



Health Research Council of New Zealand

**District Health Board Research Fund Request for Proposals
Full Application Guidelines (DHBRF008)**

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IMPORTANT NOTE: The DHBRF008 application will differ from that used in previous years. The research Objectives and Milestones (Contract Information), and the FTE Summary Table should now be entered into the application Excel spreadsheet and not the Word document. Also, applicants requesting funds for Sub-contract/Memoranda of Understanding should provide a breakdown of the costs in a separate Budget table of the Excel spreadsheet.

1. Use of Form DHBRF008

- 1.1 Form DHBRF008 should only be used for District Health Board Research Fund: Translational Research in Cardiovascular Disease, Diabetes and Obesity applications.
 - 1.2 Before submitting a research application, applicants should read the:
 - Guidelines on Ethics in Health Research,
 - Guidelines for Researchers on Health Research Involving Maori, and the
 - Guidelines for Pacific Health Research.
- All documents are available on the HRC web site.
- 1.3 New enterprises (e.g. Independent Hosts) who have not previously been funded by the HRC will be required to answer “due diligence” questions before their application is processed. Please contact the HRC for further information.

2. Format

- 2.1 Applications must be written in a clear, concise manner with sufficient detail to enable the reviewers to fully appraise the scope and implications of the application.

Applications must be prepared in English using the MSWord document and MExcel spreadsheets. The Word document must be filled in using default fonts and other settings (margins), although it is possible to change heading fonts for clarity. The spreadsheets may be expanded by copying sheets, or by expanding row heights, but not column widths. 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.

Please use the original DHBRF008 files as they contain special features.

- a) Do not copy and paste the Module or Section headings.
- b) Do not merge tables, especially those separated with a red dot (●).
- c) Do not alter table headings (shaded blue), or remove table columns.

Use only Times New Roman 12 point type for typing outside of Tables. Within Tables use only the default font.

NOTE: This is an example of Times New Roman 12 point font.

- 2.2 Steering Committees find well constructed and properly presented applications more user-friendly. Applications which violate the formatting rules (e.g. margins and line spacing, smaller fonts and bad layout) will not be processed.
- 2.3 Applications must be **fully self-supporting**, and must be able to stand alone. Any additional documentation (including letters of commitment/supporting documents) must arrive at the HRC by the due date for applications. 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 committee.

- 2.4 Applications must be **correctly collated**. No collation of inserts can take place after receipt of the application. All copies should be double-sided and stapled. Please do not staple the original application.
- 2.5 Applications must be received in **hard copy** format AND in **electronic format** (see Section 3 for details). The HRC will not accept faxed research applications.
- 2.6 **PAGE LIMITS** where indicated must be strictly adhered to. The HRC reserves the right to **not process** any application that does not comply with stated page limits or font size restrictions, as it is an unfair burden on those reviewing your application. Electronic applications are screened for page limits, margins and font sizes, and any breaches of the stated limits are automatically rejected by the system.

3. Copies of Applications Required

3.1 Paper (hard) copies

Project applications submitted to the HRC should include the **signed original** and **12 hard copies**.

Copies of the Administration sections (pages with the following headings) are **not required** (i.e. these pages should be attached to the signed original but not to any copies):

- Ethical and Regulatory Agreement
- Administrative Agreement

3.2 Electronic copies

Submit sets of the DHBRF008 files for each project on a CD. Note that the Objectives and Milestones Tables, the FTE Summary Table AND the Budget Tables are all contained in the Excel spreadsheet (DHBRF008.xls).

i. **Submit each project DHBRF008 form** as a Word (*.doc) file. Rich Text format (*.rtf) can be used in preparation but must be converted/saved to the Microsoft Word format. Use the original DHBRF008 form – this contains special features and will be used internally for HRC processes.

ii. **Submit each project spreadsheet** as an Excel (*.xls) file. Use the original DHBRF008 spreadsheet – this contains special features and will be used internally for HRC processes.

Please ensure both Word and Excel documents are not password protected and do not have macros embedded. When saving Word document for the final time please ensure that the “track changes” function is off and all corrections have been accepted and comments removed. These two files must be named as follows:

NamedInvestigatorSurname<separator> DHBRF008.doc

NamedInvestigatorSurname<separator> DHBRF008.xls

Where:

<separator> can be a SPACE, Underscore (_) or dash (-) character

‘DHBRF008 is the form type

doc’ is a mandatory extension for the application Word form,

xls’ is a mandatory extension for the Excel spreadsheet,

An example of a project would be:

Smith- DHBRF008.doc - for the DHBRF008 form (Word)
Smith- DHBRF008.xls - for the DHBRF008 spreadsheet (Excel)

Where:

Smith is the First named investigator's surname
DHBRF008 is the form type

It is very important to have the space, underscore (_) or dash (-) in between these.

