

## GUIDE FOR APPLICANTS

### **BACKGROUND:**

The Whau Mental Health Research Foundation is a charitable trust that promotes research and investigation into mental health and the addictions. The Foundation is required to ensure that the projects it supports are scientifically sound and are of benefit to the community at large.

### **PURPOSES:**

The primary purpose of the Foundation is to improve and support the mental health of people in New Zealand by facilitating and supporting high quality research in New Zealand into mental health and addictions including, but not confined to, studies of epidemiology, aetiology, pathology, clinical presentation, intervention and prevention, and where considered appropriate, facilitating and/or supporting the implementation of such research. The Foundation provides funds to assist individuals and groups to conduct both pure and applied research into mental health, and to investigate various aspects of existing and prospective mental health delivery programmes.

For further information about what the Foundation does and does not fund, please refer to the document “What does the Whau Mental Health Research Foundation fund?” which is available on the Foundation’s website.

### **APPLICATION FORMS:**

Applicants must use the Foundation’s application forms which are available as Word documents on the Foundation’s website.

Please indicate on the application form whether you are applying to the General Research Fund or to a special targeted fund, which may be available in the year that you are making your application. Applications made to a targeted fund which are not successful will still be considered for funding from the General Research Fund.

### **AMOUNT APPLIED FOR:**

Please note that the amount applied for in section B should specify the total amount requested inclusive of any GST that applies. The Foundation is not registered for GST and as such the grants made by the Foundation are inclusive of GST, if any is applicable. The Foundation does not add GST on to the amount requested in your application form.

### **PART FUNDING AND CO-FUNDING:**

The Foundation will consider applications for part funding of projects or co-funding of projects with other funding bodies. The Foundation will view favourably projects that have already attracted support from other funding agencies.

### **PARTIAL FUNDING OF APPLICATIONS:**

It is possible that the Foundation may not grant the full amount requested in your application.

The Foundation may grant an amount specifically towards a particular aspect of your project e.g. to purchase a specific piece of equipment or to fund certain expenses.

Or an amount less than the total amount applied for may be granted without any particular use being specified. If this occurs then, unless otherwise advised to you, it is your choice whether you seek additional funding from other sources to preserve the scope of the research or you reduce the scope of the research to

fit the amount granted. However, the Foundation would appreciate being advised of your chosen course of action in this regard.

#### **PROJECT COMMENCEMENT AND DURATION:**

It is expected that the project will commence as soon as possible, and at the latest within 12 months of the applicant being advised of the result of their application. If there are significant delays in commencing the project the Foundation would appreciate being advised of this.

The Foundation does not specify the duration allowed for a project but does request that an expected completion date is provided in the application. If an extension to the expected completion date is needed this must be agreed in writing with the Foundation. A variation request form is available on the Foundation's website for this purpose.

#### **HOST INSTITUTION DETAILS**

Please provide the contact email address for the appropriate person / department to be contacted regarding the result of this application and the subsequent authorisation of the Grant Agreement document.

#### **APPLICATION CONTENT – SOME ADDITIONAL INFORMATION**

When preparing an application, please note the following:

- Write as if you were writing to experts in the field.
- With regard to section F4 about the proposed methodology and timeframe, this should include information on what data will be collected, how it will be collected, the use and analysis of the data and the approach to be adopted towards understanding the results. No one methodology or approach is given preference but the research should be scientifically sound.
- Also with regard to section F4, we have asked about any proposed uses of artificial intelligence (AI) as we are aware that AI is increasingly being used and we are interested to know how frequently it is being made use of within this type of research.
- With regard to section F6 about the extent to which this research addresses issues relevant to Maori and to minority groups in New Zealand, please include here information on any expertise in working with Maori and different minority communities.
- With regard to the curriculum vitae (CV) of the Principal Investigator, the focus of this should be work undertaken in recent years. It should contain:
  - personal details such as name, address, present position, degrees and other academic qualifications, honours and/or prizes; and
  - academic and/or research experience, relevant work experience, titles of publications and other relevant information.

#### **ETHICS APPROVAL:**

Applicants proposing to conduct research will need to obtain appropriate ethics approval from an HRC accredited body. It is not necessary to have applied for ethics approval prior to submitting an application to the Foundation, however proof of ethics approval having been obtained will be required before a grant can be paid out. If you have already received ethics approval at the time of your application then please provide a copy of this with your application.

