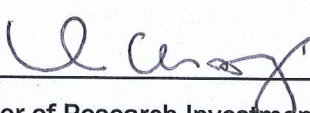
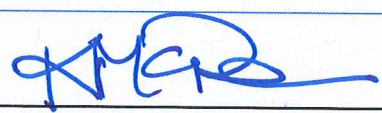


# Review of HRC Funding Decisions Policy and Procedure



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

<b>Name</b>	Review of HRC Funding Decisions Policy and Procedure	<b>Version No.</b>	7
<b>Reference No.</b>	Policy 9/2017		
<b>Governing</b>	Council Members, Committee Members and Staff		
<b>Administered by</b>	 Director of Research Investments and Contracts  Name: <u>VERNON Choy</u>  Date: <u>10/10/17</u>		
<b>Recommended by</b>	 Chief Executive Professor Kathryn McPherson Chief Executive Health Research Council of NZ  Name: _____  Date: <u>10.10.17</u>		
<b>Approved by</b>	Council		
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<b>Review date</b>	April 2020		
<b>Comments</b>			



## Introduction

The HRC is a strategic funding agency, which invests in public good health research on behalf of the New Zealand Government. The portfolio of health research advances human health and is relevant to the needs of the NZ health sector and to Government's goals for the research, science and technology sector. This translates into support for a range of fundamental, strategic and applied research within biomedical, clinical, public health, health services, Māori health and Pacific health.

Applications for health research funding, the majority received for the Annual Funding Round but some received in response to a Requests for Proposals process, are funded in a range of research contract categories for public good health research that meet the mission and expectations of the HRC. These research contracts range from small seeding grants through to large multi-year programmes and career development awards.

Specific forms of assessment for different proposal types are detailed in the Peer Review Manuals. Assessment of many application types includes external reviewer reports, a rebuttal process and Assessing or Steering Committee discussion. The HRC Research Committees and the Grant Approval Committee may also be involved in forming the funding recommendations. All funding decisions are made by the Council.

## Definition

**Applicant** any person, body corporate or institution (being a research provider) applying to the HRC for Funding.

## Policy

There will be a transparent process for considering and ruling on allegations of unfairness from an unsuccessful applicant for any HRC research funding.

## Procedure

Complaints or requests for a review of a funding decision must be submitted in writing through the applicant research office or authorised host organisation management.

The HRC Chief Executive will respond to the applicant setting out the process for a review of a funding decision by providing a copy of this Policy.

An unsuccessful applicant may submit a complaint or request for a review of a funding decision if they consider that their application has been processed:

- a) differently from other like applications
- b) unfairly

setting out:

- a) the way in which the applicant considers the application was processed differently from other like applications;
- b) the alleged unfairness; and
- c) the remedy sought.

The Chief Executive will ascertain whether the matter can be resolved by:

- a) communicating the issues to the Research Investments and Contracts group;
- b) identifying the assessment pathway and decision to assign to a committee;
- c) reviewing involved committee membership and expertise;
- d) obtaining relevant assessment notes, scores and rank, review summary;
- e) obtaining written comments from assessing committee reviewer and Chair;
- f) reviewing Grant Approval decisions if involved;
- g) reviewing Council agenda and minutes;
- h) obtaining comments from the involved HRC manager;
- i) meeting with involved HRC staff to review assembled material, and
- j) deciding whether the application was processed differently from others in the same part of the round.

If the Chief Executive determines that the application was processed in the same way, and/or as fairly, as others in the round, the decision will be communicated to the applicant and no remedy will be provided.

If Chief Executive determines that the application was not processed in the same way, and/or not as fairly, as others in the round such as to affect the assessment outcome, this will be communicated to the applicant and a remedy will be proposed. Council approval for any funding allocation is required. Possible remedies may be:

- 1) Allocating interim funding until the next funding round.
- 2) Facilitating expedited entry to the next round at the point of the error or fault.
- 3) Offer of a research contract according to the original application.
- 4) Other remedy to be agreed together.

If Chief Executive determines that the application was not processed in the same way, and/or not as fairly, as others in the round but the variation would not have affected the assessment outcome, the decision will be communicated to the applicant and a remedy will not be provided.

If resolution of the issue is not possible, the Chief Executive will provide the Chair of the Council with a report on the case. The Council will consider that report and any other materials submitted by the Chief Executive and the applicant and, after so doing, may at its discretion:

- a) approve the remedy sought;
- b) approve any other remedy; or
- c) decide that no action be taken.

## **Review of the Policy and Procedure**

This policy will be reviewed at least every three (3) years or earlier if deemed necessary.