

October 2016

## Partnership Programme Full Application Guidelines (RP216-RPNZHD)

for

## 2016 Research Partnerships for New Zealand Health Delivery (RPNZHD)



# Contents

<b>Part A: Introduction.....</b>	<b>4</b>
<b>Part B: Rules for Submitting the RP216-RPNZHD Application Form .....</b>	<b>5</b>
1. <i>Use of RP216-RPNZHD Form .....</i>	5
2. <i>Use of JV216-Budget form.....</i>	5
3. <i>Format.....</i>	5
4. <i>Copies of Application required .....</i>	6
5. <i>Privacy Provisions.....</i>	7
6. <i>Mailing Address .....</i>	8
7. <i>Enquiries .....</i>	8
<b>Part C: Completion of the RP216-RPNZHD Form.....</b>	<b>9</b>
1. <i>Module 1: General Information .....</i>	9
2. <i>Module 2: Proposed Research .....</i>	11
3. <i>Module 3: References.....</i>	12
4. <i>Module 4: Contract Information and Budget.....</i>	12
5. <i>Module 5: NZ Standard CV .....</i>	20
6. <i>Module 6: Research Classification .....</i>	20
<b>Part D: RPNZHD Full Application Assessment Criteria .....</b>	<b>22</b>

## Part A: Introduction

A two-stage application procedure applies for Research Partnerships for New Zealand Health Delivery (RPNZHD). The first stage of the application procedure was to submit an Expression of Interest (EOI). EOIs were reviewed by an Assessing Committee and a select number of applicants invited to proceed to the second stage of the application procedure and submit a full application. Full applications will undergo external peer review followed by applicant rebuttal. Full applications, including peer review and rebuttal comments, will then be assessed by the Assessing Committee.

Projects submitted under the RPNZHD will have a maximum term of 18 months and a maximum budget of \$200,000 (exclusive of GST and partner organisation contribution).

Applicants invited to submit a full application under RPNZHD must use the application form RP216-RPNZHD and the budget spreadsheet JV216-Budget form. Do not use forms from previous rounds or other funds.

# Part B: Rules for Submitting the RP216-RPNZHD Application Form

The full application process requires applicants to submit two components to the HRC:

- A written proposal using the RP216-RPNZHD (MS Word) form
- A budget spreadsheet using the JV216-Budget (MS Excel) form

## 1. Use of RP216-RPNZHD Form

### 1.1 When to use RP216-RPNZHD Form

The RP216-RPNZHD form (and spreadsheet JV216-Budget form) should be used for full applications for RPNZHD funding. Only applicants invited to submit a full application should complete this form.

Ensure that the correct form (RP216-RPNZHD) is being used (for Modules 2-4D). No other form should be used. This form is available via the HRC website ([www.hrc.govt.nz](http://www.hrc.govt.nz)) and is an MS Word file.

### 1.2 Prior to submission of RP216-RPNZHD Form

Before submitting this application form, applicants should:

- Confirm that they have been invited to submit a Full Application for this initiative;
- Read the RFP for Research Partnerships for New Zealand Health Delivery (RPNZHD);
- Read Guidelines on Ethics in Health Research;
- Read Guidelines for Researchers on Health Research Involving Māori;
- Read Guidelines for Pacific Health Research.

All documents are available on the HRC web site ([www.hrc.govt.nz](http://www.hrc.govt.nz)).

### 1.3 New Host Organisation

New host organisations (e.g., Independent Hosts), who have not previously been funded by the HRC, will be required to answer “due diligence” questions before their applications are processed. Please contact the HRC for further information.

## 2. Use of JV216-Budget form

Ensure that the correct form (JV216-Budget.xlsx) is being used. No other form should be used.

Sections 4E-4H of Module 4 should be entered in the budget spreadsheet using the JV216-Budget form. Section 4I is entered directly in HRC Gateway.

## 3. Format

### 3.1 General Formatting

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

Applications must be prepared 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). Please note that the HRC cannot guarantee that Māori macrons will be translated correctly when forms are converted to pdf.

The form must be filled in using default fonts and other settings (margins), although it is possible to change heading fonts for clarity. Single line spacing should be used at all times.

Documents must be printed on white A4 paper, single-sided for the original, double-sided for copies. Paper copies must be reproduced at the original size. The use of colour is not recommended.

Use the original RP216-RPNZHD form as it contains special features. To ensure your application is processed:

- Do not copy and paste the Module or Section headings
- Do not merge tables
- Do not alter table headings (shaded blue), or remove table columns.
- Use only Arial 10-point or 11-point type. These are the default formats in the form.
- CVs must be Arial 12-point font (the CV is not an HRC document and has different formatting requirements)
- Adhere to page limits.