#### **CLOSING DATES & SUBMISSION:**

Applications are considered annually by the Trustees of the Whau Foundation with assistance from external referees where appropriate. ***Please refer to the Whau Mental Health Research Foundation website for the application closing date.***

A copy of the application, including supporting documents, should be emailed in Word or pdf format to [grants@whaufoundation.org.nz](mailto:grants@whaufoundation.org.nz).

Receipt of your application will be acknowledged as soon as possible after it is received.

#### **PUBLICATION OF RESULTS:**

All applicants will receive a letter notifying them of the result of their application.

The Foundation may choose to publish information about grants that it makes to successful applicants on its website or in other Foundation communications. This may include information such as applicants' names, Host Institution, research title, a lay summary of the research, and the amount granted.

If you do not want information about your project published please indicate this in your application and provide an explanation of why not. The Foundation will consider cases where a genuine concern exists about the publishing of these details.

#### **GRANT AGREEMENT**

You must have the support of your Host Institution for your project. If your application is successful, the Foundation will issue a Grant Agreement to you on terms that are substantially similar to those of the copy available from the Foundation's website. The Foundation reserves the right to adjust the terms of the Grant Agreement to reflect the requirements of a particular application and/or circumstances.

In order for the result of a successful application to be formalised, you will be required to sign the Grant Agreement, to liaise with your Host Institution to have the Grant Agreement signed by an appropriately authorised representative on behalf of your Host Institution, and to return the completed document to the Foundation.

The Grant Agreement document includes the terms and conditions of the grant, including details of what the Foundation has agreed to fund and the amount of the grant; the obligations of the Foundation, the Grantee and the Host Institution; the process and timing for the payment of grant funds; and the Foundation's use of Research Material arising from the project.

Should there be a need to make changes to the terms of the Grant Agreement once it has been signed (e.g. to extend the timeframe for the project and/or for the provision of reports to the Foundation, to amend the project methodology, or to change the use of the funds granted) this must be agreed in writing with the Foundation. A variation request form is available on the Foundation's website for this purpose.

#### **ADMINISTRATION OF GRANT FUNDS:**

The Foundation does not administer the funds that it has granted. Grant funds awarded will be administered by the applicant's Host Institution in accordance with that organisation's institutional procedures including all submission, post-award and reporting requirements.

A copy of the results letter for successful applicants will be sent to their Host Institution.

Specific details of the invoicing requirements for a grant are included in the Grant Agreement. In most cases, it is expected that the Foundation will be invoiced for the initial payment and that the initial portion of the grant funding will be taken up by the Host Institution, on behalf of the applicant, within 12 months of receiving notice of the successful result of their application, or the grant will automatically lapse. Extensions will be considered in appropriate circumstances upon application.

In most cases, payment of the final portion of the grant funding will occur after the project has been completed, in accordance with the terms of the Grant Agreement.

Ordinarily, the initial payment portion is expected to be 90% of the total amount granted. Please advise us in your application if not receiving all 100% of the funding granted to you at the initial payment date will mean that you are unable to complete your project or will cause any specific problems.

#### **RETURN OF UNSPENT GRANT FUNDS:**

Because the Whau Foundation is only a relatively small organisation with a limited funding base we try to be as cost effective with our finances as possible. As part of this, we seek to recover unspent grant funds so that they can be returned to the pool of money available and redirected for use to support other researchers in future funding rounds.

After the Final Report for a project has been received and the financial situation has been determined, the Foundation will request the refund of any unspent portion of the grant funding over the value of \$500.

In determining the amount of any final payment which is to be invoiced by and made to the Host Institution, the Foundation will take into account the amount of any unspent grant funding and will adjust the payment amount accordingly.

#### **REPORTING REQUIREMENTS:**

The Foundation has a duty to ensure that the projects it grants funds to are completed. To this end, successful applicants are required to furnish reports on their research activities. This enables the Foundation to monitor, measure and communicate the benefits of the grants to donors, potential donors, and to society at large.

The Foundation requires:

- A Progress Report, which is due 10 months after the grant funds are paid to the Host Institution, and
- A Final Report, which is due within 3 months of the project completion date.

Details about what must be included in each report are provided in their respective Report Requirements documents, which are available on the Foundation's website.

#### **For further queries contact:**

The Grants Administrator, Claire Bennett

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Phone (09) 414 0001

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