EQUITY, DIVERSITY & INCLUSION CAPABILITY FUND

2021 CALL FOR PROPOSALS

New Zealand Government

**MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT**
HĪKINA WHAKATUTUKI

Ministry of Business, Innovation and Employment (MBIE)

Hīkina Whakatutuki – Lifting to make successful

MBIE develops and delivers policy, services, advice and regulation to support economic growth and the prosperity and wellbeing of New Zealanders. MBIE combines the former Ministries of Economic Development, Science + Innovation, and the Departments of Labour, and Building and Housing.

More information

Information, examples and answers to your questions about the topics covered here can be found on our website, www.mbie.govt.nz, or by calling us free on 0800 20 90 20.

NGĀ KAUPAPA CONTENTS

TE TAHUA ĀHEINGA MANA TAURITE, KANORAU ME TE WHAKAURUNGA THE EQUITY, DIVERSITY AND INCLUSION CAPABILITY FUND

The Ministry of Business, Innovation and Employment (MBIE) invites proposals to the Equity, Diversity and Inclusion (EDI) Capability Fund for activities designed to broaden and strengthen the presence of, and support for, our diverse community in Aotearoa New Zealand's research sector.

Mā roto i te Tahua Āheinga EDI, e rapu ana mātou ki te tautoko ā-pūtea i ngā kaupapa e tautoko ana i ngā rōpū rangahau e tautuhi ana, e, wāwāhi ana hoki i ngā tauāraitanga o te whakapoapoa, te pupuri me te whakatipu i tētahi ohu mahi mana taurite, kanorau, whakaurunga hoki.

Through the EDI Capability Fund, we are seeking to fund projects that support research organisations to identify and break down barriers to attracting, retaining and growing an equitable, diverse and inclusive workforce.

The EDI Capability Fund (the Fund) aims to promote best EDI practice across Aotearoa New Zealand to ensure our research sector includes different perspectives reflecting our diverse population. The Fund will support research organisations to build stronger connections and partnerships with Māori, and to create an environment and workforce that reflects the diversity of Aotearoa New Zealand, giving equal opportunities for all to participate, grow and thrive.

This Call for Proposals provides you with information about how to apply, how your proposal will be assessed, and what happens if your application is successful.

TE TAHUA E WĀTEA ANA THE FUNDING AVAILABLE

In this 2021 investment round, up to a maximum of $1.5M (excluding GST) is available to fund successful proposals for a duration of up to 18 months.

› Costs must be solely and directly related to the project's work programme. This can be used to cover project team salaries, and development, delivery, and operating costs (including travel).

› Capital expenditure for any equipment with an asset life beyond the term of the work programme is not funded.

› The project work programme must be completed within 18 months of the funding contract being signed.

NGĀ MOMO WHAKAPAUNGA O TE TAHUA HOW FUNDING CAN BE USED

MBIE Fundable

› Collaborative projects where all participatory organisations benefit from the accrued outcomes.

› Individual projects.

› Activities that fit the intent of the investment signals detailed in the Investment Plan; sharing best practice and expanding those projects that have already been successful in individual institutions into others.

› New Zealand based activities.

› Costs associated directly with the project's work programme; this may include:

  › Project team salaries

  › Personnel costs

  › Material and consumables directly related to development or delivering of the project

  › Travel directly related to delivering the project.

› Project operational costs.

Not MBIE Fundable

› Projects that seek to deliver business as usual or enable an organisation to meet statutory obligations such as those stated in the **Employment Relations Act 2000** (ERA) and Equal Pay Act 1972.

› Activities that duplicate existing or similar initiatives that do not expand nor involve collaboration with other organisations.

› Activities with a similar purpose that have been funded from other government departments.

› Activities outside of New Zealand.

› Capital expenditure for any equipment with an asset life beyond the term of the project.

› Research costs.

› Fellowships/scholarships and salary for research time.

NGĀ PAEARU WHAKAWHIWHI THE ELIGIBILITY CRITERIA

To be eligible for funding from the Fund, applications are open to:

› Universities

› Crown Research Institutes

› Independent Research organisations (Members of IRANZ)

› Universities New Zealand

› Science New Zealand

› Independent Research Association of New Zealand

For collaborative projects:

› one organisation must lead and submit the application, and

› if successful we will enter into a funding contract with the organisation submitting the proposal (the contract holder).

An organisation cannot:

› Submit more than one proposal to this funding round.

› Collaborate on other proposals if they have submitted one to this funding round as an individual organisation.

› Collaborate on more than one proposal in this funding round.

Applications must be:

› Submitted to us in our Investment Management System (IMS) within the application deadline.

› Comply with all formatting, content or other administrative requirements set out in this Call for Proposals.

Applications not meeting any of these criteria will be declined for funding on eligibility grounds.

The terms and conditions of the Fund Funding Agreement will apply to the provision of funding agreed between the contracting organisation and us. By submitting a proposal, applicants (and their collaborators) are agreeing to the terms and conditions of the Fund Funding Agreement.

