



Health Research Council of New Zealand

Guidelines

for

Project (GA210S) & Programme (PA210S)

Expression of Interest Forms

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The Expression of Interest (EoI) is a short application expressing interest and a brief overview of intended research. The EoI is the first stage of a two-stage application process for HRC Projects and Programmes. EoI will be assessed and top-ranked applicants will be invited to submit a full application for the next stage of the process. The number of full applications will be restricted such that the success rate will be approximately 50%.

1 HRC Projects (GA210S)

HRC Projects should address well defined research questions with the aim of making significant improvements in, or developing knowledge contributing to, health outcomes. The HRC will offer contracts up to \$400,000 per year, to a maximum contract value of \$1.2 M.

2 HRC Programmes (PA210S)

HRC Programmes have a 5 year term, a budget up to \$5 M and are intended to provide support for the long-term development of a research field by a group of established investigators, with an outstanding track record of achievement. Collaboration between research groups and institutions is encouraged. Programmes will focus on specific research objectives that deliver outputs and outcomes rather than inputs. The HRC supports research programmes with strategic, long-term visions that promote development of knowledge relevant to the health needs of New Zealand.

Programmes normally require three or more established researchers who are responsible for the scientific direction and quality of the research. A successful funding history of peer reviewed contracts by the proposed named investigators is usually required. Named investigators will also be expected to have had an outstanding track record of achievement in health research and to provide support for those seeking training in health research. For example, suitable applicants would be expected to have had at least two substantial research contracts within the last six years. Salaries of investigators within a research programme need not be funded by the Council, but each named investigator is expected to devote a substantial and specified portion of time to the research programme.

3 Targeted Investment Signal

Project (not programme) applicants have an opportunity to bid into the “Research for New Zealand Health Delivery” targeted funding stream. This will have an identified budget and will be assessed in a different way, using a larger committee that will include researchers and other stakeholders.

1 Use of GA210S & PA210S Forms

- 1.1 Forms GA210S and PA210S should be used for all Project and Programme EoI, respectively.
- 1.2 Before submitting a research application, applicants should read:
 - HRC's Investment Strategy,
 - Research Portfolio strategies,
 - Guidelines on Ethics in Health Research,
 - Guidelines for Researchers on Health Research Involving Maori, and the
 - Guidelines for Pacific Health Research.

Applicants should also familiarise themselves with the Research Application Review Process, and the Criteria for Assessment and Scoring of Research Applications, as detailed in the most recent version of the *HRC Assessment Processes Handbook*.

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 all reviewers to assess the scope and implications of the application.

Applications must be prepared in English or te reo Maori (if in te reo Maori a translation in English must also be provided). Please note that the HRC cannot guarantee that Maori macrons will be translated correctly when forms are converted to pdf.

The application must be filled in using default fonts and settings (e.g., margins, line spacing). 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 only Arial 10 point or 11 point type for typing outside of Tables. Within Tables use only the default font.

- 2.2 The HRC reserves the right to **not process** any application that does not strictly comply with stated page limits, line spacing or font size restrictions.
- 2.3 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, not clipped.
- 2.4 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.

3 Copies of Applications Required

- 3.1 **Paper copies**
Twelve paper copies are required for all applications.

3.2 Electronic copies

When saving the 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:

10-xxx<separator>NamedInvestigatorSurname<separator>GA210S.doc (Projects)
10-xxx<separator>NamedInvestigatorSurname<separator>PA210S.doc (Programmes)

Where:

10-xxx is the HRC Reference number issued to you after the October Registration

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

GA210S or PA210S is the form type

doc is a mandatory extension for the application Word form,

Examples of correctly named files are:

10-123-Smith-GA210S.doc - for the GA210S Project application form (Word)
10-123-Smith-PA210S.doc - for the PA210S Programme application form (Word)

Where:

10-123 is the HRC reference number issued in October

Smith is the First named investigator’s surname

GA210S or PA210S is the form type

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

Important:

You will need to submit the application file to your Research Office, by uploading via the HRC’s online facility (<https://secure.hrc.govt.nz/>). Detailed instructions for this will be published on the HRC web site after the forms and guidelines are available.

HRC converts submitted Microsoft Office files into pdf files for internal and external processing.

- 3.3 **Do not send these electronic files directly to the HRC.** Independent researchers and smaller research providers not currently funded by the HRC should contact the HRC on the process.
- 3.4 No part or parts of an application can be returned to the applicant.

