfolio Panel convene to discuss applications, external peer review reports, Panel member reports and applicant rebuttal responses, and score all five criteria.
- A total score is determined from this panel assessment, and proposals are ranked based on the total score.
- The Portfolio Panel makes a fundable recommendation to the HRC based on the meeting ranking. The Portfolio Panel is also able to recommend proposals as fundable, contingent on specific feedback and/or conditions being met.
- All Health Delivery Research Investment Round funding recommendations are forwarded to the HRC Council for funding approval.
- Contracting follows.

### 1.7.2. Full stage assessment criteria

Health Delivery Research Project Grant full applications are scored using a 7-point scale for each criterion with the following weighting so that the total maximum score is 35. There is a corresponding section of the application form for applicants to provide information relevant to each of the criteria.

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

Criteria	Points	% score
Design and methods	7	20
Expertise and track record of the research team	7	20
Rationale for research	7	20

Research impact	7	20
Māori health advancement	7	20
<b>Total</b>	<b>35</b>	<b>100</b>

### Design and methods

The applicant must demonstrate that the study has been well designed to answer the research questions because it demonstrates some or all the following:

- comprehensive and feasible study design that is achievable within the timeframe
- appropriate study design to address the objectives of the research
- awareness of statistical considerations/technical or population issues/practicalities
- evidence of availability of materials/samples
- culturally appropriate methodology
- sound data management and data monitoring arrangements
- patient safety issues well managed.

### Expertise and track record of the research team

The applicant must demonstrate that the team, relative to opportunity, have the ability to achieve the proposed outcomes and impacts because they have demonstrated:

- appropriate qualifications and experience
- the right mix of expertise, experience and FTEs, including consideration of capacity building
- the capability to perform research in the current research environment
- demonstrated connections with the health sector and communities, including having named investigators based in health delivery settings and communities, with the ability to shape the research need, undertake the research, and identify translational potential
- networks to maximise knowledge transfer and research uptake, with any plans for dissemination tailored towards specific end-users
- history of productivity and delivery on previous research funding.

### Rationale for research

The applicant must demonstrate that the research:

- is in scope of the [2024 Health Delivery Research Investment Signal](#), having the potential to directly inform decisions or changes to policy, practice or systems in the Aotearoa New Zealand health and disability sector
- addresses an issue that is important for Aotearoa New Zealand health delivery, with robust demonstration of the evidence gap
- has aims, research questions and hypotheses that build on existing knowledge and address this evidence gap
- is shaped by health sector, policy, consumer, community, or system involvement and that this involvement will continue throughout the research, to be substantiated by evidence of engagement and involvement of the research team
- will contribute to achieving health equity, with the applicant demonstrating consideration of the downstream impacts of their research on health equity.

### Research impact

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

- Applicants have described a credible pathway for how their research will influence health delivery policy, practice, or systems in Aotearoa New Zealand, leading to improved health or other social/economic impacts.



- The research team are undertaking steps to maximise the likelihood of impact beyond the productions of knowledge (with appropriate consideration to knowledge translation and implementation) and have the necessary skills, networks and experience to achieve this.

### Māori health advancement

The proposed research is likely to advance Māori health because:

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

### 1.8. Grant contract and reporting

- The standard HRC research contract will be used for this grant.
- For new host organisations, due diligence may be undertaken prior to contracting. The HRC will provide further information and relevant forms for the organisation to complete following a successful outcome for the application.
- There is an option for the HRC to enter into a negotiated proposal enhancement process. This pathway provides an opportunity for applications to progress to being funded, contingent on specific feedback and/or conditions being met. This negotiated process would involve the HRC providing additional targeted feedback from the assessment panel, followed by an opportunity for the host organisation to respond. The response will be considered by the HRC, the panel chairs, and additional expertise as required (this may be an iterative process).
- Successful applicants must start the grant by **1 March 2025**.
- All recipients of a Health Delivery Research Project Grant are required to submit annual progress reports, an end of contract report to the HRC on HRC Gateway within three months of the contract end date, and post-contract reports, due two and five years after the completion of this contract.
- All recipients of a Health Delivery Research Project Grant are required to participate in an HRC-led evaluation during and after completion of their grant, as applicable.