TE TUKANGA TONO ME TE AROMATAWAI
THE APPLICATION AND ASSESSMENT PROCESS

This section outlines the application, assessment and decision making processes, and the application timeline. Details of the contracting process and reporting requirements for successful applications are also outlined.

TE TUKANGA TONO THE APPLICATION PROCESS

To apply for this investment opportunity you will need to complete and submit a funding proposal. The proposal template on page 12 contains the information required and guidance on preparing that information. When preparing your application, we encourage you to consider the Fund's investment objectives and signals, eligibility criteria, the assessment criteria, the terms and conditions relating to this Call for Proposals, and the Funding Agreement.

NGĀ RANGI MATUA KEY DATES

8 March 2021 until 12 noon, 21 April 2021…………………………Submission period for proposals

April–May 2021 ....Assessment of proposals

late May 2021 ....Funding decisions announced

June 2021.. Contracted work programmes commence

All dates are NZ Standard Time. Any change to key dates will be notified via an **Alert email**.If you are not registered for these alerts, see **www.mbie.govt.nz/science-and-technology/science-and-innovation/subscribe/**

NGĀ TOHUTORO MATUA KEY REFERENCES

When developing your funding application, we encourage you to consult the following documents and key references.

The Equity, Diversity and Inclusion (EDI) Capability Fund Investment Plan 2021–2024

The Fund's aims and objectives and an overview of how the fund connects with broader EDI initiatives.

The Vision Mātauranga policy

The Government's policy framework that aims to unlock the innovation potential of Māori knowledge, resources and people to assist New Zealanders to create a better future.

Funding Agreement Template

The template for the contract drawn up between successful applicants and MBIE.
By applying to the fund, you agree to the Terms and Conditions in this Call for Proposals and those set out in the Funding Agreement.

National Statement of Science Investment

The Government's vision for a highly dynamic science system that enriches New Zealand.

KA PĒHEA TE AROMATAWAITIA O NGĀ TONO
HOW PROPOSALS WILL BE ASSESSED

All eligible proposals will be assessed by an MBIE–appointed assessment panel against the following assessment criteria.

The assessment panel will provide recommendations which will inform the final decision on which proposals will progress to contracting. All applicants will be notified of the assessment outcome.

EQUITY, DIVERSITY AND INCLUSION CAPABILITY FUND ASSESSMENT CRITERIA

EXCELLENCE (50% WEIGHTING)

Enhancing Equity, Diversity and Inclusion (25%)

When assessing a proposal, MBIE will consider Enhancing Equity, Diversity and Inclusion as:

› the suitability of activities in the proposal for the applicant organisation(s) in relation to current organisational EDI strategies and plans,

› the involvement of underrepresented groups in the design of the proposal,

› fit with the investment objectives of the EDI fund as outlined in the Investment Plan,

› the identification of barriers for Māori researchers and consideration of how to address these, in line with the Vision Mātauranga policy, and

› the consideration of an intersectional approach when appropriate.

Ability to Deliver (25%)

When assessing a proposal, MBIE will consider Ability to Deliver as:

› the calibre, experience, and skills of the team that will carry out the project,

› the plan for carrying out the project including the proposed approach and steps, resourcing, management arrangements, organisational commitment, mentoring and support arrangements, and measures for the mitigation of challenges, and

› alignment with the organisations' current EDI plans and the recognition of good practices from any of the participant organisations.

IMPACT (50% WEIGHTING)

When assessing a proposal, MBIE will consider Impact as:

› the level of commitment from senior leadership,

› how short and medium term outcomes will be achieved, and who will use or benefit from them,

› the longer term impacts and benefits achieved after the intervention, including longer–term collaborative approaches beyond the term of the proposed work programme,

› the impact on one or more of the investment signals: commit, analyse, act, collaborate, and

› a clear plan to evaluate the initiative and to embed EDI into normal practice.

NGĀ PĀNGA MATAKU CONFLICTS OF INTEREST

We will publish the names of the Fund's Assessment panel on our website before the application submission period closes.

If you identify that an Assessor has an actual, potential or perceived direct or an indirect conflict of interest, you must notify MBIE by emailing **EDICapabilityFund@mbie.govt.nz** with the details for further discussion.

Conflicts of interest may occur on two different levels:

> A **direct** conflict of interest; 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, for example, family members, or

> > a collaborator or in some other way involved with an applicant's proposal.

> An **indirect** conflict of interest; 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, e.g., an acquaintance.

> > is assessing a proposal under discussion that may compete with their business interests.