### 3.2 Compliance

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

### 3.3 Additional Documents

Proposals must be fully self-supporting. Any additional documentation (including letters of commitment/supporting documents) must arrive at the HRC by the due date for applications, and must show the HRC reference number. Co-funding commitments from other sources that are confirmed after the closing date should be provided as they become known and may be useful to the Assessing Committee.

## 4. Copies of Application required

### 4.1 Electronic copy

Upload the completed RP216-RPNZHD file via HRC Gateway. The closing date for Full Applications to be submitted via HRC Gateway is **1pm, Tuesday 13 December 2016**.

Upload the form as a .pdf file created by using the pdf function in MSWord or another pdf generator. The conversion to pdf format prior to uploading allows applicants quicker access to the final compiled application, containing all sections, so that inspection of graphics can be completed.

Submit the JV216-Budget.xlsx in both .xlsx and .pdf formats. Use this HRC spreadsheet – this contains special features used for HRC processes. Do not input anything in the coloured cells.

HRC Gateway will allocate file names for the uploaded RP216-RPNZHD and JV216-Budget.xlsx.

### **Important**

The application is submitted to the host Research Office when the applicant uploads their files and submits through HRC Gateway. The application will be forwarded to the HRC after host approval. Always allow sufficient time near the closing date for these steps.

If you do not have a research office, please contact Luke Garland, Project Manager (email lgarland@hrc.govt.nz or phone 09 303 5214) for further information.

## **4.2 Paper copies**

Hard copies of the application should be submitted to the HRC by **5pm, Friday 16 December 2016**.

HRC Gateway creates a .pdf document of the complete full application (Modules 1-6) **once the application has been forward to the HRC**. Print this document and submit 1 signed, unbound original application and 2 stapled, double-sided copies.

## **4.3 No Faxed or Email Copies**

Applications must be received in hard copy format AND in electronic format via HRC Gateway (see above for details).

## **4.4 Incomplete Applications**

Incomplete applications will not be accepted. This applies to ALL modules.

## **4.5 Returned Applications**

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

## **4.6 Significant Changes between EOI and Full Application**

Applicants should not make significant changes to the research team and research plans as described in their EOI application. Significant changes may result in the Full Application being disqualified. Note: if staff are different from the EOI application, please notify the HRC prior to the Full Application submission deadline and justify the change.

# **5. Privacy Provisions**

## **5.1 Statistical Purposes**

The information requested in an application will be used for the purpose of assessing that application and, in a non-identifiable form; some information will be used for HRC statistical purposes. The HRC undertakes to store all applications in a secure place and to destroy declined applications after due process to preserve confidentiality, unless applications are required to be kept by the National Archives.

## **5.2 Peer Review**

Personal information contained in the application may be made available to external peer reviewers and members of the HRC Committees relevant to the review of the application. This includes electronic and paper copies of the application. The HRC may seek reports from peer reviewers, where appropriate, to assess the scientific merit, health importance and cultural appropriateness of the application.

### 5.3 Media Release

In the event that an application is successful, the HRC reserves the right to release applicants' names, details of the host institution, contact details (work phone or email), contract title, lay summaries and funding and overheads awarded for public interest purposes and to meet the statutory requirements of the Health Research Council of New Zealand Act 1990.

### 5.4 Official Information Act

Should the HRC receive requests for information in an application via the Official Information Act then we will consult with the host institution in handling the request. Where appropriate, or in certain circumstances the request may be transferred by the HRC to the host institution.

## 6. Mailing Address

The application should be sent to the HRC office address:

***Mailing Address:***

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

***Physical/ Courier Address:***

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

## 7. Enquiries

All enquiries related to HRC applications should be directed in the first instance to the Research Office of the applicant's host institution.

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

Luke Garland  
Project Manager, Research Partnerships  
DDI: (09) 303 5214  
E-mail: [lgarland@hrc.govt.nz](mailto:lgarland@hrc.govt.nz)



## Part C: Completion of the RP216-RPNZHD Form

This section outlines what is expected in each field of the RP216-RPNZHD form and the JV216-Budget form.

### 1. Module 1: General Information

Module 1 of the application must be completed via HRC Gateway. This module incorporates the Registration information (entered as part of EOI application), with some additional fields. All or most information will have been completed at the EOI stage. The fields that are new or that that can be edited from EOI stage are indicated below.

#### **HRC Funding Request (dollar amount)**

Enter the HRC funding request – this amount should be copied from the budget spreadsheet.

#### **Partner Organisation(s) contribution (dollar amount)**

Enter the partner organisation contribution – this amount should match the amount detailed in section 4C.

#### **Lay Summary of Research**

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

- a) Research objectives (not substantially different from the EOI)
- b) Principal methodologies
- c) Potential health outcomes or impact.

Also ensure the content has been reviewed and is in a final form ready for publication if needed. Note that if project objectives are modified, the First named investigator will be asked to submit a revised lay summary.