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

4. Closing Dates

- 4.1 The closing date for the DHBRF008 **full research proposals** is **5:00pm, 25 May 2009**. No proposals will be accepted after 5:00pm on the closing date unless *written* authorisation has been received from the HRC at least one week prior to the closing date.
- 4.2 Incomplete **applications** will **not** be accepted

5. Privacy provisions

- 5.1 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 Personal information contained in the application may be made available to external referees 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 referees, where appropriate, to assess the scientific merit, public health importance and cultural appropriateness of the application.
- 5.3 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, fax or email), contract title, lay summaries and funding awarded for public interest purposes and to meet the statutory requirements of the Health Research Council of New Zealand Act 1990.
- 5.4 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

- 6.1 The application should be sent via your Host Institution's Research Office to the Council's office as shown below:

Mailing Address:
District Health Board Research Fund
Health Research Council of New Zealand
P O Box 5541, Wellesley Street,

Physical/ Courier Address:
District Health Board Research Fund
Health Research Council of New Zealand
3rd Floor, 110 Stanley Street, Grafton

AUCKLAND 1141

AUCKLAND 1010

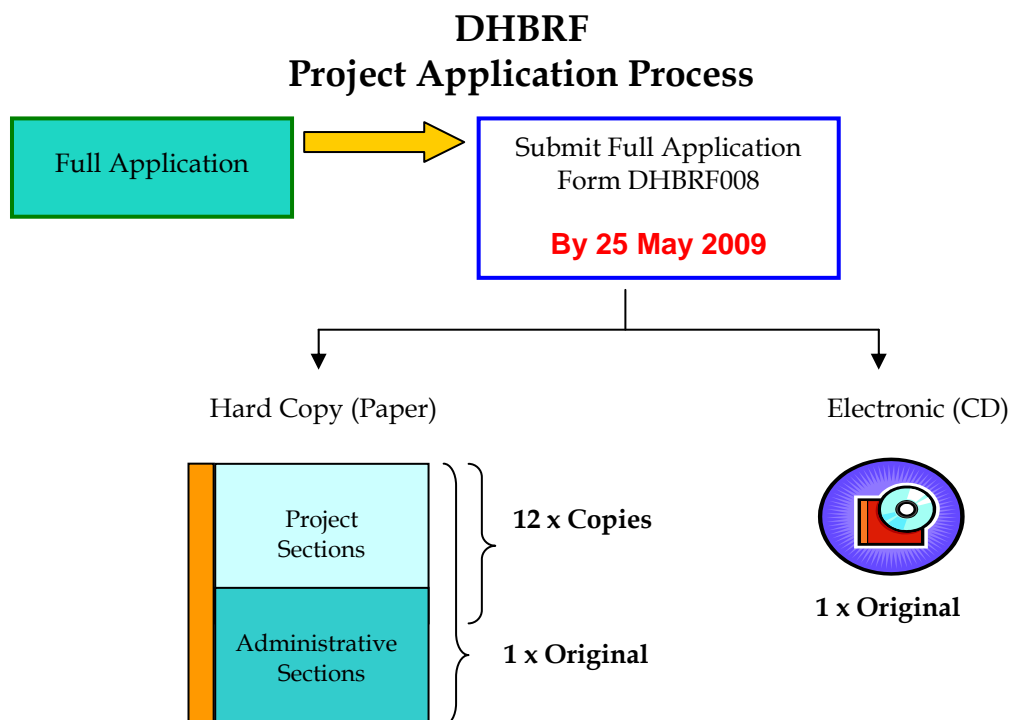
- 6.2 The first Named Investigator will be sent confirmation of receipt of his/her application via their designated Research Office within 7 working days from the closing date. Contact your Research Office if you do not receive confirmation (please do not contact the HRC secretariat to check whether your application has arrived).

7. Enquiries

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

Where the research office cannot assist, or for technical enquires relating to applications, contact:

Ms Katie Jones
 Project Coordinator
 Māori Health and Health Sector Relationships
 Telephone: (09) 303 5081
 Email: kjones@hrc.govt.nz



Use of electronic forms

Please use the original DHBRF008 form and spreadsheet as these contain special features.

- a) Do not copy and paste the Module or Section headings, these contain bookmarks.
- b) Do not merge tables, especially those separated with a red dot (●).
- c) Do not alter table headings (shaded blue), or remove table columns, even if blank.
- d) Do not delete spreadsheet columns/shaded rows, but you may insert more unshaded rows
- e) Use the original documents. Do not copy and paste into a new document.
- f) Remove passwords, macros, and track changes. Accept all changes prior to final saving.