## 2. General information for submitting an application to the 2024 Health Delivery Research Investment Round

This section sets out general information for applicants to the 2024 Health Delivery Research Project 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:

- [2024 Health Delivery Research Investment Signal](#)
- 2024 Health Delivery Research Project 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

The host organisation is the institution or organisation that will be responsible for administering a contract awarded. 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. The HRC will provide further information and relevant forms for the organisation to complete following a successful outcome for the application. Please contact the HRC for further information (section 2.5).

#### 2.1.4. Overdue HRC reports

First named investigators will not be able to submit a new application in HRC Gateway if they have an overdue progress or end of contract report for a previous contract due in HRC Gateway.

### 2.1.5. Overlapping applications

Project applications can only be submitted to one Research Investment Stream/Round (i.e. General, Rangahau Hauora Māori, New Zealand Health Delivery or Pacific Projects) in any one investment year. This applies where projects are substantially the same (i.e. the same first name investigator and substantially the same aims). The host and applicant are responsible for determining the best Research Investment Stream for the application and for ensuring only one submission of a project application.

## 2.2. Format

### 2.2.1. General formatting

Use the **2024 Health Delivery Research Project 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 forms or 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.

Submit the budget information file in both xlsx and PDF formats.

HRC Gateway will allocate file names.

#### 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.

For applicants that are either independent or their 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 Project 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
Orin Robb	(09) 303 5204	<a href="mailto:orobb@hrc.govt.nz">orobb@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 Project Grant – instructions for completing the registration

This section sets out instructions for the first part of applying for a Health Delivery Research Project Grant, which must be completed prior to submission of an EOI application – registration in HRC Gateway.

It includes prompts for providing certain information in your registration.

A Health Delivery Research Project Grant EOI Application consists of three Modules, while a full application consists of six. This section relates to Module 1, which forms the first section of both the EOI and the full 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 **13 March 2024**. Incomplete or late applications will not be accepted.

Submitting a registration generates an HRC reference number to use on the EOI application form. The information entered as part of the registration will form Module 1 of the EOI application, and of the full application if an applicant is invited to submit this stage.

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

The first named investigator must have HRC Gateway accounts to be included in an application. Named investigators will be able to be added after a registration has been submitted and before the EOI application is submitted.

**Note:** While the fields completed and submitted for the registration can be updated prior to the final submission of the EOI application, the intent is that the registration submission should be an accurate reflection of the final information that will be included in the EOI application.

### 3.2. Step 1

Start the registration process by clicking on the 'Apply now' button on the 2024 Health Delivery Research Project 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 dialogue form where the following information will be required.

The applicant will first be required to 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).

#### 3.2.1. Research title

The research 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 administering any contract awarded.

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

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.

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

## 3.4. Step 3

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

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

In the case of co-first named investigators, the co-first named investigator must be listed as the **second** named investigator on the application.

**Role in project** should include brief information on what the named investigator will undertake in the activation activities (1-2 sentences maximum). It should be clear which individual(s) are contributing in a mentoring capacity.

Information on ethnicity, gender and whether the researcher is a clinician (and is practicing) is used for HRC information purposes only. Please note ethnicity, iwi, clinician, or practising clinician are not required to be entered as these details will automatically populate from the individual person profiles. Each named investigator will need to sign-in to HRC Gateway and check and update their details before EOI applications are submitted.

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.

The HRC has updated how it captures FTE in the EOI application, utilising the following FTE 'bands':

3% - 10% (Low FTE)

11% - 40% (Medium FTE)

41% - 100% (High FTE)

Selecting an FTE band for each NI is required at EOI stage.

### **3.4.3. Research location(s)**

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

### **3.4.4. Discipline**

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

### **3.4.5. Duration**

Enter the proposed term of the work (months), not exceeding 60 months (5 years).

### **3.4.6. 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.

### **3.4.7. Commencement date**

Enter the proposed commencement date. Please note that the research activity must commence by **1 March 2025**.

