



**CATALYST  
FUND**  
STRATEGIC

Catalyst: Strategic

# Call for Proposals

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New Zealand-DLR Joint Research Programme  
December 2020

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MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HĪKINA WHAKATUTUKI

New Zealand Government

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# What is Catalyst: Strategic?

## Introduction

The New Zealand Government's ten-year vision as set out in the National Statement of Science Investment is of a "highly dynamic science system that enriches New Zealand, making a more visible, measurable contribution to our productivity and wellbeing through excellent science."

International science and innovation connectivity is a key contributor to achieving this vision, providing opportunities to drive the increasing excellence and potential impacts of New Zealand science.

International collaboration on science and innovation improves the quality of research; increases end-user relevancy of research and knowledge exchange; enables firms to increase investment in innovation activities, therefore increasing their stock of knowledge; and provides access to additional capability and resources which increase domestic absorptive and delivery capacity.

## The Catalyst Fund

The Catalyst Fund supports activities that initiate, develop and foster collaborations that leverage international science and innovation for New Zealand's benefit. The Catalyst Fund seeks to achieve the following objectives:

- targeted international partnerships which maximise the impact and quality of New Zealand science and innovation
- emerging international science cooperation opportunities are pursued and advanced to deliver benefits to New Zealand
- international science and innovation is leveraged in key areas, delivering better quality benefits of greater impact to New Zealand at a faster pace, of better quality, or of greater impact than can otherwise be achieved.

Catalyst funding is delivered through four instruments:

- **Catalyst: Strategic** - funds strategic research partnerships and large-scale international collaborations
- **Catalyst: Seeding** - supports small and medium-sized new international partnerships
- **Catalyst: Leaders** - supports targeted international fellowships for exceptional individuals
- **Catalyst: Influence** - supports New Zealand's involvement in and influence of key international forums.

**This Call for Proposals invites applications for contestable funding under *Catalyst: Strategic*.**

## Catalyst: Strategic

*Catalyst: Strategic* funds strategic research and large-scale pre-research collaborations with priority partners and in targeted areas that cannot be supported through other means.

The objectives of *Catalyst: Strategic* are to:

- leverage international research infrastructure and capabilities in areas posing significant science-based challenges to New Zealand and our international partners
- profile New Zealand science and innovation, and our ability to contribute to global science challenges.

More information about the Catalyst Fund can be found on [MBIE's website](#).

# This Catalyst: Strategic funding round

This Call for Proposals (CfP) provides you with information about MBIE's investment objectives, how to apply, how your proposal will be assessed, and the contracting process.

MBIE is inviting proposals for feasibility studies under *Catalyst: Strategic*. In 2021, a total of NZD\$1,125,000 is available in *Catalyst: Strategic* for feasibility studies with the German Aerospace Center (DLR) in the areas of propulsion, space communications and Synthetic Aperture Radar technologies. We expect to fund up to 15 projects with NZD\$75,000 (excl. GST) available per successful project.

Proposals will be assessed against the following criteria (**refer page 12**).

- **Excellence:** Will the project lead to the creation of new knowledge through high quality research?
- **Connections:** Will the project establish an enduring collaboration between New Zealand and German institutions?
- **Impact:** Will the project deliver benefit aligned to wider economic, social and environmental goals of New Zealand and Germany?

Criteria will be evaluated through MBIE's objectives and rationale for this investment. Please read these sections of this CfP carefully and ensure that they are clearly reflected in your proposal. MBIE will not fund projects that do not contribute to its objectives for this investment.

Proposals should reflect and support relevant Government strategies and initiatives that science and innovation can make a major contribution to. Such strategies include, but are not limited to; the National Statement of Science Investment, National Science Challenges and Vision Mātauranga.

## Investment context

MBIE and DLR signed a Letter of Intent (LoI) at the International Astronautical Congress in Bremen in October 2018 to enable joint research collaboration. The LoI builds on a long history of scientific collaboration between New Zealand and Germany, starting with the 1977 Agreement on Scientific and Technological Cooperation, and seeks to extend these efforts into the space domain.

The identified areas of collaboration under the LoI are:

- space systems, including satellite technologies, rocketry technologies and ground based infrastructure
- earth observation technologies and applications
- transport technologies
- energy technologies.

Subsequent discussions between MBIE and DLR in 2019 and early 2020 identified three specific areas for bilateral cooperation:

- propulsion
- space communication
- Synthetic Aperture Radar (SAR).

## Investment rationale

The mechanism of an open, contestable call for proposals ('the Call') will highlight, for MBIE, where relevant expertise lies across the New Zealand science system. Successful proposals will rely on research organisations having invested in developing internal expertise sought by DLR institutes and departments. Successful projects will highlight further opportunities for sector development.

As an emerging player in the global space sector, New Zealand has a strong interest in integrating the domestic science system into established global research networks. Successful proposals will require establishing connections with DLR research institutes and demonstrating intent and ability to translate a project funded under the Call into an enduring long-term partnership of strategic value to New Zealand. This will assist MBIE in furthering its relationship with the DLR.

Funding multiple projects through a contestable call will enable the New Zealand science system to establish and deepen a number of collaborative partnerships. Should additional funding be available in the future, these partnerships could potentially lay a foundation for future investments.

The thematic focuses of the Call reflect strategic technologies to both countries within the space domain. This investment will enable New Zealand research organisations to collaborate with DLR on challenges that develop the state-of-the-art in the concerned thematic areas. This investment will also assist in establishing New Zealand as a research and development hub for space technologies.

## Investment objectives

This Investment will contribute to the overarching objective of the development of propulsion, space communication and SAR for both DLR and New Zealand. Its outcomes will be realised in aggregate, across the projects that will be funded through this Call for Proposals.