NB: Refresh the Application index in the electronic Word (*.doc) file when done. Right-mouse click just outside the right side of the index. Select "Update field", then select "Update entire table", then press OK.

MODULE 1: GENERAL INFORMATION**Research Title**

The research title should be succinct and clearly describe the proposed project. For administrative purposes, the title must not exceed 80 characters (letters), including spaces and punctuation (e.g. 'growth factors' contains 14 characters).

Host Institution

The host institution is the institution or organisation that will be responsible for administering any contract awarded. For example, for those applicants at Wellington School of Medicine, Dunedin School of Medicine or Christchurch School of Medicine, the host institution is The University of Otago; or applicants based at Auckland City Hospital, the host institution is the Auckland District Health Board.

Research Location(s)

This is the specific department(s) and organisation where the majority of research or data analysis will be undertaken. For example, "Department of Community Health, Christchurch School of Medicine" is an example of a research location. Another way of looking at this is, "which group should be credited in any HRC publication of successful applications?" This is usually where the First Named Investigator is based.

Named Investigators

The title (e.g. Associate Professor, Dr), preferred name(s), and surname of the first named investigator should be entered into the first row of this table. 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. For consistency with other funding agencies, only the first named investigator will be cited by the HRC in its press release of the applications awarded funding.

The title (e.g. Associate Professor, Dr), preferred name(s), and surname should also be entered here for all other named investigators. 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. Please see the Annex, on what constitutes a named investigator (excerpt from the Vancouver Convention).

The ethnic identity column is optional and is used for HRC information purposes only. Applicants may leave it blank or fill in from the following choices the various ethnic groups that they identify with: Asian, European/Pakeha, Maori, Pacific, Others (specify).

Iwi, hapu or Maori organisation as investigator

This entry is provided only as a provision for a hapu, iwi or Maori organisation conducting the research and that need to be acknowledged in their own right as investigators on the application. It is still essential to list supporting named investigators and contact people in the “**Named Investigators**” table, as well as appropriate details in Module 6 (Biographical Sketches).

Total Cost of Research

Please type in this box the figure calculated from the ‘Total Cost of Research’ in the Module 5B Research Proposal Budget.

Proposed Research Dates

Enter the proposed commencement date of the research, and the term (months) of the research. Please note that contracts will not be activated until 1 July 2009 at the earliest, thus commencement dates cannot be earlier than this.

Study Population

Please tick all boxes that apply to the participants in the proposed research.

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. **Ensure that the following are included:**

- a) Research objectives
- b) Principal methodologies
- c) Potential health outcomes and/or impact.

Also ensure the content has been reviewed and is in a final form ready for publication if needed.

Contact Details

Use the boxes provided to enter the mailing address and contact details for the first named investigator. Enter only the department or faculty and organisation for the other named investigators.

MODULE 2: PROPOSAL

Section 2A – Research Proposal (three page limit)

The proposal should clearly describe goals and objectives, research plan (including outline of methods), significance and/or relevance of the research and a dissemination plan. It should be a maximum of three pages for all research applications.

The Summary should be structured under the following headings, which are outlined on the form: Research Topic/Opportunity, Aim, Background (including relevant current or previous research by the applicant), Design/Methods, Main Outcome Measures, Translatability/Dissemination and Potential to Improve Health Outcomes.

References for section 2A should be listed in Module 3.

Section 2B – Research Significance (one page limit)

The following section headings should be used to address key factors in your proposed research. Throughout your discussion, remember that your audience includes a more broadly experienced steering 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.

1. **Alignment to Organisational and/or Regional and/or National Health Priorities** – How does your research align, incorporate or address Health Priorities in New Zealand? Does your research specifically address issues outlined in any strategic health priorities document?

Include information that you feel is essential for the reader of the application to better understand or appreciate the strategic context of your research.

2. **Institutional, Organisational or Regional Support for Research** - How well is this research supported internally and externally? What local, regional or national support do you have for this research project? Use this section to demonstrate support for your research application.
3. **Relevance to Maori Health Outcomes** - How might your research contribute to the health needs of Maori? What is the health significance and context of this research to Maori? Discuss the incidence or prevalence in Maori, or indicate if not known to be significantly different from the general population. If appropriate, how have tikanga and/or Maori specific research methods been incorporated into the methodology. For example, what culturally appropriate methods will be used to recruit, how is data from Maori to be collected, stored and analysed? What consultation has occurred with Maori to develop this application or specific methodologies?