### **3.4.8. Lay summary**

The lay summary is important. The lay summary should be a statement of not more than 150 words suitable for dissemination to, and understanding by, a lay audience, for example, in a media release and on the HRC website. 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 the HRC supporting this application. This information will also be used to inform the HRC in the final approval process if the application is recommended for funding.

### **3.4.9. ANZSRC and keywords**

This information is for HRC evaluation purposes only.

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.



## 4. Health Delivery Research Project Grant – instructions for completing the Expression of Interest (EOI) application

This section sets out instructions for completing the EOI stage of your application, which requires applicants to complete details in a Microsoft Word form.

It 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 1.6.

An EOI application for a Health Delivery Research Project Grant consists of three Modules. This section relates to Modules 2 and 3. The application form corresponds to the instructions in this section.

### 4.1. About the EOI application form

The **2024 Health Research Delivery Project Grant Expression of Interest Application Form** is a Microsoft Word form that contains a coversheet and Module 2 of the EOI application. Supporting documents for Module 3 are also included at the end of the EOI application form.

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) will be generated by HRC Gateway for downloading and printing.

**Note:** By submitting an application on HRC 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.

### 4.2. Completing the application form

The application form is compatible with Windows PC and MAC computers. The form has default formatting that conforms to the HRC's 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.
- 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.
- Input HRC Ref ID# and named investigator surname on the coversheet.
- HRC Gateway will remove the coversheet from the final system-generated PDF.
- Provide information to satisfy the following sections in the form.

#### 4.2.1. Module 2: Proposal (3-page limit)

The section headings provided must be used (these correspond to the assessment criteria used to assess the Health Delivery Research Project Grant at the EOI stage).

The headings in this section correspond with the criteria (see section 1.6) that will be used by the Portfolio Panel in the assessment of applications.

## General information

Briefly outline the research aim(s), research question(s), and proposed research design/methodologies. This information will provide context to the Portfolio Panel in their assessment of the three EOI stage criteria.

## Rationale for research

### What is the critical research need?

This section should include information to demonstrate:

- that your research is in scope with the [2024 Health Delivery Research Investment Signal](#) (i.e. has the potential to directly inform policy, practice or systems in the Aotearoa New Zealand health and disability sector)
- the significant/important gap in Aotearoa New Zealand health delivery at a policy, practice or systems level that your research will address.

### Who has been involved in determining the proposed research?

Demonstrate the involvement of key health sector organisations, groups, communities, consumers, and expertise in the research process (e.g. with identifying the research need/gap, developing and undertaking the research, and being in a position to ensure uptake and translation as required).

### How will this research question and approach ensure improvements to health equity?

Outline any potential downstream impacts of the proposed research for health equity<sup>2</sup> including:

- how the research approach will immediately reduce or avoid exacerbating health inequities; and
- any intended positive outcomes the applicants are seeking to achieve through the research for health equity issues and priority populations.

## Māori health advancement

### How will this research question and approach advance Māori health?

This section should include information to demonstrate:

- how the outcomes of your research could contribute to improved Māori health outcomes or reduction in inequity in the short-term or over time
- activities undertaken or that will be undertaken during this research to maximise the likelihood that it will contribute to Māori health advancement
- culturally appropriate research practices and principles, as appropriate.

Consideration of Māori health advancement is context-specific, as determined by the nature and scope of the research.

See the HRC's [Māori Health Advancement Guidelines](#) for further information.

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<sup>2</sup> A broad definition of equity should be considered, e.g., a range of social determinants and demographics.

## Research impact

### What 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 in the short term or over time. Include detail on potential changes and/or benefits to health delivery policy, practice, or systems.

### Reference list (1-page limit)

Put references in this part of the form after the 3 pages describing the proposed research. Do not extend the research description onto the references page.

Details must include a full list of all author(s), title of article, journal, year, volume and page numbers. Asterisks are to be placed beside applicants' publications. If references are multi-authored, there is discretion to limit the author list to a more convenient number to fit any space limitations.