The investment should (in no particular order):

- lead to long-lasting partnerships between DLR research institutes and NZ research capabilities
- lead to the creation of new and world-leading knowledge in propulsion, space communication and SAR technologies
- advance the development of dynamic and world-class propulsion, space communication and SAR technologies
- develop scientific capability for both countries to address major challenges for the economy, environment and society
- support and encourage the development and exchange of scientific strengths and capabilities within New Zealand and DLR, and allow each country to benefit from each other's global connections to cutting edge science
- build successful collaboration models that ensure maximum synergy in research and development across teams and countries
- identify pathways for spill over benefits and knowledge diffusion across New Zealand's science and innovation systems
- establish platforms for possible larger-scale future research collaborations.

## Key reference documents

- [National Statement of Science Investment 2015-2025](#)
- MBIE's [Draft Research, Science and Innovation strategy](#), which is currently available in draft form

## Key dates

<b>1 December 2020</b>	IMS portal opens for proposals
<b>12 noon, 18<sup>th</sup> January 2021</b>	Closing date for proposals
<b>8 February 2021</b>	Investment funding decision(s) announced
<b>1<sup>st</sup> March 2021</b>	Contracts expected to begin
<b>15<sup>th</sup> July 2021</b>	Deadline Feasibility Study

## Further information

**Email:** Proposal queries (New Zealand): [internationalscience@mbie.govt.nz](mailto:internationalscience@mbie.govt.nz)  
Proposal queries (Germany): [Christian.Zurmuehlen@dlr.de](mailto:Christian.Zurmuehlen@dlr.de)  
Portal queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

**Phone:** 0800 693 778 (Monday to Friday, 8:30am to 4:30pm) for Portal queries

You can also [subscribe](#) to MBIE's Alert e-newsletter.

# The funding opportunity

## What funding is available?

This investment is a **bilateral** initiative funded by the New Zealand Government and supported by DLR.

New Zealand and German applicants must **jointly develop a single proposal** that will be submitted through MBIE's Investment Management System (IMS). MBIE and DLR will jointly assess the proposals to agree on the successful projects and anticipate funding feasibility for research projects across the thematic areas listed above.

The New Zealand project team can apply for **up to NZ\$75,000** (excluding GST) of funding from. DLR will provide in-kind support through the allocation of research effort. Research funding from New Zealand can only be used to fund New Zealand researchers in the budget. MBIE and DLR may agree to distribute additional funding to successful proposals in the event that both countries assess this as worthwhile. However, you should not consider the potential for additional funding in your application.

## Who can apply?

This funding opportunity is open to both public and private research organisations. A research organisation is an organisation that has internal capability for carrying out research, science or technology, or related activities.

## Eligibility Criteria

This Call is for **joint submissions** that involve at least one New Zealand Research Organisation (RO) and one DLR institute. For New Zealand organisations, applications will be open to **both public and private** New Zealand-based research organisations. However, proposals should clearly indicate how the research will provide a public science return and benefit New Zealand's science and innovation system as a whole.

On the German side, applications will be open to any **DLR researcher**.

For a proposal to be assessed under this investment, it must meet the eligibility criteria. Proposals that fail to meet this criteria will be declined for funding on eligibility grounds, as determined by MBIE and DLR. The following eligibility criteria will also apply:

- each proposal must be jointly prepared as one application, with at least one New Zealand RO and one DLR institute and submitted by the New Zealand partner.
- the German research partner must be employed by the DLR
- each proposal must have a letter of endorsement from the head of the DLR institute(s) listed in the proposal
- each proposal must include a budget identifying all contributions. Direct research costs and overall resource contributions (including in-kind) from each country should be approximately equivalent.
- all proposals must have intellectual property, data management and project risk plans.
- proposals must be uploaded before 12 noon (NZ time) on the due date via the [MBIE Portal](#) and meet the administrative requirements of MBIE. The New Zealand-based project team will submit a joint proposal on behalf of all research team members (including DLR partners) via the MBIE Portal.
- applicants must not submit multiple applications to this investment based on the same project, where the only difference is in the duration of the proposed project, the amount of funding sought or the international collaborators involved. Should the same New Zealand research team decide to submit more than one proposal, they must demonstrate significant differences between those proposals.
- If a New Zealand research team submits multiple proposals based on the same project, all proposals for that project may be deemed ineligible.

## What should the feasibility study encompass?

We are funding feasibility studies for advancing the state of the art in one of the three thematic technology areas that were workshopped in recent months (propulsion, SAR and Optical communications). These feasibility studies will cover, but are not limited to the below headings:

**A Literature review** – A review of the current state of the art for the chosen area of research, encompassing technology trends and addressing those of the end application/user. The literature review should be comprehensive and lead to the identification of the key technology gaps.

**Knowledge gap identification**– Based on the literature review this will define the value proposition of the research. It will lock in the key areas of research and what will remain inside the scope.

**Expected/preliminary methodology used to address this knowledge gap** – This methodology will look into the research pathway and the scientific process that underpins the joint research.

**Resources required to perform the work and allocation** – What physical, human and financial resources will be needed to perform research into the identified knowledge gap area?

**Barriers to success** – Are there any factors that you envisage at an early stage that you may have to mitigate in order to be successful?

**Potential interfaces with other DLR/NZ collaborations** – Are there any other collaborations that will likely interface with or use your technology going forward?

**Timing** – What does the timeline look like from here and will the resource be needed at each stage?

## What does the funding cover?

### New Zealand

The expenses allowed under *Catalyst: Strategic* for successful projects include the following:

Expense	Details
Research activities	<ul style="list-style-type: none"><li>• expenses for consumables and other research expenses</li><li>• expenses for personnel and contributions to pro-rated salaries</li></ul>
Research exchanges	Flights, accommodation, visas, travel insurance, ground transport, and meal expenses are permitted and should be based on the rules of the organisations with which the individual undertaking the activity is affiliated. Due to current conditions worldwide, it is envisaged that the research where possible should take place remotely.