#### **Host Institution Office Contact**

Complete the contact details for the person who will be the contact for the application process. In most cases, this will be someone at the Research Office of the host institution.

#### **Other Named Investigators**

The research team should be the same as included in the EOI; however, if a named investigator needs to be changed **please notify the HRC prior to the Full Application submission deadline and justify the change.**

Click on the 'Update' button to enter details. All named investigators must have an account profile on HRC Gateway before they can be added to an application. There are three ways that you can find a person's profile:

- HRC ID – this is an internally generated number that displays on a person's profile
- Email – search by email address
- First name, Surname

If no match is found, contact the named investigator and ask them to sign up for HRC Gateway. Please note that if the named investigator is an international investigator, they will need to select the 'Individual' option for their host organisation when signing up for HRC Gateway.

After selecting the named investigator, ensure the following fields are completed:

- Department
- Organisation
- Role in Project
- Ethnicity (optional)
- Gender
- Clinician
- Practising
- FTE
- Share application access

Any named investigator can be removed or updated by clicking on the 'Remove/Update' button on the application screen.

Named Investigators are defined as those researchers duly responsible for the conduct of the proposed research (this may include subcontractors who are named investigators). Typically, these persons would constitute those doing the research.

"Role in project" covers position or skills in the project, e.g., project manager with overall responsibility for the coordination of the study; statistician working across study groups to provide advice and final analysis, etc.

Information on ethnicity, gender and whether the researcher is a clinician (and practising) is used for HRC evaluation purposes only. The ethnicity and gender information is optional. A clinician is defined as a health professional involved in the clinical practice of medicine, psychology, dentistry, physiotherapy/occupational therapy or pharmacy. This includes all qualified doctors, nurses, midwives, dentists, pharmacists, physiotherapists, occupational therapists, dieticians and psychologists. Dieticians and psychologists are only considered clinicians if they have been involved in clinical practice. Dental nurses and physiotherapy assistants are not considered to be clinicians. A practising clinician is an individual who is contractually obligated to treat patients or clients, and does not engage with patients only for the purposes of research.

The FTE should be the average for term of contract.

Please ensure that the contact details and names of the named investigators are the same in the respective CVs that will be submitted as part of the full application.

### **Nominated impartial peer reviewers**

Nominated peer reviewers are not references to support your application. External peer reviewers will be utilised by the HRC to carry out peer review of full applications. They should not be people that may be compromised in their assessment of applications due to a conflict of interest such as having a close professional, collegial or personal relationship with an applicant. Applicants may nominate up to two.

### **Peer reviewers unacceptable to applicant**

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

## 2. Module 2: Proposed Research

The following section headings should be used to structure the discussion of your proposed research. Throughout your discussion, remember that your audience includes not only your discipline-specific reviewers, but also a more broadly experienced Assessing Committee that is comparing your application's merits against many others. 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. Note that the research plan in the Full application should not differ from what is described in the EOI; significant changes can disqualify the full application.

### 2.1 Section 2A: Summary of Proposed Research (1 page only)

This section should clearly summarise the research proposal. The content should not be significantly different from the EOI. The summary should be a maximum of **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 Assessing Committee members. Use the suggested headings and add subheadings if required.

### 2.2 Section 2B: Description of Proposed Research (10 page limit, excluding references)

#### **Rationale for Research**

Include information that you feel is essential for the reader to better appreciate or understand the rationale for your research application. Why is the issue being approached in the way outlined in this application? Where does this research fit relative to the world-wide perspective? For example, is it unique to New Zealand? Does it support or contribute to research being conducted elsewhere? Why is this research of importance to the decision maker and how will the research evidence directly meet the needs of the partner organisation?

#### **Relevance to the RFP**

The relevance to the RFP of this research application must be clearly expressed. For example, what is the significance and contribution of the research to this research field; where relevant, how could the research impact upon health policy and/or the provision of health services? Rather than wasting valuable space with large amounts of background information on the general health problem, focus on how your research will contribute to addressing the Objectives, Themes and Research Characteristics identified in the RFP.

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

Include your specific research hypothesis (if relevant), and a detailed design that describes sample recruitment and characteristics (including number, gender and ethnicity where relevant), study methodology and proposed methods of data analysis. Where appropriate, provide an estimate of the likely effect size and the sample size required to detect this (power analysis). Consultation with specialists such as methodologists, statisticians and health economists before finalising your research design is recommended. It is important that you consider how the research design and methods will meet the requirements of the RFP and ensure the delivery of any outputs as stated in the RFP. This section should identify main outcome measures.

### **Knowledge Translation Plan**

Use this section to outline the potential for knowledge transfer and the processes or steps in place that will support uptake of the research findings. This should include the following: how the decision maker is integrated throughout the research process; how dissemination strategies will be tailored to meet the needs of diverse stakeholders so the results are of maximum utility; and the planned timeframe and forum for implementation (should results be positive). Applicants are expected to identify and demonstrate how the research findings are likely to enable the health and disability sector to make informed decisions or valuable changes to its practice, expenditure and/or systems in the short term.