Reference to Māori terms in the application with brief interpretation should be included here.

### 4.2.2. Module 3: Evidence of collaboration/support

List any evidence of collaboration or support here. This could include a variety of documents, including but not limited to email correspondence and letters of support. Evidence may constitute informal or formal expressions of support from stakeholders such as key sector organisations, groups, communities, consumers, and expertise who have been involved or intend to be involved in the research process.

The documents themselves must be added to the end of the application form (start each of these on a new page) and each should be no longer than 1-2 pages each.

Evidence could, for example, outline how the interested party has been involved in identifying the research need, the development of the research and/or will be involved in the undertaking/translation of the research. It should not simply state that the research is necessary.

## 5. Health Delivery Research Project Grant – instructions for completing the full application

This section sets out instructions for the second stage of applying for a Health Delivery Research Project Grant – the part of the application that requires applicants to complete details in a Microsoft Word form. Please note that this section is only relevant to those invited to submit an application at the full stage.

It 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 1.7.

A full application for a Health Delivery Research Project Grant consists of six Modules. This section relates to Modules 1 to 6. The application form corresponds to the instructions in this section.

### 5.1. Completing Module 1: General information

Module 1 is completed in HRC Gateway, and most information will have been completed at the EOI stage. Most fields will not be able to be edited or updated from EOI stage.

Update Module 1 in HRC Gateway to include the following additional information.

#### 5.1.1. First named investigator

Most information for the first named investigator will have been completed at the EOI stage, and some fields will not be able to be edited or updated.

At the full stage, a defined **FTE value** must be entered for the first named investigator.

#### 5.1.2. Named investigators

A defined FTE value will need to be entered for each named investigator and this value should fall within the FTE band that was selected for each investigator in the EOI application. **The FTE value should be the value for the first year of that investigator's involvement (from the budget spreadsheet).**

**Role in project** should include brief information on what the investigator will undertake in the project (1-2 sentences max).

Information on ethnicity, gender and whether the researcher is a clinician (and is practicing) is used for HRC information purposes only. Please note ethnicity, iwi, clinician, or practising clinician are not required to be entered as these details will automatically populate from the individual person profiles. Each named investigator will need to sign-in to HRC Gateway and check and update their details before 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 NIs.

#### 5.1.3. Research costs

Enter in the relevant totals for staff costs, overhead, working expenses and total cost of research (as entered in the **2024 Health Delivery Research Project Grant Budget Form**).

#### 5.1.4. Milestones and objectives

Milestones and objectives are entered on HRC Gateway and will be included in an awarded research contract and used for contract reporting templates. This section is inserted immediately after the list of named investigators in the final system-generated PDF.

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

### **Objectives**

Briefly describe the intended deliverables of this research application. Objectives should be clear and measurable to allow evaluation of research performance of an awarded contract.

Note that the HRC suggests a minimum of 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.

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

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

## **5.2. About the application form**

The **2024 Health Research Delivery Project Grant Full Application Form** is a Microsoft Word form that contains a cover sheet, Module 2, Module 3, Sections 4A-4D of Module 4 and Section 6D of Module 6. The **2024 Health Delivery Research Project Grant Budget Form** for Module 4 must be uploaded separately. Supporting documents for Section 4D of Module 4 and Module 5 are uploaded to HRC Gateway separately. Module 6 is the research classification that must be completed online (with the exception of Section 6D).

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, Module 5 submitted separately, and the sections of Module 6 completed in HRC Gateway) will be generated by HRC Gateway for downloading and printing.

**Note:** By submitting an application to HRC 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.

## **5.3. Completing the application form**

The application form is compatible with Windows PC and MAC computers. The form has default formatting that conforms to the HRC's 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 HRC processes.
- Input HRC Ref ID# and named investigator surname on the coversheet.

- Provide information to satisfy the following sections in the form.

### 5.3.1. Module 2: Proposal

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

This section should clearly summarise the research proposal. The summary must be no more than one page. A clear and succinct summary, including all the important points of the application can help reviewers get an overview of the proposal and is useful as a quick reference for the Portfolio Panel members. Use the suggested headings and add subheadings if required.