4 Closing Dates

- 4.1 New applicants must create a user account on the HRC online application system (EASY) (<https://secure.hrc.govt.nz/>).
- 4.2 **Registration**
Complete and submit online a registration form by **6 October 2009**. This step allows pre-processing of applications, e.g., issuing reference numbers for each GA210S or PA210S. Registrations are released to the HRC only after approval by the applicant host research office or equivalent, which will require access to the registration several days before the HRC closing date.
- 4.3 **Submission of EoI**
The closing date for EoI to reach HRC is **5:00pm, 16 October 2009**. EoI are released to the HRC only after approval by the applicant host research office or equivalent, which will require access to the EoI several days before the HRC closing date.
- 4.4 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 EoI should be sent via your Host Institution's Research Office to the Council's office as shown below:

Mailing Address:
Health Research Council of New Zealand
P O Box 5541, Wellesley Street,
AUCKLAND 1141

Physical/ Courier Address:
Health Research Council of New Zealand
3rd Floor, 110 Stanley Street, Grafton
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 one of the HRC Research Co-ordinators:

Mary-Anne Woodnorth	<i>Telephone:</i> (09) 303 – 5214	<i>E-mail:</i> mwoodnorth@hrc.govt.nz
Ravi Reddy	<i>Telephone:</i> (09) 303 – 5228	<i>E-mail:</i> rreddy@hrc.govt.nz
Rachel Brown	<i>Telephone:</i> (09) 303 – 5084	<i>E-mail:</i> rbrown@hrc.govt.nz

Section 1 of the form is a webform. Fill in the requested information using the online system (EASY). Most of this will have been provided by applicants when registering the application. Sections 2 and 3 are the body of the form, which can be downloaded, filled in and uploaded online. The parts of the form will be compiled by the online system for printing. Model forms (GA210S Model and PA210S Model) with the three sections are available for reference, but only upload the file containing Sections 2 and 3.

Section 1: GENERAL INFORMATION (webform)

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).

First Named Investigators (NI)

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.

List of named Investigators

Please enter all other named investigators in the space provided on the next page. 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. "Role" covers position or skills in the project, eg, data manager, synthetic chemist, statistician.

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.

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.

Duration

Indicate the duration of the proposed research in months.

Type of Research

Please select what you consider most appropriate for broadly describing the research proposal and setting the context for assessment of the application. Use the definitions in the Annex for Biomedical, Clinical, Maori health, Public health and Pacific health research to assist you.

The HRC reserves the right to make the final decision as to the type of research, and thus the most appropriate Science Assessing Committee(s) to evaluate the application.

Discipline

Select from the list provided.

Research for New Zealand Health Delivery (GA210S)

Indicate here if the application is for this funding stream.

Section 2: ALIGNMENT WITH INVESTMENT SIGNAL (GA210S) (one page)

Fill in this part of the form using the headings provided. Applicants should be familiar with the investment signal before writing for an Assessing Committee that represents researcher and end-user perspectives. Applicants are discouraged from applying to more than one funding stream with the same proposal.

Contribution to Purpose and Goals outlined in the Investment Signal

This covers what the research will deliver with respect to the outcomes and goals identified in the investment signal.

Fit with Scope and Attributes outlined in the Investment Signal

This covers the type of research proposed and the research question.

Potential Impact of Research outcomes

Provide key information on the research benefit/impact and projected timeframe, which is an important defining characteristic of the Investment Signal.

Section 2: PROPOSED RESEARCH (three pages)

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.

Significant Health Issue Addressed

Note: If submitting an application in response to the Research for New Zealand Health Delivery Investment Signal, delete this heading.

Please demonstrate that the proposed research is addressing a health issue relevant in NZ and globally.

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? Is it part of a worldwide collaborative research project?

Aims and/or hypothesis

List study aims and/or hypothesis in respect to what is envisaged to be achieved from this research.

Study design and methodology

Include sufficient detail of study design and method such that an assessment can be made of its appropriateness, robustness and/or innovativeness. This might include a description of sample recruitment and characteristics (including number, gender and ethnicity where relevant), study methodology, and proposed methods of data analysis. Where appropriate, provide an estimate of the likely effect size and the sample size required to detect this (power analysis). Indication of timelines for the research should be included. Consultation with specialists such as methodologists, statisticians and health economists before finalising your research design is recommended.

Potential for improvements or knowledge development relevant to health outcomes

Note: If submitting an application in response to the Research for New Zealand Health Delivery Investment Signal, delete this heading.

The contributions of this research application to improvements in, or knowledge development relevant to, health 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 address the problem and/or develop new knowledge.