If your research is specifically designed to involve Maori, or you have (or intend to) engage with Maori groups for the purpose of consultation, dissemination or other activities, you must also answer questions Module 4.

Note: The declaration on Responsiveness to Maori, which forms part of the Administrative Agreement with the host institution, is in 7B.

References for section 2B should be listed in Module 3

MODULE 3: REFERENCES

Ensure this section is on a new page, to avoid it being included in electronic checks for page limits: there is no limit to the number of reference pages.

Citations for key references in the text in 2A and 2B should be supplied. Details must include author(s), title of article, journal, year, volume and page numbers (first and last). Asterisks are to be placed beside applicant's publications.

Applicants wishing to upload their references into Module 3 from **EndNote** should first paste the references into a blank document, and then copy and paste these into the DHBRF008 form.

MODULE 4: RELEVANCE OF RESEARCH TO SPECIFIC POPULATION GROUPS

1. Does your research involve or impact one or more of the HRC's priority population groups?— indicate if your research is involved by marking the appropriate row in the table (by copying and pasting the “tick” (✓) provided). If your research does not involve any of these populations please tick No.

If yes:

If you answered yes to question one you will need to provide more information on how your research will involve or impact on each priority population relevant to this application.

Note that if the proposed research does not involve any of the HRC's priority population groups applicants **do not** need to complete this section.

Populations groups can be defined in terms of demographic factors (e.g. ethnicity, gender and age), culture, by special needs (e.g. people with disability) or behavioural factors (e.g. tobacco, drug or alcohol consumption).

The HRC has five priority population groups, Maori, Pacific peoples, children and youth, older adults, and people with disability. Please refer to the relevance criteria developed for the HRC's five priority population groups. The relevance criteria are available on the HRC's website (http://www.hrc.govt.nz/root/HRC%20Policy/Research%20Policy/Priority%20Populations/Priority_Populations.html).

The HRC is committed to ensuring that all research involving human participants meets ethical standards and complies with international best practice. Best practice in this instance includes the expectation that researchers consult with the participants of research. Applicants should refer to the HRC's guidelines for Research with Maori, the Pacific Health Research guidelines, and the Ethics guidelines, located on the HRC's website (www.hrc.govt.nz)

In some cases it may not be either reasonable or feasible to consult with population groups involved in the study. However, consideration should be given to consultation with other key stakeholders and representative bodies (e.g. relevant non-government organisations (e.g. Alzheimer's Association), support groups, parents or care givers).

The study design, the methodology and the dissemination of research findings must be appropriate for the participants involved.

Note that if the proposed research is not designed specifically to involve Maori you can still answer any question where you feel that the information you provide will assist the reader to understand or appreciate the scope of your application (e.g. groups consulted, plans for dissemination) in terms of responsiveness to Maori.

Please also note that the host institution is required to meet obligations with respect to Maori and must complete the declaration on Responsiveness to Maori which forms part of the Administrative Agreement (Section 7B).

MODULE 5: CONTRACT INFORMATION AND BUDGET

Sections 5A – 5D are to be completed on the separate Excel file (DHBRF008.xls). Sections 5E – 5G are part of the DHBRF008 form (DHBRF008.doc).

- a) For the physical application attach printouts of the Excel spreadsheet sections, in the correct order, in the relevant part of the application form. If your application DOES NOT request funds for Sub-contracts/Memoranda of Understanding OR funds requested for Sub-contract/MoUs are less than \$50,000, you do not need to include a printout of Section 5C. For all sheets of the Excel file, page orientation may be in Portrait (preferred) or Landscape. Try to have page breaks at logical points.
- b) For the purposes of preparing electronic files for submission, the Contract Information and Budget spreadsheet must be submitted as a separate Excel file when submitting the application Word file.

Section 5A - Contract Information

Please note, that should the application be funded, these tables will form the basis of the contract objectives and may be amended prior to commencement.

1. **Objectives** - Briefly describe the intended deliverables of this research application as numbered points within the table provided (please do not delete this table as it contains bookmarks needed for electronic processing – extra rows can be added as required).

Objectives should be **clear** and **measurable**, as your research performance will be evaluated against these objectives.

2. **Timeline for completion of milestones for Objectives** - For each month of the proposed study, provide key milestones that you aim to achieve. Each milestone must relate to one or more of the Objectives listed (in 1), e.g;

Month	Milestone	Objective(s)
Month 1	Recruit patients for clinical study	Objective 2
Month 4	Complete data entry (lab study)	Objective 1
Month 6	Complete data entry (clinical study)	Objective 2
Month 11	Dissemination of findings at Hui	All Objectives

You may expand the table by adding a row for each milestone if required but remain within the single page limit.