Unless otherwise agreed in writing with MBIE, the **following expenses will not be funded**:

- any capital expenditure, including the acquisition of real estate, construction of buildings, and procurement of equipment
- dealing with accidents or disasters during the term of the contract
- expenses for alcoholic beverages (eg at meetings)
- expenses unrelated to the delivery of the contract
- expenses outside any categories listed in the project budget (without prior written permission from MBIE).

You will be asked to provide a breakdown of your project's budget in your proposal.



# The investment process

## The application timeline



## Process overview

The investment process consists of four stages:

- 1. Proposal:** New Zealand and German applicants collectively develop their full proposal, which the New Zealand applicant submits through IMS.
- 2. Assessment:** MBIE and DLR will separately identify assessors, who will then jointly review the proposals against the investment assessment criteria, including the Vision Mātauranga policy. Based on the assessor evaluations and portfolio balance, MBIE and DLR will then make a final decision on the proposals to be funded.

MBIE will notify applicants of the funding decisions once the assessment process is complete. Individual feedback will be available on request.

- 3. Contracting:** MBIE will enter into a *Catalyst: Strategic* contract with the successful applicants' organisation (which must be a New Zealand based legal entity).

Note: MBIE may set pre-contractual conditions that must be met before entering into a contract, set special contract conditions, and/or vary the funding allocated from that requested.

## Preparing and submitting your proposal

The New Zealand applicant will submit the proposal for this investment through IMS, a secure online electronic portal. We recommend you familiarise yourself with IMS before starting your proposal. For information on IMS, see ‘Submitting your Proposal in IMS’ on page 21.

The proposal process requires that you provide details about your:

- project
- organisation
- research team
- funding

This information must be submitted in IMS within the timeframes specified in this Call. Once submitted, your proposal cannot be amended and information is reviewed as part of the assessment process. Please ensure that it is accurate and complete. It will also form the basis of successful applicants’ contracts.

We recommend that you copy and paste from a word editor of your choice rather than typing the information directly into IMS – this will help you keep a back-up of your application.

### ANZSRC codes

We have asked you to identify up to two Socio-Economic Objectives (SEO) ANZSRC codes and two Field of Research (FOR) ANZSRC codes in your proposal.

An ANZSRC (Australian and New Zealand Standard Research Classification) code is a standard classification that allows research and development activities to be categorised according to their intended purpose or outcome. Definitions are available online at the *Australian Bureau of Statistics*.

<b>SEO Codes</b> Please provide up to two six-digit SEO ANZSRC codes, and allocate the percentage of relevance against each code, totalling 100%.	<b>FOR Codes</b> Please provide up to two six-digit FOR ANZSRC codes and allocate the percentage of relevance against each code, totalling 100%.
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# How will your proposal be assessed?

To be assessed, your proposal must meet the eligibility criteria set out on page 7. If your proposal meets the eligibility criteria, it will be assessed against the assessment criteria (detailed on the next page) by independent assessors, who will then provide advice to MBIE and DLR as to which proposals merit funding.

## Assessors

MBIE and DLR will each identify assessors to form a joint assessor pool. The role of the assessors is to review and provide advice to MBIE as to what projects are deemed high quality and fundable, and their relative rankings.

Assessors will be selected for their ability to contribute to one or more of the following criteria:

- scientific knowledge relative to the range of topics covered by the research areas
- broader international strategic expertise and experience
- knowledge about complex international research programmes

DLR may nominate assessors from within the Center if these assessors have no connection to the institutes that are applying for funding.

## Assessment process

1. MBIE and DLR review the applications to ensure they meet the eligibility criteria and assign eligible proposals to assessors for individual assessment.
2. Each proposal is individually evaluated by assessors. Individual assessors' scores and assessment comments are entered into IMS.
3. Assessors' scores and comments form a recommendation to MBIE and DLR as to which proposals merit funding.
4. Based on these assessments, MBIE and DLR will discuss the proposals and agree on the successful projects.

## Conflicts of interest

MBIE will advise applicants of potential assessors before the assessment so that you may check for, and advise MBIE of, any direct or indirect conflicts of interest.

If you identify that an assessor has either a direct or an indirect conflict of interest, you must notify MBIE by emailing [internationalscience@mbie.govt.nz](mailto:internationalscience@mbie.govt.nz) with the details for further discussion. If necessary, we will reassign assessors to mitigate any conflicts.

## What is considered a conflict of interest?

Conflicts of interest for assessors may occur on two different levels:

A **direct conflict of interest** is where an assessor:

- is directly involved with a proposal (as a participant, manager, mentor, or partner) or has a close personal relationship with the applicant (eg family members), or
- is a collaborator or in some other way involved with an applicant's proposal.

An **indirect conflict of interest** is where an assessor:

- is employed by an organisation involved in a proposal but is not part of the applicant's proposal
- has a personal and/or professional relationship with one of the applicants (for example an acquaintance), or
- is assessing a proposal that may compete with their business interests.

**Note:** Employees of DLR will participate in assessment of the proposals, however these employees will not be from the same DLR Institutes as those named in the proposals.

## Assessment criteria

The criteria listed below are intended to deliver on the investment's outcomes and objectives, and New Zealand's vision to strive for greater excellence and impact in publicly-funded research. As much of our science as possible should be of the highest quality by international standards and that investment should have a clear line of sight to eventual impact. International collaboration can positively impact the excellence and impact of our science.