### **Responsiveness to Māori**

How might your research contribute to the health needs of Māori? What is the health significance and context of this research to Māori? Discuss the incidence or prevalence in Māori, or indicate if not known to be significantly different from the general population. Have you sought advice for the study from a Māori researcher/representative (if applicable)? Note: The declaration on Responsiveness to Māori, which forms part of the Administrative Agreement with the host institution, is in Section 6B.

### **Track record of the research team relevant to this proposal**

Include a description of the team's track record related to the proposal area. The Assessing Committee will consider the skills and/or expertise in the team that would support both delivery of the proposed research outcomes and support the uptake of research outcomes (should the results be positive).

**There is a 10 page limit for Section 2B. References should be listed in Module 3.**

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

Ensure this section is on a new page, to avoid it being included in page limits: there is no limit to the number of reference pages. Citations for key references in the text in Section 2B should be supplied. Details must include author(s), title of article, journal, year, volume and page numbers. Asterisks are to be placed beside applicant's publications.

## **4. Module 4: Contract Information and Budget**

Sections 4A – 4D are part of the RP216-RPNZHD application form.  
Sections 4E – 4H are to be completed on the separate Excel file (JV216-Budget.xlsx).  
Section 4I is completed on HRC Gateway.

- a) Enter the HRC REF ID number at the top of Section 4E.
- b) The Contract Information and Budget spreadsheet must be submitted as a pdf and an excel file using the online system.

**The budget spreadsheet is to be completed for the HRC funding request only. Budget information for the partner organisation contribution is to be included in section 4C of the RP216-RPNZHD 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 for whom CVs have been provided. Also explain the role of **ALL OTHER** personnel (named or un-named) who will be actively associated with the research and for whom you are seeking funding. These may be research assistants, technicians, medical staff, interviewers and support staff or similar, whose names or position titles are listed in the budget under “Research Staff” and who have specific FTE involvements. Un-named post-doctoral fellows should be justified here, but it is recommended that named post-doctoral fellows provide a CV in Module 5. Assessing committees may consider not awarding funds for roles that are not fully justified or are simply described as a “training opportunity”. It is the responsibility of the applicants to ensure that no personnel justified in this section will exceed 100% FTE on their combined commitments during the term of the contract. The roles of students and casual staff should be justified in the following section (Justification of Working Expenses).

### Justification of Working Expenses and Casual Staff

All items listed under Materials and Research Expenses in the budget should be justified, with costs broken down per item unit, and full costs per item for number of units requested. The application review process will consider the appropriateness of the budget and working expenses. If there are exceptional requests for working expenses, ensure that the assessing committee will clearly understand why the requested materials, travel, or research tools are necessary for the successful completion of the research. Ensure any significant one-line items are justified adequately enough for the assessing committee to understand the appropriateness. Clearly justify the roles of students (must be named) and casual staff so that the Assessing Committee can appreciate how these persons are important and necessary for the proposed research to be completed. It is the responsibility of the applicants to ensure that no students justified in this section will exceed 100% FTE on their combined commitments with the Host Institution during the term of the contract.

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

## Section 4B Previous / Current Contracts and Awards

List first named investigators previous / current Contracts awarded within the past 5 years. Using the table provided, outline current and previous support from any agency that has been received by the first named investigator. This section is intended to provide the peer reviewers and the assessing committee with an overall summary of the lead applicant’s ability to secure research funding for this type of research. Final Reports for recently completed HRC contracts may be made available to assessing committees.

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.

## Section 4C Other Support

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

List the research applications the team has pending with other funding agencies. If applicable, indicate in the spaces provided any overlap of resources and personnel that the listed research application might have with this application submitted to the HRC. Please append to this section the coversheet and abstract of potentially overlapping contracts submitted to other funding agencies.

If the first named investigator, or any named investigator believes that disclosure of a significant relationship to companies would be valuable (e.g., contribution to project costs, staff joint appointments or equipment), provide details. A clear description of how the current application relates to those relationships is desirable but assessment of commercial links is NOT part of the HRC peer review process.

### **Partner Organisation Co-funding**

List the partner organisation(s) committed to providing support and/or resources for the project. **Given the potential variation in the nature of partner organisation co-funding, it is the responsibility of the applicant to ensure the partner organisation co-funding is transparent; the nature of the support must be clearly described (insert calculations where appropriate) and justified.** The Assessing Committee will use this information as evidence of buy-in from the partner organisation and an indication of value of the research funds.

The contribution of each partner organisation should be stated as a total amount and detailed further under the headings of 'Research staff' and 'Research working expenses' (see section 4B for a description of these terms). If either of these headings is not applicable then leave the section blank. You may expand the boxes for 'Amount of contribution' and 'Description of contribution' as required.