Track record of the research team relevant to this proposal

Include a brief description of the team's track record related to the proposal area, to demonstrate the ability to deliver proposed study outcomes. Highlight important skills and/or expertise in the team that would support delivery of the proposed research. Justification for staff roles should be provided. Note that changes in the research team for the EoI and the Full application may disqualify that application.

Responsiveness to Maori

It is expected that research providers at the earliest planning stage indicate the quality and extent of their relationship with Maori in their research proposals. For example, what would be the Maori involvement, if any, should the EoI application proceed to the next stage Full application and beyond?

Section 2: PROGRAMME APPLICATIONS (PA210S) (additional one page)

There is an additional page for Programme applications where you are required to write about the added value and vision that justifies programme support.

Section 3: NAMED INVESTIGATOR NZ RS&T STANDARD CV

Copy and paste the standard RS&T CV into this section of the form. Take care to use the CV formatting. The HRC will not accept any other form of CV.

Project applications (GA210S)

Include the CV of the first named investigator.

Programme applications (PA210S)

Include the CV of three named investigators.

Checklist

Please read this carefully to ensure you have not missed anything.

- **Make sure you have used the correct font size and have not exceeded page limits. Failure to comply may result in your application not being considered in this funding round.**
- **Check that the HRC Reference number (assigned to your application by the HRC) is entered.**
- **Be that all of your PHOTOCOPIES are double-sided and individually STAPLED.**
- **Be sure that the original plus 12 copies are enclosed.**
- **Be sure that the electronic copies required are correctly named and in the correct format (Word *.doc), 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 (HRC)

The HRC is a Crown Entity established in 1990 to administer part of the Government's investment in public good health research. 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 Research, Science and Technology Sector. These objectives are outlined in the HRC Investment Strategy 2010.

As a Crown Entity, bound by the State Services Standards of Integrity and Conduct, the HRC must maintain political neutrality. According to the Health Research Council Act 1990, the HRC may initiate and support health research, and may promote and disseminate the results of health research in ways that will be most effective in encouraging their contribution to health science, health policy, and health care delivery.

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

Research purchased by the HRC must reflect the council's mission of 'benefiting New Zealand through health research', with a vision of 'improved health and quality of life for all'. Goals within that mission are to invest in research that meets New Zealand health needs and research that has international impact, maximise the benefits of health research, champion the integrity of the health research environment, and enhance the value of the organisation.

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.

Biomedical Research

Biomedical Research is research into:

- the biomedical sciences relevant to human health; and
- the causes, consequences, diagnosis and treatment of human illness.

It includes basic biomedical research as well as translational clinical studies which involve the study of molecules, cells, tissues, organs and individuals, both human and animal, and utilises a wide range of well defined disciplines (e.g. physiology, anatomy, endocrinology) and quantitative methodologies.

Clinical Research

Clinical Research is research in human subjects conducted to gain new knowledge into health and disease, both mental and physical, including the conduct of systematic reviews of primary clinical data using formal statistical meta-analyses such as Cochrane methodologies. (Note: Research based exclusively on the analysis of data from secondary sources of health information, i.e. national data sets, Statistics NZ, etc., may be funded as Health Services Research – see below). Clinical research

involves a wide range of health professionals with different qualifications, skills and expertise and would usually be conducted in hospitals, other health care settings, in the community or in academic host institutions. For logistical reasons associated with the review process, and because of methodological similarities of the research, clinical research is considered as a subset of biomedical research.

Evaluation and Evaluation Research

Evaluation involves assessing the strengths and weaknesses of programmes, policies, personnel, products and organisations to improve their effectiveness (*American Evaluation Association*). This type of research is not funded by the HRC.

Evaluation research has many similarities to and synergies with evaluation, but includes the additional requirements that the proposal will be based on a specific hypothesis that can be empirically tested, the research will be linked to relevant theory, the results are intended to be replicated or generalised across studies and the research will be disclosed for professional scrutiny and critique. Evaluation research would also include the development of novel methods for evaluation.

HRC Definition of Translational Research

Translational research is the scientific investigation of interventions aimed to accelerate the uptake and use of evidence-based observations and practices to improve health services, operational, public health and policy-level decision making. Translational research begins with the identification of a clinical, health service or policy-related problem and ends with the successful application of a research generated solution. Translational research occurs in two continuous phases and moves in both directions along the bench-to-bedside and bench-to-policy continuum.