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

The section headings provided must be used (these correspond to the assessment criteria used to assess the Health Delivery Research Project Grant). Throughout your discussion, remember that your audience includes not only your discipline-specific peer reviewers but also a more broadly experienced Portfolio Panel. It is in your best interest to structure your discussion in a clear and logical fashion. Ideally, seek feedback from a colleague outside your immediate research area.

These headings in this section correspond with the criteria (see section 1.7) that will be used by the external peer reviewers and the Portfolio Panel in the assessment of applications.

The use of graphics and tables is an efficient use of space (please ensure font type and size are easily legible). Ensure that the format of non-text content is compatible with PDF conversion software.

#### Rationale for research

To meet the requirements for this criterion (outlined in section 1.7), consider the following:

Include information that you feel is essential for the reader to better appreciate or understand why you feel your proposed research should be undertaken. Demonstrate that your research is in scope with the [2024 Health Delivery Research Investment Signal](#). Demonstrate that you have adequately reviewed what is already known in the area and that there is a clear case for further research. For example, refer to systematic reviews or an otherwise robust demonstration of a research gap. Consider the following in responding to this section:

- What is the significant/important gap in health delivery at a policy, practice or system level that your research will address?
- Why is this research of importance to health delivery in Aotearoa New Zealand, and how will the research evidence directly meet the needs of the sector?
- How does your research contribute to, or align with, research currently being undertaken either nationally or internationally?
- Where does your proposed research fit relative to the worldwide perspective? For example, is it unique to Aotearoa New Zealand?
- Do your hypotheses build on existing knowledge?
- How original is the approach?
- What is the significance of the health issue for Aotearoa New Zealand health and society?
- How will your research contribute to achieving health equity<sup>3</sup>?

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<sup>3</sup> A broad definition of equity should be considered, e.g., a range of social determinants and demographics.

## Design and methods

To meet the requirements for this criterion (outlined in section 1.7), consider the following:

Include sufficient detail of study design and methods so that an assessment can be made of its appropriateness, robustness and/or innovativeness. This might include a description of sample recruitment and characteristics (including number, gender and ethnicity, where relevant), study methodology, and proposed methods of data collection and analysis.

Indicative timelines for the research should be included. Consultation with specialists such as methodologists, statisticians, health economists and key stakeholders (including communities or patient groups) before finalising research design is recommended. Where possible, detail the validity of the proposed analyses, and the feasibility of attaining the statistical power sought (if appropriate).

Where appropriate, it is essential to provide power calculations and an estimate of the likely effect size and the sample size required to detect this (power analysis), after consultation/involvement with a statistician. Clinical trial\* applications are to include a description of statistical guidelines for early termination and a description of data and safety monitoring arrangements, where appropriate.

The external reviewers need this information to judge and appropriately score this criterion, so ensure that the practicalities are clearly stated, i.e., what will be done, how, by whom, where and when.

\*The HRC Data Monitoring Committee (DMC) provides an independent DMC with appropriate trial-specific expertise that follows best international practice if required. For more information on trial monitoring in general and the HRC DMC in particular, see ([www.hrc.govt.nz/about-us/committees/data-monitoring-core-committee](http://www.hrc.govt.nz/about-us/committees/data-monitoring-core-committee)).

## Expertise and track record of the research team

To meet the requirements for this criterion (outlined in section 1.7), consider the following:

Provide evidence that the team has the qualifications, experience and knowledge in the proposed research area; right mix of expertise, and appropriate networks and collaborations; history of productivity and delivery; and the right research environment/infrastructure to deliver the research and disseminate results.

It is expected that applicants will demonstrate the involvement of key health sector individuals in the research process (both in identifying the research need/gap, undertaking the research, and being in a position to ensure uptake and translation as required). These individuals may include clinical leaders, educators and healthcare managers, or individuals who make decisions about/influence health policy, practice or systems.