A CV should be included in Module 5 for all named investigators from the partner organisation to enable the Assessing Committees to determine whether the investigators' expertise is appropriate.

The sum of the 'Total contribution' of each partner organisation should equal the amount entered in Module 1 under 'Partner organisation contribution.'

### **Financial Interest(s)**

For the purposes of HRC funding applications, a financial interest is anything of economic value, including relationships with entities outside of the research host institution. While not an exhaustive list, examples of financial interests include positions such as consultant, director, officer, partner or manager of an entity (whether paid or unpaid); salaries; consulting income; honoraria; gifts; loans and travel payments.

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

## Section 4D Letters of Collaboration/Supporting Documents Index

Use this section to **list** any subcontracts/MOU, letters of collaboration, appendices and any other supporting documents. The documents themselves should be attached to the end of the printed hard copies of the application.

The subcontract/MoU should be included with the original application and any copies. Attach subcontracts/MoU to the end of the printed hard copy of this application.

A letter of collaboration should outline how the interested party intends to implement the findings of the research upon its completion, or provide material or actual support for the research, **not simply to state that the research is necessary**. Please ensure that any organisation providing a letter of collaboration recognises their intended commitment to the conduct of the proposed research and timeline of their involvement. Letters of collaboration and any other supporting documents should be attached to the end of the printed hard copies of the application and include the HRC Ref ID#.

**Sections 4E-4H are completed on the excel document.**

The budget will need to be converted to pdf and uploaded via HRC Gateway. Both a pdf and an excel copy version of the budget are required to be submitted. These must be submitted by **1pm, Tuesday 13 December 2016**

## Section 4E Research Proposal Budget

The guidelines below should be considered only a summary of the HRC funding rules. For more complete information, refer to the *Health Research Council of New Zealand Rules* which are available on the HRC website.

### Budget calculations and spreadsheet

All calculations should be GST exclusive and be in whole dollar amounts i.e. no cents or decimals. Page orientation may be in Portrait (preferred) or Landscape. Try to have page breaks at logical points.

The “Salary,” “Working Expenses” and “Total Cost of This Research” are components of Section 4E. The spreadsheet contains formulae to automatically sum each year of costs. To insert more rows into a table, select a cell where you require the extra row, go to Insert on the Menu bar and choose Insert row (or right click and insert). This will not affect the formulae.

The ‘Total Cost of Research’ shaded table automatically calculates all of the figures in this box.

Do not enter any details into any shaded areas. Shaded areas contain either column/row labels or formulae.

**Note:** If you are intending to ask the HRC’s Data Monitoring Core Committee (DMCC) to monitor this study, there is no cost involved in using the HRC’s DMCC. However, if the DMCC agrees to monitor the trial, costs for members of the study team (including the study statistician) to attend the meetings (and preparation of biannual statistical reports) will need to be included in the budget for the application. If you have any questions please contact the Secretary to the DMCC, [ethics@hrc.govt.nz](mailto:ethics@hrc.govt.nz)

## Salary

Only enter **Contract Research Staff** employed or to be employed by the Host Institution (this includes Academics) in this section.

All positions should specify grade and level. The monetary value (\$) should be the **actual** salary amount that the named staff member is expected to receive for the research proposed during that period (i.e., the product of their **Annual Salary X %FTE** devoted to this research application). Salaries for years 2 and 3 can be increased by 3% per annum from year 1, or by more if specific details of expected promotion are provided and fully justified.

Please note that a minimum of 3% FTE is required to be entered for named investigators included in an application. Please state FTE as a percentage and not a decimal proportion, e.g. "10%" instead of "0.1". Half percentages (e.g., 4.5%) are not allowed.

NOTE: Overheads will be paid at a negotiated rate for each institution on all eligible contracts.

**Do not** enter **Salary associated costs** (i.e., amounts requested for 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 Masters and PhD Students on stipends and Casual Staff.

- a) **Subcontracted Staff** are those who are NOT employees of the host institution. The salary and **all other expenses** for these staff should be broken down into appropriate categories on a detailed subcontract/MoU between the host institution and non-host institution. The total GST-exclusive dollar figure for the subcontract/MoU should be all-inclusive, including overhead calculations. The subcontract/MoU **total** should then be entered under 'Working expenses – Subcontracts'.
- b) If funding to provide a stipend for a **PhD or Masters Student** is requested, the student must be named. Please enter Masters and PhD stipends (for named students only) into 'Working expenses – Materials and Research Expenses'.
- c) **Casual Staff** (those persons without an ongoing role or commitment to the research, but providing one-off services to the research on a part-time, hourly or *per diem* basis, e.g., interviewers) should also be requested under 'Working expenses – Materials and Research Expenses'.