This criteria should be read in concert with the objectives for this Call and you are expected to outline how your proposal will deliver against these objectives. Please note that the Call's objectives are not tied to a specific assessment criteria category, and will be assessed against your entire proposal.

### Excellence (50%)

#### Will the project lead to the creation of new knowledge through high quality research?

Assessors will look for evidence of how the proposal:

- leads to the creation of new knowledge, including that relating to Vision Mātauranga (VM), which is of the highest calibre and would have national and international scientific impact and recognition
- utilises sound research practices and principles, including a well-designed research plan and a credible approach to risk management
- is ambitious in terms of scientific risk, technical risk, novelty and/or innovative approaches
- is led by world-class science leaders or potential future leaders with the skills and knowledge to deliver the proposed activities
- provides the mix of complementary skills, knowledge and resources to deliver the proposed research, science or technology or related activities and to manage risk.

### Connections (25%)

#### Will the project establish an enduring collaboration between New Zealand and German institutions?

Assessors will look for evidence in the proposal of how:

- the proposed partners bring a mix of complementary resources, capabilities and expertise to the proposed project, building a connected and high performing research team
- the research team and its partners have the capabilities and capacity to build and manage a substantive international partnership, to fully realise the international opportunities outlined in the proposal and to deliver the proposed activities
- the identified project partners are building and sustaining connections with leading international research centres, science leaders, and entrepreneurial talent to strengthen science capability and performance
- connections with and for Māori will be genuine and of value to tangata whenua.

### Impact (25%)

#### Will the project deliver benefit aligned to wider economic, social and environmental goals of New Zealand and Germany?

Assessors will look for how the proposed project plan:

- has benefits, including the incorporation of VM elements, that are of national significance and the analysis which supports the estimates of benefit and uncertainty is excellent. The plan gives full confidence that the work would be implemented as indicated
- identifies research areas that will enable the wider New Zealand and German research communities to contribute to solving national or global problems
- has the potential to support a pipeline of research and knowledge transfer to build long-term capability and enable the development of new ideas and applications.

## The decision process

MBIE and DLR will make the final funding decisions. MBIE and DLR will take into account the recommendations made by assessors and their total investment across existing funding mechanisms to ensure a balanced portfolio across topic areas.

Accordingly, MBIE and DLR may decide to either:

- approve your proposal
- decline your proposal
- approve your proposal with conditions that must be met before or during the contract, or
- approve your proposal for an adjusted amount of funding.

In making its investment decisions, MBIE may also:

- set pre-contract conditions which must be met before the investment is contracted
- set special conditions in addition to the general terms and conditions set out in the Catalyst Fund Contract, which is available on MBIE's website
- assess the appropriateness of the budget submitted with the proposal
- vary the proposed term of a proposal, either by setting a different term to that proposed or by stage-gating the investment, ie by requiring certain conditions to be met at a point in the term, before the proposal is funded for the full term, or
- vary the funding allocated from what is proposed and require critical performance indicators to be renegotiated to MBIE's satisfaction to reflect the changed funding.

Please note:

- Successful proposals MUST demonstrate excellent science.
- MBIE and DLR may choose not to fund any proposals if applications do not sufficiently address the criteria and/or issues with proposals cannot be rectified to MBIE's satisfaction.
- Participation in the investment process does not guarantee funding.

## Notifying you of the outcome

When a decision about your proposal has been made, MBIE and DLR will advise the contact person listed in your proposal by email.

Following notification, MBIE will publish its decisions and may announce these with a press release. The details MBIE or the New Zealand Minister of Research, Science and Innovation may make public are the:

- name of the applicant organisation and any other parties participating in the project
- name of any applicant
- short title of your project
- description and public statement of the proposed project
- total amount of funding applied for and awarded
- duration of your project, and
- that the project has been funded from *Catalyst: Strategic*.

## Meeting the New Zealand Government's data requirements

MBIE is committed to ensuring that all science data generated through its investments meets minimum expectations of good data management and public availability. If you receive funding, MBIE expects you to comply with the New Zealand Government Open Access and Licensing Framework. This framework advocates the use of creative commons licences.

## The New Zealand contracting process

If funding is conditional on pre-contract conditions, these must be completed to the satisfaction of MBIE before MBIE will prepare and send you a contract. If you are unable to meet any pre-contract condition by the due date, you need to inform MBIE as soon as possible before that due date. We will discuss and may renegotiate the conditions and/or extend the due date.

Subject to completion of any pre-contract conditions, contracts will be sent to your organisation for signing immediately following notification. You will be required to return the signed contract by a date to be advised by MBIE. If you are unable to do so, you will need to inform MBIE as soon as possible.

The terms and conditions of the Catalyst Fund Contract will apply to the provision of funding agreed between MBIE and the contracting organisation. By submitting a proposal, you are agreeing to the terms and conditions of the Catalyst Fund Contract available on MBIE's website. We advise that you seek any required legal advice or review as early as possible regarding the acceptance of standard terms and conditions so as not to delay contract signing.

# What information must be in your proposal?

The questions that you are required to answer in your proposal are detailed in the table on the following pages. The areas to consider and suggested content are provided for guidance when developing your proposal and are not an exhaustive list of information you might want to provide.

There are seven sections to complete; *Summary, Eligibility, Proposal, Case for Support, Budget, Team, and Other information*. We recommend you familiarise yourself with the IMS Portal well before the deadline for submitting your proposal.

New Zealand research teams must consult with their German collaborators before completing the proposal process, as some sections require their information.