Section 5B: 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.

1. Budget calculations and spreadsheet

All calculations should be GST exclusive and be in whole \$ 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 5B. 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. You may insert more unshaded rows as needed.

If you have difficulties editing your excel spreadsheet, please contact Katie Jones, Project Coordinator, Māori Health and Health Sector Relationships, kjones@hrc.govt.nz.

Note: If you are intending to ask the HRC's Data and Safety Monitoring Board (DSMB) to monitor this study, there is no cost involved in using the HRC's DSMB. However, if the DSMB agrees to monitor the trial, costs for members of the study team (including the study statistician) to attend the meetings will need to be included in the budget for the application. If you have any questions please contact Ms Leesa Russell, lrussell@hrc.govt.nz.

2. 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).

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

Do not enter **Salary associated costs** (i.e. amounts requested for employer's contribution to approved superannuation schemes and accident compensation levies) for Research Staff in this Salary section – instead enter them in the **Working expenses – Materials and Research Expenses** section.

Staff that must **NOT** be entered into the Salary section of the budget are Subcontracted Staff, 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/memorandum of understanding between the host institution and non-host institution (see point 3. – Working Expenses, for details) . The total GST-exclusive dollar figure for the subcontract/memorandum of understanding should be all-inclusive, including overhead calculations. The subcontract/memorandum of understanding **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 allowance should not be entered into the Staff section of the budget. Please enter Masters and PhD stipends 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'.

3. Working Expenses

Working expenses shall 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)
- Minor research equipment (to a total of \$5000)
- Expenses of research participants
- Travel costs directly related to the conduct of the research
- Stipends for Masters or PhD students. Stipends for named or un-named students can be claimed if a description of the student's research project is provided in Section 5E. 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).

The following are considered to be expenses included in the overhead rate and may not be claimed as direct costs against contract funding; contributions to property costs or laboratory space, cost of staff appointments, utility charges such as lighting, heating and water, telephone installation and connection fees and line charges (unless these costs have been specified in the application), 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 sub-contract 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 sub-contract/MoU is greater than \$50,000, all expenses requested should be broken down into the appropriate categories in Section 5C (MoU Budget).

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.

Minor research equipment (to a total of \$5,000) may be included in research applications.

A proportionate part of new specialised equipment (equipment to be acquired) may be included and justified on research applications (Insert all budgetary support documents at the end of Module 5.)

Conference allowance

The maximum allowance for conference attendance is \$1,000 per annum per **senior** named investigator (above RO5/LG1 salary level) working **full time** on the contract, to a maximum of \$1,500 per annum. This allowance is intended to contribute to the cost of relevant domestic travel to attend one conference, meeting or seminar annually. Domestic travel is considered to include Australia, excluding Northern Territory and Western Australia. Fares and allowances should be calculated in accordance with the regulations and scales of the host institution.

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.

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.

4. 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 onto the front page of the research application that figure which results in “Total Cost of Research”.

Section 5C - MoU Budget

When a substantial proportion of the total budget of a research proposal is contained in a sub-contract/MoU, having the expenditure itemised in the same way as the overall research proposal budget (see above) will greatly assist the steering committee in their evaluation of the proposal. Use the tables in 5C 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 of the subcontract/MoUs should then be entered under ‘Working expenses - Subcontracts’ and a copy of the subcontract/MoU should be included at the end of Module 5 with all copies of the application.

A signed Biographical Sketch should be included in Module 6 for all named investigators on MoUs to enable the Steering Committee to determine whether the investigator’s expertise is appropriate and/or necessary. Without this information the Steering Committee may decide not to support the budget for the MOU. Biographical Sketches are not necessary for employees of commercial enterprises. If you require any further advice contact one of the HRC Research Coordinators.

All sub-contract/MoUs should be listed in Section 5G (Letters of Collaboration/Supporting Documents Index). If there are no sub-contract/MoUs for this application, or none requesting more than \$50,000 you may delete this sheet (Section 5C) from the DHBRF008.xls file. To do this, first save the file, then right mouse click on the tab for sheet Section 5C at the bottom of the screen, and select ‘Delete’. To copy the spreadsheet for more than one MoU Budget, right-click on the Section 5C tab at the bottom of the spreadsheet, choose the option ‘Move or Copy’, select Section 5C and tick ‘Create a copy’.