## Working Expenses

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

## Materials and Research Expenses

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



- Research consumables (these should be itemised at current cost per unit and full cost for number required).
- Other costs **directly** related to the research – telephone calls/communications, mail and freight.
- Computer-related license fees for research-specific software; access to High Performance Computing infrastructure (NeSI).
- Minor research equipment (to a total of \$5,000).
- A proportionate part of new specialised equipment (equipment to be acquired) may be included and justified on research applications (Insert all budgetary supportive documents at the end of Module 4 with the printed application).
- Depreciation on specialised equipment: depreciation and capital costs on existing equipment are included in the overhead rate. If an institution's auditors have certified that specific items of equipment have been excluded from the Research Rate, then depreciation on the excluded equipment can be included in research applications and justified in the same manner as other direct costs.
- Expenses of research participants.
- Costs associated with knowledge transfer activities.
- Travel costs **directly** related to the conduct of the research. Contract funds may be used to provide assistance with overseas travel provided the HRC is satisfied that such travel is directly relevant to the conduct of the research and that alternative sources of funding are not available. This is not intended to relieve the applicant's host institution of its obligation to assist with the costs of overseas travel by its employees.
- Costs for Masters (\$20,000 pa) or PhD (\$30,000 pa) named students only can be claimed if a description of the student's research project is provided in Section 4A. Funds will be conditional upon the institution arranging a tax-free stipend that satisfies the Inland Revenue and host institution's rules. Ensure that PhD students requested are supported for three years of PhD study, either entirely or partly through this project. NOTE students' fees and thesis costs cannot be claimed.
- Dissemination of research results (fair and reasonable charges associated with the approved publication of the results of HRC sponsored research in journals, reports, monographs or books may be paid from contract funds. Also, costs incurred from other forms of dissemination, such as meeting with community groups, can be claimed).
- Conference allowance: The maximum allowance for conference attendance is \$1,000 per annum per named investigator if **fully supported** by the grant and must be fully justified. The allowance cannot be distributed proportionately between grants. This allowance is intended to contribute to the cost of attending a conference, meeting or seminar. Fares and allowances should be calculated in accordance with the regulations and scales of the host institution.

The following are considered to be expenses included in the overhead rate and may not be claimed as direct costs against contract funding: costs associated with obtaining ethical approval; contributions to property costs or laboratory space; room hire; cost of staff appointments; utility charges such as lighting, heating and water; telephone installation, connection fees and line charges; laboratory "bench fees"; capital costs (with the exception of minor equipment); equipment charges (includes computer hardware and office based software); contributions to any central or group service or utility; and all library charges. Such institutional costs are included in the overhead costs paid on an HRC contract.

### **Subcontracts/Memorandum of Understanding (MoU)**

Subcontract staff are staff that are not employees of the host institution. The salaries for these staff (including FTEs) and all other expenses (e.g., working expenses) requested for the subcontract should appear in a detailed subcontract/MoU between the host institution and non-host institution. A MoU should also include overhead calculations for salaries (a *pro forma* MoU is available upon request from the HRC). If a subcontract/MoU is greater than \$50,000, all expenses requested should be broken down into the appropriate categories in Section 4F (MoU Budget). If the subcontract/MoU is less than \$50,000 exclude Section 4C. The subcontract/MoU should be included with the original hard application and any copies. Attach subcontracts/MoU to the end of the printed hard copies of this application.

### **Salary associated costs**

Amounts requested for employer's contribution to approved superannuation schemes and accident compensation levies for Research Staff – these are not to be entered in Salary but in the **Working expenses** section.

### **Total Cost of Research**

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

After entering the appropriate overhead rate, this table will automatically calculate the total cost of the research. The applicant should enter this figure into the “Total Cost of Research” field in the online form (as part of the full application stage).

### **Section 4F MoU Budget**

When a substantial proportion of the total budget of a research proposal is contained in a subcontract/MoU, having the expenditure itemised in the same way as the overall research proposal budget (see above) will greatly assist the assessing committee in their evaluation of the proposal. Use the tables in Section 4F to provide budget details for all MoUs requesting more than \$50,000. The overhead rate used should be that for the Host Institution of the subcontracted staff, not that of the main Host Institution of the applicant. The total dollar amount for each year should then be entered under ‘Working expenses – Subcontracts’.

A CV should be included in Module 5 for all named investigators on MoUs to enable the assessing committee to determine whether the investigator’s expertise is appropriate and/or necessary. Without this information the assessing committee may decide not to support the budget for the MoU. CVs are not necessary for employees of commercial enterprises.

All subcontract/MoUs should be listed in Section 4D (Letters of Collaboration/Supporting Documents Index). If there are no subcontracts/MoU for this application, or none requesting more than \$50,000 you may delete or ignore Section 4F.