PROPOSAL TEMPLATE		
INFORMATION REQUIRED	WORD LIMIT (if applicable)	
<p>This is a guide and is not intended to constrain the information you provide. An asterisk (*) indicates mandatory information</p> <p><b>Note:</b> Word limits include words in a table, references and citations</p>		
<b>SUMMARY</b>	300 words	
<b>*NZBN Number</b>	<p>The NZBN and registration number (if applicable) will populate automatically. The registration number applies if you are an incorporated society, charitable trust or company.</p> <p>If these fields are blank, please email these details to <a href="mailto:imssupport@mbie.govt.nz">imssupport@mbie.govt.nz</a> NZBN / Registration numbers allow MBIE to check that you are a New Zealand legal entity.</p>	
<b>*Funding Requested (New Zealand)</b>	<p>Funding available is up to a total of \$75,000</p> <p>PLEASE NOTE: This shows the funding requested in relation to the contribution from the New Zealand Government for this application.</p>	
<b>*Project title</b>	Provide a meaningful title that identifies the nature of your proposal.	
<b>*Start and End date</b>	Provide the proposed start and end dates of your project. Contracts are expected to begin in March 2020 and must conclude a maximum of 5 months after the project begins.	
<b>*DLR Institute</b>	Please enter the DLR Institute you are collaborating with.	
<b>*Research Core</b>	<p>Specify the thematic area and specific technology that best describes a major focus of your proposal:</p> <ul style="list-style-type: none"> <li>• propulsion;</li> <li>• space communication;</li> <li>• Synthetic aperture radar (SAR).</li> </ul>	<b>50 Words</b>
<b>*Primary Contact Person (NZ)</b>	Provide the name, contact phone number and email address for the primary New Zealand contact person for the project. This contact must have the mandate to discuss the proposal with MBIE officials.	
<b>*Primary Contact Person (Germany)</b>	Provide the name, contact phone number and email address for the primary German contact person for the project. This contact must have the mandate to discuss the proposal with DLR Officials.	

ELIGIBILITY		
<b>*Eligibility Confirmation</b>	Confirm that you satisfy all the eligibility criteria as stated on page 7.	
PROPOSAL		
<b>*Executive Summary</b>	<p>Summarise the overall objective of your proposal, including:</p> <ul style="list-style-type: none"> <li>• why your research is needed (the issue or problem you are addressing)</li> <li>• what you are aiming to achieve</li> <li>• what you propose to do (hypothesis and scientific approach)</li> <li>• a high level description of how the New Zealand and German teams will work together to achieve it</li> <li>• the results, effects and outcomes you expect, how they will be achieved and who will use or benefit from them.</li> </ul> <p>This will introduce your research, its potential impact(s) and your methodology to the assessors, MBIE and DLR.</p> <p>Do not include references, hyperlinks, images, video or audio files.</p>	<b>300 Words</b>
<b>*Public Statement</b>	<p>The public statement may be published on MBIE’s website if your proposal is funded. It is not used for assessment purposes.</p> <p>It is important to capture the essence of your research in a way that can be understood by a wider audience and can be used for media purposes. You may include, if required, publishable contact details that can be used by members of the public or the media.</p> <p>Do not include confidential information or references, hyperlinks, video, or audio files.</p>	<b>300 Words</b>
<b>*Research Plan</b>	<p>Explain and briefly outline:</p> <ul style="list-style-type: none"> <li>• your chosen approach and how it will achieve your objectives</li> <li>• the technical risks you have identified and the steps you have taken or will take to mitigate or manage them</li> <li>• your proposed approach to Intellectual Property (IP) and data management.</li> </ul> <p>Your Research Plan should be understandable to assessors, regardless of their specific field of expertise.</p> <p>You may include images but not hyperlinks, video, or audio files.</p> <p><b>Note:</b> You will be required to upload more comprehensive IP, data and risk management plans at the end of this application.</p>	<b>500 Words</b>
<b>Partner Contributions</b>	<p>If applicable, specify any additional organisation(s) you are collaborating with, their country of origin and their contribution to your research. This should include an indication of key researchers or other resources identified to be contributed (such as co-funding or access to specialised equipment).</p>	<b>500 Words</b>
<b>*Vision Mātauranga</b>	<p>Vision Mātauranga is a core element of the New Zealand Government science policy. Provide a high-level summary of how your proposal will give effect to this policy in a practical and meaningful way for Māori.</p> <p><b>Note: You should consider how Vision Mātauranga is being met in all your responses and not just this section.</b></p>	<b>150 Words</b>



## CASE FOR SUPPORT

<b>*Assessment Criteria</b>	<b>Excellence</b> <i>Key Question:</i> Will the project lead to the creation of new knowledge through high quality research?	<b>200 Words</b>
	<b>Connections</b> <i>Key Question:</i> Will the project establish an enduring collaboration between and within New Zealand and German collaborating institutions?	<b>200 Words</b>
	<b>Impact</b> <i>Key Question:</i> Will the project deliver knowledge aligned to wider economic, social and environmental goals of New Zealand and Germany?	<b>200 Words</b>

## BUDGET

<b>*Breakdown of expenses (New Zealand)</b>	<p>Provide a budget for the project using the following headings:</p> <ul style="list-style-type: none"><li>• personnel cost</li><li>• travel</li><li>• overheads</li><li>• consumables</li><li>• sub-contracting</li><li>• other</li></ul> <p>Travel costs should not exceed 25% of the budget. Total income must equal expenditure and all values should exclude GST.</p> <p>Funding does not allow for annual inflation adjustments over the term of the contract. Any sub-contracting should be identified</p> <p><i>A DLR budget is not required within this CfP</i></p>	
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## TEAM

**\*NZ Project Team** Using the following table as a guide, enter the key personnel from the NZ project team that will be involved and provide supporting CVs. You must include at least one team member for each role indicated by the \*

### Sample Team Table

Role	Full Name	CV	FTE	Email address	Invited to register for and/or enter ORCID iDs	<sup>1</sup> Invited to register and enter Diversity data
*Contract Manager	Mandatory	No	Not Applicable	Mandatory	Not Required	Not Required
* Science Leader	Mandatory	Yes	Not Required	Mandatory	Yes	Yes
*Key Researcher	Mandatory	Yes	Not Required	Mandatory	Yes	Yes
Key Individual*	Mandatory	Yes	Not Required	Mandatory	Yes	Yes
Post-doc	Optional	No	Not Required	Not Required	Not Required	Not Required
Student	Optional	No	Not Required	Not Required	Not Required	Not Required
Other	Optional	No	Not Required	Not Required	Not Required	Not Required

\* Key Individual refers to a essential contributor who is not involved in direct research activities

- CVs do not have to comply with the standard New Zealand Research, Science and Innovation (RS&I) CV template.
- MBIE will not fund salaries of individuals employed by local or central government, but may fund other costs associated with their involvement.