To qualify as translational research, the following five criteria must be satisfied:

- The research is laboratory based, either a dry or wet (laboratory) or community based;
- The research is a clinical trial or an intervention or is observational research aimed at informing policy;
- The research demonstrates sustained engagement of stakeholders/end-users from the outset e.g. patient or community;
- The research has the intent of application or uptake, i.e., demonstrated, identified translatability; and
- Timeliness, i.e., the research is likely to be taken up in the short to medium term.

Maori Health Research

Maori Health Research is research which actively seeks to produce knowledge and contributes to health outcomes for Maori. The HRC's overall investment in Maori Health Research is the sum of investments in Maori Development and Maori Advancement (Cunningham, 1999). It is research which contributes to the Maori Health Research theme of Vision Mātauranga ('Unlocking the innovation potential of Maori knowledge, resources and people', MoRST Operating Principles 2005/06).

Maori Health Research:

- is of importance and will contribute to Maori knowledge and/or health outcomes for Maori; and
- has resulted from consultation and development of partnerships with Maori for design and conduct of the research; and
- results in culturally appropriate dissemination of research findings to stakeholders and end-users.

Maori Development Research is “research carried out to consolidate and develop Maori knowledge and to deepen the Maori research skill base” (HRC Investment Strategy 2010). This reflects Article II of the Treaty of Waitangi. In the Cunningham framework, Maori Development Research is consistent with the principles set out in Article II of the Treaty of Waitangi. Maori Development Research is supported by the HRC with funds from Targeted Research for Health and Maori Health Research funding streams and is allocated by the HRC through the Rangahau Hauora Maori Research Portfolio.

Maori Development Research:

- is Maori managed (i.e., Maori lead, or has Maori co-investigators or research team, who are receiving significant, ongoing Maori advice); and
- involves Maori as participants or analysis of data-sets, which include an ‘adequate’ Maori cohort; and/or
- involves development and/or use of kaupapa Maori methodologies; and/or
- provides a training opportunity for a named Maori researcher.

Maori Advancement Research is research that seeks to address the significant disadvantage in health outcomes of Maori relative to non-Maori. In the Cunningham framework, Maori Advancement Research is consistent with Article III of the Treaty of Waitangi. Maori Advancement Research is supported by the HRC with funding from the HRC Contestable Funding Round, Partnership Programme and Targeted Research for Health funding streams and is allocated through all HRC Research Portfolios.

Maori Advancement Research:

- involves Maori as participants or analysis of data-sets, which include an adequate Maori cohort; and
- involves Maori researchers as part of the study team; and/or
- provides a training opportunity for a named Maori researcher.

It should be noted that the classification of health research into either Maori Advancement or Maori Development is not easily defined because a continuum exists. Furthermore, some research may contain components, which are both advancement and development. The HRC uses the Cunningham framework because it can be linked back to obligations under the Treaty of Waitangi and provides guidance to researchers as to how they can contribute to improved health outcomes for Maori. Further information on HRC funding in Maori Health Research can be found in the HRC Investment Strategy 2010.

Public Health Research

Public Health Research focuses on factors that influence the health of a population including:

- health systems and health services; and/or
- environmental, socio-economic, cultural, and behavioural factors that determine health status.

As defined above, Public Health Research also includes Health Services Research (see below).

Health Services Research

Health Services Research is research that contributes to the better health of the population through the evaluation of the effectiveness and efficiency of the provision, organisation and delivery of health care and the study of health needs. Research based on the analysis of data from secondary sources of health information is also included in health services research.

Pacific Health Research

Pacific Health Research is research that addresses the health needs of Pacific peoples. It recognises that people from individual Pacific Island countries are ethnically and culturally diverse. It usually involves Pacific peoples as participants and as members of the research team. The HRC supports research into the health of Pacific peoples resident in New Zealand. Where appropriate, research in the island nations of the South-West Pacific may also be supported, particularly if it involves strong links with New Zealand. The HRC has developed the Pacific Health Research Framework as a tool to measure the level of responsiveness of the research to the needs and aspirations of the Pacific population. The Framework classifies Pacific Health Research within the spectrum of Relevance (involving Pacific participants to improve Pacific Health outcomes), Governance (Pacific lead) and Partnership (engages Pacific community and shares leadership of research)¹.

What research does the Health Research Council not fund?