### **Section 4G FTE Summary**

List the time involvement of ALL personnel (including those on subcontract/MoUs) in terms of Full Time Equivalents (%FTE). Give all names (for un-named positions, indicate as “Technician”, “Research Nurse”, “Post-doctoral Fellow” etc.). The HRC and assessing committees do not favour listing numerous Professors, each with a very low FTE, and encourage FTE salary requests only when there is a significant input and involvement in

the project. Please note that a minimum of 3% FTE is required to be entered for named investigators included in an application.

State FTE as a percentage and not as a decimal proportion, e.g., “10%” instead of “0.1”. 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). All investigators on subcontract/MoUs should be identified as “Time Only”. **All investigators receiving salary from a health delivery partner organisation should be identified as “Time Only”.**

Identify all Post-graduate students by “Masters” or “PhD” as well as by their name. Ensure the FTE figures are the same as those in the budget and MoU budget sections (Sections 4E and 4F).

Heads of Department will be required to agree in writing to provide workload relief for research staff working on HRC contracts (Principles of Full Cost Funding).

Provide Ethnicity for all personnel if this information is relevant to the proposed research.

#### **Section 4H List of Collaborators (National and International)**

Please complete the Collaborators (not Named Investigators) table by providing full name, organisation, and country (the location where the organisation is based and the collaborators undertake their research).

For **collaboration purpose** select one of the following options: Research; Commercialisation; Knowledge transfer.

For **Support** please indicate the value of any funding for this research provided by the collaborator in NZ dollars or list any in-kind support.

#### **Section 4I Milestones and Objectives**

This section is to be completed on HRC Gateway.

Milestones and objectives are assessed along with budget requests, included in an awarded research contract, and are used for contract reporting.

##### **Objectives**

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

Note that the HRC suggests a minimum of 3 objectives, with sufficient standalone operational detail and scientific information included to be able to inform progress assessment in subsequent years. Please note there is no limit to the number of objectives and milestones online.

##### **Timeline for completion of Milestones for objectives**

Provide key milestones that you aim to achieve. Each milestone must relate to one or more of the Objectives listed above, for example:

Year	Milestone	Objective(s)
1	Recruit 200 patients for clinical study	Objective 1, 2
2	Complete data entry and analysis (lab study)	Objective 2, 3
2	Complete statistical analysis (clinical study)	Objective 2, 3, 4
3	Dissemination of findings at Hui	Objective 4, 5

Remember that any contract will be monitored and progress measured against the Milestones and Objectives provided in this proposal.

If objectives and milestones are of insufficient detail the HRC reserves the right to not process the application and/or request further details at contracting stage.

## 5. Module 5: NZ Standard CV

The Standard CV template must be used. Provide CVs for all staff (including those on MoU), that will contribute to this research. The CV template is downloadable from the HRC website. Follow the CV guidelines for page limit and formatting.

The information provided in the CV **must be the same** as that provided in Module 1 (online). For example, title and contact details may need updating in the CV before submission.

The CVs will need to be converted to pdfs, uploaded individually via HRC Gateway and must be submitted by **1pm, Tuesday 13 December 2016**. Take care to use the original CV formatting including the default font and page limits.

## 6. Module 6: Research Classification

This module is completed on HRC Gateway and is for evaluation purposes only and is mandatory; incomplete applications will not be processed. The data allows for better understanding of health research trends in New Zealand (note this information is not used in allocating funding).

### Field of Research Codes and Socioeconomic objective codes

For the Australian and New Zealand Standard Research Classification (ANZSRC) you are required to categorise your research using ANZSRC codes for the **Fields of Research** and **Socioeconomic Objective** classifications found on HRC Gateway. Find the appropriate code(s) from the drop down list. Add a percentage (nearest 10%) for each category with a total of 100%. Only use 3 codes for each.

### Keywords

Enter the keywords that categorise the research.

### 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.

## Health issues

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

## Mapping category

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

Mapping Category	Description
<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, <i>etc.</i> ).
Physiology	This includes all physiology and anatomy. Animal models of disease are included in this category, and studies on host-pathogen interactions.
Diagnostics	This includes innovations, and the development/refinement of new or existing diagnostic tools.
Pharmaceuticals/Treatments	This includes the development of new pharmaceuticals (drug design and development), as well as new treatments for diseases (e.g. vaccines, other therapies).
<b>Clinical</b>	
Clinical Studies	Research involving human subjects. This excludes research in which samples from human subjects are used for fundamental biomedical research, such as genetic linkage analyses.
Clinical Trials	Randomised clinical trials, usually randomised controlled clinical trials.
<b>Health Services</b>	
Health Economics	Research into the cost-effectiveness of treatments/services <i>etc.</i>
Clinical Services	This includes primary and secondary care services. Access to and appropriateness of services are also included, and safety of services and compensation. Macro-level analysis of health system changes falls into this area.
<b>Public Health</b>	
Knowledge Resources	This includes all epidemiology, underpinning social science (qualitative and quantitative), development of tools and new methodologies, and development of indicators.
Risk Factors	Research linking life experiences, behaviours, exposures <i>etc.</i> with health outcomes.
Interventions	Research that includes the design and evaluation of interventions.
At-Risk Populations	Includes research on specific population groups. These groups may be based on age, ethnicity, occupation, <i>etc.</i> Includes research using diagnostics in a particular group.
Community services	Research around community-run services and community groups, e.g. Marae-based healthcare services.