**\*German Project Team** Using the above table as a guide, enter the key personnel from the German project team that will be involved in each year of funding, and provide CVs. You must include at least one team member for each role indicated by the \*

## OTHER INFORMATION

**\*Research classifications** Select up to FOUR from each of the **Field of Research (FOR) and Socio-Economic Objectives (SEO)** categories.

**Conflicts of Interest** Declare any potential conflicts of interest and say why. This may include possible conflicts with assessors or a part of MBIE or DLR you are engaged with.

**\*Intellectual Property Management Plan** Outline how you will identify, protect and share any intellectual property generated by the project in accordance with the investment goals and to ensure maximum benefit to New Zealand. This includes management of IP between collaborators.  
If the success of your project is dependent on access to existing intellectual property, outline the agreements you have in place to use it.  
Outline how the project will employ an open science model.

**\*Data Management Plan** Outline your data management plan. You will also need to confirm access to any data required for the project.

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**\*Risk Management Plan**

Outline your risk management plan, including:

- technology
- key personnel
- identification of duplication of research, both internationally and domestically.

Please include any other risks associated with your project. You may refer to other sections of the project if and where relevant.

---

**\*Special ethical and regulatory requirements**

Describe any ethical and regulatory requirements and approvals needed to conduct the proposed research. If approvals have not yet been obtained, tell us how and when you expect to do so.

If your proposal includes research on organisms that could be regarded as taonga, please describe whether any approvals are needed to conduct the proposed work and whether these have been sought or obtained.

If no ethical or regulatory requirements apply to your proposed research simply state “Not Applicable.”

You are responsible for meeting all ethical and regulatory requirements relating to your proposed research. Any costs associated with fulfilling these requirements should be included in your budget (as “Other expenditure”). If delays occur due to failure to gain or initiate the necessary approvals, funding may be withheld, withdrawn or renegotiated.

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**\*Endorsement**

Please upload the letter of endorsement from the participating DLR institute.

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# Tips for writing a good proposal

Before developing your proposal, you must consider the:

- [Eligibility Criteria](#) (page 7)

If you believe you meet the eligibility criteria and agree with the terms and conditions, now is a good time to start thinking about the content of your proposal. In particular, make sure the content aligns to:

- MBIE and DLR's objectives for the investment, and
- The assessment criteria in the next section.

The following are general tips for a focused, well supported and clear proposal. The assessors can only review what is in the proposal so it is important to ensure that all key information is present. Please note that any text included in external links will not be considered.

## **Be succinct**

Make every sentence count. A small amount of carefully crafted content is much better than a lot of unfocused content.

## **Explain local or specialist language**

Assessors may not know all of the subject areas or areas of activity in the proposal in detail. If local or specialist terms are being used, they should be sufficiently explained.

## **Provide context for your idea**

Assessors need to know where and how activity in the proposal fits into the society's needs, science and innovation landscape; including links or relationships to existing space capability building or research projects, nationally and internationally.

## **Personnel and delivery**

Assessors want to know that the proposal utilises experienced, skilled and suitable people. Identify what your organisation and the proposed sub-contractors do and demonstrate that your team has the skills to deliver the project by providing relevant information on key individuals, including CVs or relevant examples of their experience and skills.

## **Capability development**

Assessors want to know how your proposal builds capability. Be clear about what new skills, relationships and knowledge will be developed in the course of the project.

## **Clear and logical**

Make sure the proposal is clear and logical, in particular how any activity will lead to the proposed outcomes. Provide evidence where appropriate to support the proposed activity and outcomes.

## **Evidence of proposed outcomes**

Ensure you support your proposed ideas, approaches and outcomes with appropriate evidence where relevant.

## **Ethical, data management and regulatory compliance and consent**

Ensure that any issues of ethical approval, regulatory compliance, and privacy and data sovereignty are addressed as necessary.

# Submitting your Proposal in MBIE's Portal

Proposals are entered and submitted using MBIE's Investment Management System (IMS) – a secure, online portal.

## Accessing MBIE's IMS Portal

You will need access to IMS to complete your application. Access the IMS portal using either Chrome or Firefox (IMS is not compatible with Internet Explorer).

For all IMS portal queries, email or call:

**Email** [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

**Phone** 0800 693 778 Monday to Friday,  
8:30am to 4:30pm

### For first time users:

If you have not used the IMS portal before, complete and email an IMS access request form [IMS access request form](#) to [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz). On acceptance, you will receive a Username and temporary password.

1. Click the **IMS URL** link in your Welcome email.
2. Type your Username and temporary password (**as detailed in your login email**). The IMS portal's **Edit password** screen displays.
3. Type your new password.
4. Retype your new password in the **Confirm new password** field.
5. Click the **Save Changes** button. A **Portal Access Agreement** displays.
6. Read the access agreement and then click the **Accept** button. The IMS portal's **Home** screen displays.