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

The expertise and track record of each member of the team (i.e. named investigators) must be described. Consideration will be given to the FTE of senior named investigators on each proposal and weight their scoring on the expertise and track record of the research team accordingly, i.e. high scores should not be allocated on the basis of a senior named investigator who has a small percentage FTE involvement in the research. Include a brief description of the team's track record related to the proposal area, to demonstrate the ability to deliver proposed study outcomes. Highlight important skills, expertise and previous

collaborations in the team that would support delivery of the proposed research. Justification for staff roles should be provided.

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

Use the NZ Standard CV template with default font from HRC Gateway. Do not exceed the page limits. The HRC will not accept any other form of CV. Applicants are encouraged to note when career breaks, such as parental leave, occurred as track record is assessed relative to opportunity.

The research team in the full application must be included in any subsequent contract.

## Research impact

**Note:** Assessment of impact includes two components: 1) a description of how your research might be used and the anticipated benefits for Aotearoa New Zealand, and 2) the action plan to maximise the use and benefits of the research. See the HRC's Research Impact Slideshow for additional guidance on completing this section.<sup>4</sup>

To meet the requirements for this criterion (outlined in section 1.7), consider the following:

### **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 Aotearoa New Zealand). Research-related benefits, such as capacity and capability gains for Aotearoa New Zealand, and influence on future research agenda-setting, may be included where relevant.

### **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, taken 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 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

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<sup>4</sup> Consult the HRC's [Research Impact Slideshow](#) 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.



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.

### **Māori health advancement**

To meet the requirements for this criterion (outlined in section 1.7), consider the following:

All applicants for HRC funding will be required to address these two questions in their proposals.

#### **How will the outcomes of your research contribute to Māori health advancement?**

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

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

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

If the research is not expected to make direct contributions to Māori health, identify actions that will be undertaken throughout the life of the project to contribute to other facets of Māori health advancement. Identify barriers to actioning your aspirations for advancing Māori health and your mitigation strategies (where relevant). Identify elements of the team's track record that provide confidence that this research will optimally contribute to Māori health advancement. For example, existing links, relationships, or networks with relevant Māori communities and next-users or end-users of research; demonstrable examples of knowledge translation and uptake; or changes to practice or policy that have enhanced equity and advanced Māori health. This component is considered relative to opportunity (i.e. stage of career progression, nature of research, and organisational capacity and capability).

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

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

### **5.3.2. Module 3: References**

Ensure this section starts on a new page.

Citations for key references in the text in Module 2 should be supplied. Details must include a full list of all author(s), title of article, journal, year, volume and page numbers. Asterisks are to be placed beside applicant's publications. If references are multi-authored, there is discretion to limit the author list to a more convenient number.

Reference lists generated by bibliographic software may need to be first copied into a blank Word document and then copied into the form.

### 5.3.3. Module 4: Contract information and budget

**Note:** Sections 4A – 4D are part of the **2024 Health Research Delivery Project Grant Full Application Form**.

Sections 4E – 4H are to be completed on the separate Excel file - **2024 Health Delivery Research Project Grant Budget Form**.

#### 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. Unnamed postdoctoral fellows should be justified, but it is recommended that named postdoctoral fellows should be included as named investigators and should provide a CV. Requests for funding may be declined for roles that are not fully justified or are simply described as a 'training opportunity'. Provide evidence that biostatisticians, data managers, health economists and health care providers 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'.

##### 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 Portfolio Panel 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 and casual staff so that the Portfolio Panel can appreciate how these persons are necessary for the proposed research.

For students, stipends must be included at the per annum values approved by the HRC: \$30,000 for PhD students and \$20,000 for Masters students, and up to \$7,500 for summer students, or pro-rata for part-time students.

Students should be named if they have been identified at the time of application, and their expertise relevant to their role should be described in the justification. Unnamed students can be included in the application budget as e.g. "PhD student (not yet appointed)". The HRC must be advised of the student's name and relevant expertise once appointed. Where an unnamed student is included, the applicant **may not** include any information about their intention to recruit and appoint a student with any particular expertise or other characteristic, such as

ethnicity or gender. Any such supplementary detail on unnamed students will be considered unjustified and will be disregarded in the assessment process.