Section 5D - FTE Summary

List the time involvement of ALL personnel (including those on sub-contract/MoUs) in terms of Full Time Equivalents (%FTE). Give all names (for un-named training positions, indicate as “PhD Student”, “Post-doctoral Fellow” etc). State FTE as a percentage and not a decimal proportion, e.g. “10%” instead of “0.1”. Half percentages (e.g. 2.5%) are not allowed. Indicate when Named Investigators are “Time Only” (i.e. NOT receiving salary for their involvement in the project). All investigators on sub-contract/MOUs should be identified as “Time Only”. Identify all Post-graduate students by “Masters” or “PhD” as well as by their name, and their ethnicity, if known. Ensure these figures are the same as those in the budget (Section 5B). 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).

Section 5E - Justification of ALL staff

All Named Investigators (including those on sub-contract/MoUs) must sign and date the staff justification prior to sending their application to the HRC. By signing this they are agreeing to the duties and FTE outlined. Faxed signatures are acceptable, electronic signatures are not acceptable.

Justification of Named Investigators

Explain the role of all **Named Investigators** (including those on sub-contract/MoUs). Copy the table and repeat as required. Please read the point in the annex (excerpt from the Vancouver Convention). It is essential that Steering Committee members understand why the staff requested on this research application are important and necessary for the proposed research to be successfully completed (not just a description of their background or expertise). Failure to do so may result in a Steering Committee assuming a staff person is not necessary. The application review process will also consider the appropriateness of the nominated % FTE for each post. If any staff members are expecting promotions during the period of the proposed research, it is the responsibility of the applicant to reflect this in the staff member's budget line and also explain this within the justification narrative for that person. In general Steering Committees will deem very small %FTE contributions of staff members as non-essential.

Justification of Other Staff

Explain the role of **ALL OTHER** personnel who will be actively associated with the research and for whom you are seeking funding. Steering Committees may consider not awarding funds for persons or positions not properly justified in terms of the research to be conducted. Please see above (Justification of Named Investigators) for details. Copy the table and repeat as required.

Section 5F - Other Support

Other Research Applications Awaiting Decision

List in this section those research applications the team has pending with other 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.

If the first NI, or any NI 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. This statement has been presented to HRC referees and members of Steering Committees.

Co-funding

Please indicate and provide details if the research group has approached other agencies for joint funding of this research. If applicable, detail the support and joint funding arrangements.

Section 5G - Letters of Collaboration/Supporting Documents Index

Please make a list of any letters of collaboration, sub-contract/MoUs and any other supporting documents. 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.

The sub-contract/MoUs should be included in both the original application and all copies. The other letters and documents should be paper-clipped separately and included with the original application only. These do not need to be copied and will only be made available on request.

If Appendices need to be attached (e.g. example of a questionnaire) then please contact the HRC for approval and guidelines for inclusion.

MODULE 6: BIOGRAPHICAL SKETCHES

This section is to be completed for *each* investigator named on the front page of the application and named investigators on sub-contract/MoUs. They must be *signed* and be up to date. Signatures may

be faxed, but electronic signatures are not acceptable. Named investigators who are overseas are not exempt. Do not attach a Curriculum Vitae. Please list information in chronological order. (Copy section and repeat as needed for the number of named investigators on the application).

Pacific Ethnicity - Building the capacity of the Pacific Workforce is an HRC priority, therefore, if relevant please indicate if the researcher is of Pacific ethnicity.

Number of Publications

State the *total* number of publications in refereed journals in the box provided (do *not* include abstracts, proceedings or letters published or presented).

List of Publications from previous five years

Applicants should list all of their peer-reviewed publications from the previous five years, starting from current year first. Identify the investigator's publications most relevant to the research proposed by **bolding the Author(s) name**. You may include citations, impact factors, and/or journal rankings.

Other forms of research dissemination (Maximum one page-equivalent)

Use this section to describe other forms of research dissemination relevant to the proposed research, (e.g., media broadcasts, conference papers, editorials, newspaper articles, monographs, reports to groups, government publications and so forth).

Other experience relevant to the proposed research (Maximum one page-equivalent)

Use this section to describe other forms of experience relevant to the proposed research (e.g. work, community, or personal experiences).

MODULE 7: ADMINISTRATION

Sections are not copied for external referees. These sections are for use by the Secretariat and/or Steering Committees.

Section 7A - Ethical and Regulatory Agreement

(Do not copy. Send with the original application only).

All areas must be fully and accurately completed for this section to be accepted. Indicate if the application requires human or animal ethical approval. If ethical approval is not required, reasons must be given. List any regulatory consents required from other bodies that must be gained before the research can commence.