### For existing users:

For returning applicants: log in using your existing username and password. If you've forgotten this, use the **I've forgotten my password** option on the IMS login page.

1. Copy the MBIE IMS link to a Chrome or Firefox browser:  
[\(https://ims.msi.govt.nz/myfirst/\)](https://ims.msi.govt.nz/myfirst/).
2. Type your Username and Password.
3. Click the **Login Securely** button. The IMS portal's **Home** screen displays.

**To logout, click the Logout hyperlink (located top right of every screen).**





## IMS Portal icons

In the IMS Portal, mandatory fields are denoted by an asterisk (either red or black).

- Fields with a red \* must be completed before you can save and close the current section.
- Fields with a black \* must be completed before you can submit your proposal.

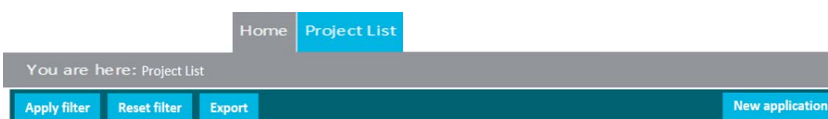
We recommend that you regularly click the Save button to save work as you are going.

Symbols alongside each section in the navigation panel allow you to easily check the completeness of your submission.

The symbol...	indicates that the section...
	has not started.
	is in progress.
	contains invalid or incomplete fields.
	is complete and is valid.

### To complete a proposal

1. From the Home screen of IMS portal, click the **Project List** tab.
2. Click the **New Application** button (located to the right of the screen).



3. On the resulting screen, select **New Zealand DLR Joint Research Programme** from the **Investment Process** field. Enter the title of your project. Click the **Create** button. The sections you need to complete display.
4. Complete the required fields in each page, working down through the menu to the left. We recommend that you familiarise yourself with the portal well before the deadline. When each section is complete, click the **Save & next section** button to move to the next section. Please refer to the “proposal template” pages of this document for information about how to complete the fields.

Develop your proposal in Microsoft Word and then copy and paste wording to IMS. Adhere to word limits.

5. **Project Team (New Zealand) page:**
  - a. Click the “Add person” button, select role.

If the project team member is already in IMS with an email address:

- b. Type name in, and select the person from the drop down list.
- c. Click “Add person to team”.

If they are not already in IMS or don’t have an email address already loaded:

- Enter the persons email address in the field.
- When the email address appears in blue with the words “(new person)”, select this.
- Click the “Invite person to join team” button
- Under “Pending invitations” click the “Add” button.
- Enter the first and last name of the new person and click the “create” button.

To edit details of project team; add CVs, invite to Orcid: (required for some roles at proposal phase):

- Click on name of project team member.
- Upload CV, and/or invite for Orcid registration.
- To edit other details, click the “person’s details” link beside their role.



6. When all sections are complete, scroll to the top of navigation panel and click the **Manage and Submit** link.

7. Click the **Check my application before submission** button to run a validation check. This check will verify the completeness of your application and will detect any missing content.



The screenshot shows a web interface for managing a proposal. On the left is a navigation panel with sections: 'Manage this application' (with 'Print and manage' selected), 'Summary', 'Eligibility', 'Proposal', 'Excellence and Impact', 'Key Performance Indicators', 'Budget', 'Team', and 'Other Information'. The main content area shows 'Project status: In progress' and 'Print and manage'. A red heading indicates 'Proposal validation result: Unsuccessful' with the instruction 'Please correct the errors below.' Under the 'Team' section, 'Key Researchers and Individuals' lists several requirements: 'The application requires at least 1 Contract manager', 'The application requires at least 1 Key individual', 'The application requires at least 1 Key researcher', 'The application requires at least 1 Science leader', 'You must have at least one FTE for project year 1', 'You must have at least one FTE for project year 2', and 'You must have at least one FTE for project year 3'. A blue 'Back' button is visible at the bottom of the main content area.

**Notes:** If the validation is successful, every section in the navigation panel is marked with the symbol:

If errors and/or incomplete fields are detected, these will display as:

- light blue error message hyperlinks in the proposal validation result section
- a  or  beside the relevant sections.

8. Click the first error message to open the section, make the required corrections/additions and click the **Save** button.

9. If applicable, repeat the above step for other sections marked with  or .

Once you have corrected all of the errors and/or added all of the missing information, click the **Submit proposal** section then the **Check my application before submission** button again.

10. On achieving a successful validation, click the **Submit to IMS** button.

# Appendix 1: Terms and conditions that apply to this Call

The terms applying to this Fund are set out below. The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a proposal will be deemed to have agreed to these terms and conditions without reservation or variation.

## INVESTIGATIONS AND RELIANCE ON INFORMATION

Applicants must examine this document and any reference documents, and carry out all necessary investigations before submitting a proposal. If in doubt as to the meaning of any part of these guidelines, applicants must set out in their proposal their interpretation and assumptions.

## RELIANCE BY APPLICANTS

All information contained in this document, or given to any applicant by MBIE, is for the purpose of allowing that applicant to prepare its proposal. MBIE has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be updated.

## RELIANCE BY MBIE

MBIE may rely upon all statements made by any applicant in its proposal and in correspondence or negotiations with MBIE or its representatives. If an applicant's proposal is approved by MBIE, any such statements may be included in the contract.

Each applicant must ensure all information provided to MBIE is complete and accurate. MBIE is under no obligation to check any proposal for errors, omissions or inaccuracies. Each applicant must notify MBIE promptly upon becoming aware of any errors, omissions or inaccuracies in its proposal or in any additional information provided by the applicant.

## INDUCEMENTS

Applicants must not directly or indirectly provide any form of inducement or reward to any assessment panel member, officer, employee, advisor or other representative of MBIE in connection with this funding process.