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 organisation 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.

#### Section 4B: Previous/current contracts and awards

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

Using the table provided, outline current and previous support from any agency that has been received by the first named investigator as principal investigator. Copy the table and repeat for each received grant as required. This section is intended to provide the HRC reviewers and committee members with an overall summary of the first named investigator's abilities to secure research funding for this type of research.

For 'Nature of support', indicate whether the funding supports salaries only, working expenses only, both salary and working expenses, equipment, a junior research fellow, etc.

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

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

#### Section 4C: Other support

##### Other research applications awaiting decision

List in this section any relevant research applications pending with the HRC and/or 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'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. 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.

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

List any subcontracts/Memorandum of Understanding, letters of collaboration, and relevant emails of support. Please see the subsection 'Subcontracts/Memorandum of Understanding (MOU)' in Section 4E below for further details.

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 implement the findings of the research upon its completion or provide material or actual support for the research, not simply to state that the research is necessary. Please ensure that any organisation providing a letter of collaboration recognises their intended commitment to the conduct of the proposed research and timeline of their involvement.

#### Section 4E: Research proposal budget

Further instructions are contained in the Notes tab of the **2024 Health Delivery Research Project Grant Budget Form**.

For more information, refer to the **HRC Rules** document, which is available on HRC Gateway.

#### 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 organisation 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.

The budget form does not accept FTE less than 3%. The HRC and 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 project. Advisory groups of contributors, who have FTE commitments less than 3%, may be a consideration for the research team.

Do not enter salary-associated costs (i.e. amounts requested for an 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 or unnamed Masters and PhD students on stipends and casual staff.

- Subcontracted staff are those who are **not** employees of the host organisation. The salary and all other expenses for these staff should be broken down into appropriate categories on a detailed subcontract/MOU between the host organisation and non-host organisation using Section 4F. The total GST-exclusive dollar figure for the subcontract/MOU should be all-inclusive, including overhead calculations (note: the HRC does not cover overheads for overseas-based organisations). The subcontract/MOU total should then be entered under 'Working expenses - subcontracts' for each year.
- If funding to provide a stipend for a PhD (\$30,000 pa) or Masters student (\$20,000 pa) is requested, enter these into 'Working expenses – materials and research expenses'. Students should be named if they have been identified at the time of application. Unnamed students can be included in the application budget as e.g. "PhD student (not yet appointed)". The HRC must be advised of the student's name once appointed.
- Casual staff (those persons without an ongoing role or commitment to the research, but providing one-off services to the research on a part-time, hourly or per diem basis, e.g. interviewers) should also be requested under 'Working expenses - materials and research expenses'.

**Note:** The proportion of contract budget allocated to overseas named investigators must not exceed 20% for this Health Delivery Research Project Grant.

Overheads will be paid at a negotiated rate for each host organisation on all eligible contracts.

### 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 organisation's auditors have certified that specific items of equipment have been excluded from the research rate, then depreciation on the excluded equipment can be included in research applications and justified in the same manner as other direct costs.
- Expenses of research participants.

- Travel costs directly related to the conduct of the research. Contract funds may be used to provide assistance with overseas travel provided the HRC is satisfied that such travel is directly relevant to the conduct of the research and that alternative sources of funding are not available. This is not intended to relieve the applicant's host organisation of its obligation to assist with the costs of overseas travel by its employees.
- Costs for stipends for Masters (\$20,000 pa) and PhD (\$30,000 pa) students can be requested. Both named and unnamed students can be included; in both cases, a description of the student's research project/contribution to the research activity should be provided in Section 4A. Funding for stipends will be conditional upon the organisation arranging a tax-free stipend that satisfies the Inland Revenue and host organisation'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 and translation 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 or knowledge transfer activities, such as meeting with community groups or knowledge mobilisation meetings with policy/practice representatives).
- 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 organisation.
- 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 at [info@hrc.govt.nz](mailto:info@hrc.govt.nz).

### Subcontracts/Memorandum of Understanding (MOU)

Subcontract staff are not employees of the host organisation. 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 organisation and non-host organisation. An MOU should also include overhead calculations for salaries (note: the HRC does not 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%.