Note:

- 1) The ethical agreement page is a contract stating that you will obtain appropriate ethical approval and regulatory consents, if required, before research commences.
- 2) The importance of adherence to the Council's Guidelines on Ethics in Health Research is emphasised. Especially where research involves human or animal subjects, human or animal materials, or personal information, you must signify that the research application has been submitted to, and given ethical approval by a properly constituted ethics committee approved for this purpose by the HRC.
- 3) Once applications have been received by the HRC, major procedural changes to your research protocol resulting from decisions of an Ethics Committee will require withdrawal of the application and resubmission to a later funding round. It is therefore suggested that you apply for ethical approval before submitting your application to the HRC to avoid unnecessary delays in contract commencement.
- 4) No contract funds will be released by the HRC until all ethical and administrative agreements, as detailed in this form, are fully met.

- 5) If appropriate, more than one Ethics Committee approval may be necessary, for example, if the research geographically covers an area serviced by more than one committee or if human and animal studies will be undertaken. Details are available from the HRC or the Ministry of Health.
- 6) Ethics Committees accredited to review research applications to the HRC are listed in the "Guidelines on Ethics in Health Research", contained on the HRC web site. Also refer to the "National Application Form for Ethical Approval of a Research Projects" (form EA0502) also available on the HRC website.

Section 7B - Administrative Agreement

(Do not copy. Send with the original application only).

The administrative agreement should be signed by authorised officers of the New Zealand host institution that will administer the contract. **The host institution must be clearly and unambiguously identified.** After signing the originals, forward these with your application, via your supervisor and Head of Department, to the University Registry or other institutional head office with sufficient time for them to be completed and delivered to the HRC by the closing date.

A fully completed administrative agreement must be received with the original application. Those received without an agreement will not be processed.

Checklist

Please read this carefully to ensure you have not missed anything. Failure to comply with the instructions in this document may result in your application being returned to the Research Office of your host institution, and your application not being considered.

- **Make sure you have used the correct font size and have not exceeded page limits, since doing so may result in your application being returned and not considered in this funding round.**



(Steering Committee members do not appreciate it when applicants feel they can exclude themselves from the rules that other applicants are obliged to follow).

- **Check that all relevant signatures have been obtained for the justification of staff (Section 5E) and the Biographical section (Module 6) of each named investigator.**



- **Check that the ethics section has all the necessary signatures.**



- **Check that all other relevant signatures have been obtained (e.g. Administrative Agreement).**



- **Check that you have included the administration pages in your original application ONLY, and NOT in the copies submitted with the original.**



- **Be sure that your ORIGINAL copy is PAPER-CLIPPED together, and that all of your PHOTOCOPIES are double-sided and individually STAPLED. Copies of sub-contract/MoU should be included with all copies, other letters of collaboration/supporting documents should be paper-clipped together and included with the original only.**



- **Be sure that the original plus 12 copies are enclosed.**



- **Ensure that Sections 5A - 5D (from DHBRF008.xls) are printed out and inserted/attached in the paper copies.**



- **Be sure that the electronic copies required are correctly named and in the correct format (Word *.doc and Excel *.xls only), and when saving Word documents for the final time please ensure that the "track changes" function is off.**



Introduction

This annex of general information contains definitions and terms in the forms, guidelines and other publications, that may be used to develop research proposals and applications.

Health Research Council of New Zealand

The Health Research Council of New Zealand invests in public good research on behalf of the New Zealand Crown. The Council will invest in a portfolio of research that advances human health and is relevant to the needs of the health sector in New Zealand and to the Government's goals for the RS&T Sector. These objectives are outlined in the HRC Investment Strategy 2008.

What research does the Health Research Council of New Zealand fund?

Research purchased by the HRC must reflect the council's mission "To improve human health by promoting and funding health research." Goals within that mission are to develop and implement a national health research policy, foster a health research workforce, support health research, disseminate the results of health research, enhance the quality of health research and ensure that opportunities for commercial development arising from health research are recognised. The HRC is a strategic funding agency, which supports a range of fundamental, strategic and applied research within the general categories of biomedical, clinical, Maori health, public health, health services and Pacific Health research. HRC investments contribute primarily to the social goal for the government investment in Research, Science and Technology but may also contribute to the government's economic and knowledge goals.

Consultation with Stakeholders

The HRC has a strong expectation that research involving human participants will be conducted in partnership with appropriate stakeholders. In some cases it may not be either reasonable or feasible to consult with the population group involved in the study. However, consideration should be given to consultation with other key stakeholders and representative bodies, such as relevant non-government organisations (e.g. Alzheimer's Association), support groups, parents or care givers.

The study design, the methodology and the dissemination of research findings must be appropriate for the participants involved.