Business-as-usual communications (relating to any existing funding between MBIE and the applicant) will be maintained with the usual contacts. However, during the funding process, applicants must not use business-as-usual contacts to solicit or discuss details of this Fund with any person at MBIE or its agents, including the assessment panel members.

## OWNERSHIP AND INTELLECTUAL PROPERTY

This document and any other documents supplied by MBIE to any applicant remain the property of MBIE. All copyright and other intellectual property rights in this document, any documentation and other information provided to any applicant or any other person by or on behalf of MBIE in connection with this Fund will remain with, and belong at all times to, MBIE or its licensors. MBIE may request the immediate return of all documents supplied and any copies made of them at any time. Applicants must comply with any such requests in a timely manner.

Any proposals or information supplied by applicants to MBIE will become the property of MBIE and may not be returned to applicants. Ownership of the intellectual property rights in a proposal does not pass to MBIE. However, in submitting a proposal, applicants grant MBIE a non-exclusive, non-transferable, perpetual licence to use, disclose and copy their proposal for any purpose related to this funding process.

By submitting a proposal, applicants warrant that the provision of that information to MBIE, and the use of it by MBIE for the evaluation of their proposal and for any resulting negotiation, will not breach any third-party intellectual property rights.

## CONFIDENTIALITY

MBIE will treat proposals as confidential, but applicants should be aware that MBIE is subject to the Official Information Act 1982 and may be required to release information supplied in proposals in accordance with the Act, or as otherwise required by law.

## COSTS AND EXPENSES

MBIE is not responsible for any costs or expenses incurred by applicants in the preparation of a proposal.

## GOVERNING LAW AND JURISDICTION

This document will be construed according to, and governed by, New Zealand law and applicants agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning this document.



## THE PROPOSAL PROCESS

The following rights are reserved:

- MBIE may amend, suspend, cancel and/or re-issue the Call for Proposals, or any part of the Call for Proposals.
- MBIE may make any material change to the Call for Proposals (including any date) on the condition that you are given a reasonable time within which to respond to the change.
- In exceptional circumstances, MBIE may accept a late proposal where it considers that there is no material prejudice to other applicants.
- MBIE may waive irregularities or requirements in or during the Call for Proposals process where it considers it appropriate and reasonable to do so.
- Your proposal may not be approved for funding.
- All or any proposal(s) may be rejected.
- Your proposal may be accepted in whole, or in part.
- Any information you provide to MBIE with your proposal may be retained or destroyed.
- Clarification may be sought from any applicant(s) in relation to any matter in connection with this Call for Proposals process.
- Any applicant(s) may be contacted, which may be to the exclusion of any other applicant(s), at any time before or after the approval (if any) of proposal(s).
- MBIE may reject, or not consider further, any documentation related to your proposal that may be received from you, unless it is specifically requested.
- MBIE may amend the proposed contract at any time
- This Call for Proposals process may be run in such manner as MBIE may see fit.

## NO CONTRACTUAL OBLIGATIONS CREATED

No contract or other legal obligations arise between MBIE and any applicant out of, or in relation to, this Fund or funding process, until a formal written contract (if any) is signed by both MBIE and the successful applicant.

This document does not constitute an offer by MBIE to provide funding, or enter into any contract with any applicant. The request for and receipt of proposals does not imply any obligation on MBIE to contract for any funding requested in any proposal. MBIE will not be bound in any way until a formal written contract (if any) is signed by both MBIE and the successful applicant. Any

verbal communications made during the funding process will not be binding on MBIE and are subject to the terms of this document.

## NO PROCESS CONTRACT

This document does not give rise to a process contract.

## EXCLUSION OF LIABILITY

Neither MBIE, nor any assessment panel members, officers, employees, advisers or other representatives will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by any applicant, its affiliates or other person in connection with this document or the funding process. To the extent that legal relations between MBIE and any applicant cannot be excluded as a matter of law, the liability of MBIE is limited to \$1.

## PUBLIC STATEMENTS

MBIE may make public the following information: the name of any applicant; the name of the organisation and any other parties participating in the project; the title, description and public statement of the proposed project; the total amount of funding applied for and awarded; the period of time for which funding has been requested; and the fact that the project has been funded from the Fund. Please note that any information you provide may be published on the MBIE website.

Applicants are requested not to release any media statement or other information relating to the process outlined in this document and the submission or approval of any proposal in any public medium without providing reasonable advance notice to MBIE.

## Appendix 2: ANZSRC Codes

### What are ANZSRC codes?

An ANZSRC (Australian and New Zealand Standard Research Classification) code is a standard classification that allows research and development activities to be categorised according to their intended purpose, outcome and/or discipline. See [Australian Bureau of Statistics](#) for more details.

ANZSRC is a hierarchical classification, with 2, 4, and 6 digit codes representing increasing specificity. For example:

82 Plant Production and Plant Primary Products  
8201 Forestry  
810104 Native Forests

### Entering ANZSRC Codes

ANZSRC codes are categorised under two research classifications;

- **Field of Research (FOR)** - this is the discipline and/or the process or techniques used in the research.
- **Socio-Economic Objectives (SEO)** - this describes the intended purpose or outcome of the research undertaken.

Under each classification, **no more than four** ANZSRC codes must be specified.

## Further Information

**Email:** Proposal queries (New Zealand): [internationalscience@mbie.govt.nz](mailto:internationalscience@mbie.govt.nz)

Proposal queries (DLR): [Christian.Zurmuehlen@dlr.de](mailto:Christian.Zurmuehlen@dlr.de)

Portal queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

**Phone:** Portal queries: 0800 693 778 (Monday to Friday, 8.30am-4.30pm)

You can also [subscribe](#) to MBIE's Alert e-newsletter.

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