### Total cost of research

Enter the appropriate overhead rate (OHR) in the budget. Researchers should seek advice from their host organisation Research Office on the costing of their research applications and the OHR negotiated with the HRC.

After entering the appropriate OHR, the total cost of the research will be automatically calculated. Enter this amount in the online section of the research application.

### 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 MOUs requesting more than \$50,000; add a copy of Section 4F for each subcontractor. The overhead rate used should be that for the host organisation of the subcontracted staff, not that of the main host organisation of the applicant (note: the HRC does not cover overheads for overseas-based organisations). The total dollar amount for each year should then be entered under 'Working expenses – Subcontracts' and a copy of the subcontract/MOU should be uploaded separately in HRC Gateway.

A CV must be provided in Module 5 for all named investigators on MOUs to enable the Assessing Committees to determine whether the named investigator's expertise is appropriate and/or necessary. Without this information, the 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.

### Section 4G: FTE summary

List the time involvement of **all** personnel (including those on a subcontract/MOUs) in terms of FTEs, 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 named investigators are 'Time only' (i.e. not receiving salary for their involvement in the project). Identify all postgraduate students by 'Masters' or 'PhD' as well as by their names. Ensure the FTE figures are the same as those in the budget and MOU budget sections (Sections 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).

### 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 purposes, select one of the following options: Research, commercialisation or knowledge transfer.

For support, please indicate the value of any funding for this research provided by the collaborator in New Zealand dollars or list any in-kind support.

#### **5.3.4. Module 5: New Zealand standard CV template**

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

Use the New Zealand standard CV template with default font from HRC Gateway. 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 named investigator's HRC Gateway profile.

The CV may indicate when career breaks (including pandemic-related disruptions) have taken place as track record will be assessed relative to opportunity.

#### **5.3.5. Module 6: Research classification (additional information in HRC Gateway)**

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.

##### **Section 6A: ANZSRC and keywords**

Categorise the proposed research using the ANZSRC codes for the Fields of Research (FOR) and Socioeconomic Objective (SEO). Enter the percentage to the nearest 10% for each category to a total of 100%. Enter keywords that categorise the research.

##### **Section 6B: Economic benefits**

Please provide a brief description of any potential economic benefits you consider may arise from your research. If no direct economic benefits are anticipated, please state this rather than leaving the field blank. The HRC's interpretation of economic benefits is broad and includes:

- contributing to maintaining a healthy and productive population
- contributing to an efficient and cost-effective health system, and
- value generated from IP and innovation.



## Section 6C: 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, may select 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 describes each category.

Mapping category	Description
<b>Biomedical</b>	
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).
<b>Clinical</b>	
Clinical studies	Research involving human subjects. This excludes research in which samples from human subjects are used for fundamental biomedical research, such as genetic linkage analyses.
Clinical trials	Randomised clinical trials, usually randomised controlled clinical trials.
<b>Health services</b>	
Health economics	Research into the cost-effectiveness of treatments/services 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.
<b>Public health</b>	
Knowledge resources	This includes all epidemiology, underpinning social science (qualitative and quantitative), development of tools and new methodologies, and development of indicators.
Risk factors	Research linking life experiences, behaviours, exposures 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.

## Section 6D: Research methodology categorisation

**Note:** Section 6D is completed in the Health Delivery Research Project Grant Full Application Form (not in HRC Gateway).

This information will be used to inform the HRC's assessment process and policy analyses. We are trialling capturing this data and the information we receive will assist in developing our approach going forward.

We appreciate there is a range of different research methodologies and that these can be described in different ways. The research methodology keywords entered in this section should be descriptive and provide a greater level of detail than simply 'quantitative', 'qualitative' or 'trial'. However, only single words or terms should be entered in this section – we are not expecting a detailed written description of the methodologies to be used.

Possible examples of research methodology keywords may include terms such as participatory action research; cluster randomised controlled trial; kaupapa Māori methods; systematic review; meta-analysis; implementation science; etc.