The Health Research Council does not fund the following types of research:

- Clinical audits – Projects within a healthcare setting which examine practice and outcomes in a particular time and place to determine conformance with expectations. The aim of a clinical audit is typically to inform and improve management rather than the advancement of knowledge.
- Community needs assessments (if conducted for the purpose of seeking a health service provider contract).
- Operational research or database audits - Evaluation of an agency, institution or organisation's compliance with policy, statute or regulation; or Evaluation of the integrity of an agency, institution or organisation's database. However, proposals seeking to evaluate the impact of legislative change may be submitted to the HRC.
- Any research that is not relevant to health outcomes.
- Where research falls into the above categories, the HRC retains the right to withdraw proposals as it sees fit. In those instances where the HRC determines that a proposal is not eligible for consideration for HRC funding, the applicants will be advised within 8 weeks of submission of their application.

There are now a number of investment instruments that may fund health research other than the HRC, e.g. FRST, NERF and Marsden Fund. Proposals submitted to the HRC and considered more appropriate to the mission of another purchase agency may be returned to the applicant for submission elsewhere.

When should applicants consult the Health Research Council prior to submission?

Applicants developing health outcome related proposals which also include research objectives addressing non-health outcomes should advise the HRC at least two months prior to the application closing date to enable the HRC to develop processes for review and possible funding in conjunction with other funding agencies (e.g. FRST).

Development and/or evaluation of interventions (e.g., public health) within the healthcare system which also involve the provision of health services would normally only be funded by the HRC in partnership with other health sector stakeholders (i.e. the HRC may fund the evaluation/research component and the health sector would fund the delivery of the intervention). Prospective applicants should contact the HRC at least two months prior to the closing date for receipt of research proposals.

¹ Guidelines on Pacific Health Research (HRC, 2004)

Large national epidemiological (or similar) studies likely to cost in excess of \$1.2 M (full costs) may require joint funding from the HRC and other agencies, or dispensation from the HRC to exceed the stated Project contract budget limits. This would be granted only rarely. Application for a Feasibility Study is advised to allow testing of the questionnaire and/or methodology. During the Feasibility Study contract, the applicant should talk with the HRC about exploring possible joint funding arrangements. Applicants will be expected to demonstrate strong stakeholder support for the proposed study at the time of first approach to the HRC. Prospective applicants should discuss such proposals with the HRC at an early stage prior to the closing date for receipt of research proposals.

Large clinical trials may require joint funding between the HRC and other agencies, or dispensation from the HRC to exceed the stated Project contract budget limits. This would be granted only rarely. Clinical trial proposals in excess of \$1.2 M (full cost) should be discussed with the HRC at an early stage before the closing date for receipt of research proposals. Potential applicants considering large clinical trial proposals are encouraged to consider the utility of a smaller study, which may be supported through Feasibility Study or Project contracts. During the term of the initial trial, the applicant and the HRC will explore possible joint funding arrangements.

Where research falls into the above categories, and there has been a failure to consult with the HRC prior to submission, the HRC retains the right not to process these proposals.

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 Maori². 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.

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*

² The Health Research Strategy to Improve Maori Health and Well-being 2004-2008 (HRC, 2004)

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.

Assessment of a Research Application's Fit with identified HRC Health Research Priorities

Project and Programme applications recommended as “Highly ranked and Fundable” by an HRC science assessing committee are further assessed for their fit with the HRC’s priorities for health research. The purpose of the prioritisation review is to ensure that the HRC’s investment in health research is contributing to national health priorities and is in line with policy directions identified by the Ministry of Health, the Ministry of Research, Science & Technology and the HRC.

Prioritisation is assessed using a number of criteria, which contribute to the Priority score for each proposal. Prioritisation scores are derived from a possible 16 points and are based on whether the research:

- Involves one or more of the HRC’s priority populations (max 3 points) (*see* HRC website for Expert Panel criteria);
- Aligns with the MoRST Vision Matauranga strategy (max 2 points) (*see* HRC website for Expert Panel criteria for Maori and a link to the MoRST strategy);
- Addresses one or more of the HRC’s Research Portfolio priorities (max 3 points) (*see* HRC website for the nine Research Portfolios and stated priorities);
- Addresses goals and objectives identified in the NZ Health Strategy, the NZ Disability Strategy, and *He Korowai Oranga*, the Maori Health Strategy (max 4 points) (*see* HRC website for a link to these strategies and stated goals/objectives);
- Contributes to the development and retention of the health research workforce (max 3 points); and,
- Meets the HRC definition of Translational research (above, 1 point).

The prioritisation score of a proposal is assessed only after it has been scored by a science assessing committee as a highly ranked ‘Fundable’ application and forwarded to the Grant Approval Committee for consideration. Applicants are advised to read the HRC’s Research Portfolio strategies, Expert Panel relevance criteria and the national strategies identified above, to consider how the proposed research addresses the priorities identified, and to make the fit clear in the application.