## Part D: RPNZHD Full Application Assessment Criteria

The final outcome of a proposal submitted to the Health Research Council of New Zealand is determined by peer review, which includes review by independent external peer reviewers and assessment by an Assessing Committee.

### External Peer Review

External peer reviewers score the Full Applications on an ABCD scale for each of the following criteria (for further detail on these criteria please see the below table under *Assessing Committee*):

- Scientific Merit
- Design and Methods
- Team Capability: Research Outcomes
- Team Capability: Research Uptake
- Impact on New Zealand Health Delivery
- Overall score

The grades are defined as:

- A = Highly fundable
- B = Fundable
- C = Adequate (requires work)
- D = Not fundable

Peer review reports are available for applicants' comment and rebuttal (excluding the peer reviewers' grades). The peer review reports and applicant rebuttal are sent to the Assessing Committee prior to the meeting.

### Assessing Committee

In the Assessing Committee meeting each research proposal is scored from 1 to 7 for each of the criteria for assessing and scoring research proposals:

<b>Scientific Merit</b>	<p>The research is important, worthwhile and justifiable because it addresses some or all of:</p> <ul style="list-style-type: none"> <li>• It addresses an issue that is important for New Zealand health delivery</li> <li>• The aims research questions and hypotheses build on existing knowledge and address a knowledge gap</li> <li>• The research findings will be original and innovative</li> <li>• There is appropriate responsiveness to Māori (if applicable)</li> </ul>
<b>Design and Methods</b>	<p>The study has been well designed to answer the research questions, because it demonstrates some or all of:</p> <ul style="list-style-type: none"> <li>• Comprehensive and feasible study design that is achievable within the timeframe</li> <li>• Appropriate study design to address the objectives of the research</li> <li>• Awareness of statistical considerations/technical or population issues/practicalities</li> <li>• Evidence of availability of materials/samples</li> <li>• Culturally appropriate methodology and responsiveness to Māori (if applicable)</li> </ul>

<b>Team Capability: Research Outcomes</b>	<p>The team has the <b>ability to achieve the proposed outcomes</b>, because they have demonstrated:</p> <ul style="list-style-type: none"> <li>• Appropriate qualifications and experience</li> <li>• Right mix of expertise, experience and FTE's as detailed in the body of application and CVs</li> <li>• Demonstrated connections with the health sector</li> <li>• History of productivity and delivery on previous research funding</li> <li>• Capability to perform research in current research environment</li> <li>• There is appropriate responsiveness to Māori (if applicable)</li> </ul>
<b>Team Capability: Research Uptake</b>	<p>The proposed outcomes are likely to be used, because the proposal demonstrates:</p> <ul style="list-style-type: none"> <li>• Meaningful engagement of end-users throughout the research process</li> <li>• Dissemination plan that has been tailored towards specific end-users</li> <li>• Networks to maximise knowledge transfer and research uptake</li> <li>• There is appropriate responsiveness to Māori (if applicable)</li> </ul>
<b>Impact on New Zealand Health Delivery</b>	<p>The proposed outcomes will add value and make a difference because some or all of:</p> <ul style="list-style-type: none"> <li>• They will have a positive impact on New Zealand health and disability service delivery within the short term (i.e., within 12 months of contract completion) and flow on effects for the longer term</li> <li>• Plans have been made for the uptake and utilisation of research findings</li> <li>• Outcomes relating to an important health issue will be achieved</li> <li>• There is appropriate responsiveness to Māori (if applicable)</li> </ul>

A Score of 1-7 is allocated for each of the above areas with **1** (poor) being the **lowest** score, **4** (average) the **midpoint** score, and **7** (outstanding) the **highest** score possible. The five criteria scores are not of equal weight (see table below).

<b>Criteria</b>	<b>Points</b>	<b>% score</b>
Scientific merit	7	25
Design and methods	7	25
Team capability – outcomes	7	15
Team capability – uptake	7	15
Impact on NZ health delivery	7	20
<b>Total</b>	<b>28</b>	<b>100</b>

The Committee also takes into consideration:

- The appropriateness of the timeline for the proposed research;
- The appropriateness of the requested %FTE involvement of the researchers and any direct costs requested, and
- The total cost of the research project with respect to 'value for money'.