Responsiveness to Maori

The HRC is committed to demonstrating that its investment policies and assessment processes are responsive to the needs and diversity of Maori¹. Whilst this may be reflected in the alignment of individual research proposals to Maori Development and/or Maori Advancement, it is also an expectation that research provider institutions demonstrate the quality and extent of their partnership and relationship with Maori in the portfolio of research proposals submitted to the HRC.

Researchers should discuss with their host institution their policies and procedures with respect to consultation with Maori. To ensure that host institutions have met this requirement, the HRC requires a declaration on the Administrative Agreement, which forms part of each application, that appropriate consultation with Maori has taken place.

¹ The Health Research Strategy to Improve Maori Health and Well-being 2004-2008 (HRC, 2004)

What constitutes a Named Investigator?

The HRC expects the designation of investigators to **named status** should conform to International best practice, as detailed in the 'Vancouver Convention' [*The Uniform Requirements for Manuscripts Submitted to Biomedical Journals, October 2001* (<http://www.icmje.org/>)], i.e.:

- All persons designated as authors/*named investigators* should qualify for authorship/*named investigator status*, and all those who qualify should be listed. Each author/*named investigator* should have participated sufficiently in the work to take public responsibility for appropriate portions of the content. One or more authors/*named investigators* should take responsibility for the integrity of the work as a whole, from inception to published article.
- Authorship/*named investigator* credit should be based only on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; 2) drafting the article or revising it critically for important intellectual content; and 3) final approval of the version to be published. Conditions 1, 2, and 3 must all be met. Acquisition of funding, the collection of data, or general supervision of the research group, by themselves, do not justify authorship.

Research Proposal Review Process

The HRC will use the steering committee, comprised of expert individuals, as the basis for its assessment of the DHBRF008 proposals. This review will bear the hallmarks the HRC's well-established processes of review.

Following review, applications will be assessed by the Steering Committee as per the partnership between the Health Research Council and the 21 District Health Boards. The Steering Committee will make a recommendation to the DHBRF Governance Group, regarding the preferred providers based upon this review process. The final funding decisions rest with the Governance Group. All reviewers use the same scoring system (1=inadequate to 7=excellent) and common anchor points for scores over the range for each criterion.

Criteria for Assessment & Scoring of DHBRF008 Research Proposals

It is important that all applicants familiarise themselves with the criteria against which their proposal will be scored. The three equally weighted assessment criteria of the Translational Research in Cardiovascular Disease, Diabetes and Obesity project include:

Potential to Improve Health Outcomes

- reducing incidence and impact of cardiovascular disease, diabetes and/or obesity
- methods, appropriate study design and analyses

Translatability of Research

- translatability of findings, both short and long term
- quality of dissemination process and knowledge transfer

Research Team

- strength of the collaboration
- track record
- sector wide engagement

All reviewers will use these same three criteria, and will score each of the criteria on a 7-point scale. The score for each of the criteria will be based on the anchor point descriptors (1, 4 and 7) as outlined below; the best possible score for any specific proposals is 21.

A: Potential to Improve Health Outcomes
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7 = The project has the potential to make a significant contribution to reducing the incidence and impact of cardiovascular disease, diabetes and/or obesity. The methods for the project are sound. The proposed study design is excellent and proposed analyses are clearly appropriate.

4 = The project has some potential to reduce the incidence and impact of cardiovascular disease, diabetes and/or obesity. The methods for the project are satisfactory. The study design or proposed analyses are adequate but would benefit by improvements in one or both of these areas.

1 = The project does not have any potential to reduce the incidence and impact of cardiovascular disease, diabetes and/or obesity. There are serious flaws in the methods, study design and analyses proposed for the project.

B: Translatability of Research

7= The project is likely to produce results which will have a high level of translatability across the health sector, both short and long term. The process for dissemination and uptake of results is excellent.

4= The project may produce some results which can be translated across the sector, either in the short or long term. The process for dissemination and uptake of results is satisfactory.

1 = The project will not produce results which can be translated across the sector. The process for dissemination and uptake of results is inadequate.

C: Research Team

7= The collaborations and partnerships formed relating to the application are strong. The team has the potential and experience to meaningfully engage relevant key stakeholders in the sector. The team has the ability to effectively disseminate the research results across the sector.

4= The collaborations and partnerships formed relating to the application are adequate. The team has the potential to engage some stakeholders. The team has the ability to disseminate the research results across the sector.

1 = The collaborations and partnerships formed relating to the application are weak. The team does not have the ability to meaningfully engage relevant stakeholders in the sector. The team will not be able to effectively disseminate the research results across the sector.