TŪMATAITINGA PRIVACY

You are responsible for ensuring that all parties mentioned in your proposal:

> have confirmed their personal details and the nature and level of their involvement in the work described in the proposal is correct, and

> are aware of our **IMS Privacy Statement** that describes how this information will be used and know the process to follow should any changes to this information be required.
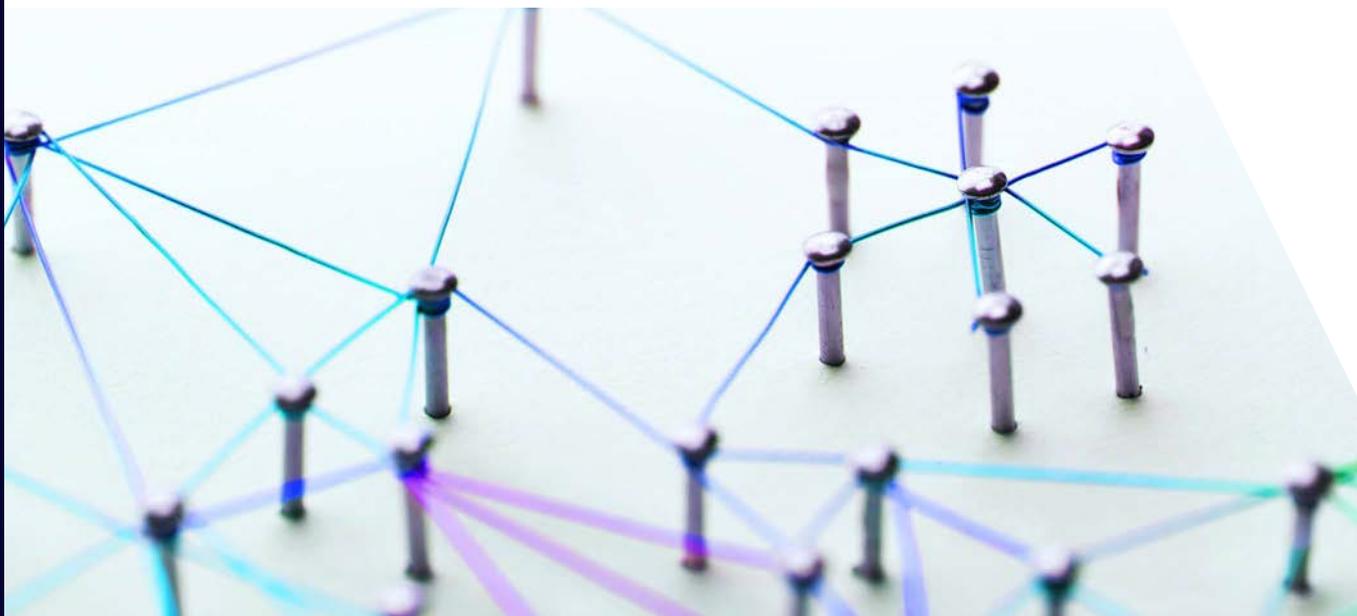
TE WHAKATUTUKI I NGA WHAKARITENGA RARAUNGA A TE KĀWANATANGA O AOTEAROA MEETING THE NEW ZEALAND GOVERNMENT DATA REQUIREMENTS

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[1] licences.

NGĀ WHAKATAUNGA HAUMI ME NGĀ KIRIMANA INVESTMENT DECISIONS AND CONTRACTING

The Decision Making Process

The final decision on which proposals will be funded will be made by the General Manager of the Science System Investment and Performance Branch in the Labour, Science and Enterprise Group, MBIE. This decision:

› Will be informed by the Assessment Panel's recommendation report.

› May be contingent on:

  › Pre-contractual conditions which must be met before the investment is contracted.

  › Special conditions in addition to the general terms and conditions set out in the Fund's Funding Agreement.

  › A variation to the proposed term of a proposal.

  › A variation to the funding allocated from that proposed and requirement that the proposed project plan be negotiated to MBIE's satisfaction to reflect the changed funding.

We will advise the proposal's primary contact person of the funding decision in May 2021. The successful applicants will be published on our **website** and announced via a press release.

---

1 Creative Commons, best known for its licenses, is a global non-profit organisation that enables sharing and reuse of creativity and knowledge through the provision of free legal tools. You can read more about Creative Commons at **creativecommons.org**

Contracting, Reporting and Monitoring

If the decision is made to invest in your proposal, we will enter into a Funding Agreement which will include an associated Work Programme Agreement with your organisation (subject to any pre-contractual conditions being met). This Funding Agreement will contain information from your proposal and will be sent to the designated contact person after the announcement of the investment decisions. This agreement is expected to be signed and returned to us within one month of receipt.

Work programmes should be ready to commence mid-June 2021 and be completed within 18 months of contract commencement.

The terms and conditions of the Fund's Funding Agreement will apply to the provision of funding agreed between MBIE and the contracting organisation. By submitting a proposal, you are agreeing to both the terms and conditions of:

› This Call for Proposals.

› The Fund's Funding Agreement. The Funding Agreement Template is available on our **website**.

Reporting Obligations

Within a month of their contract end dates, EDI Capability Funding contract holders will be required to provide a Final report.

REQUIRED REPORTING	DUE DATE	REPORTING PERIOD
Final Report	No later than one month after the end date of the work programme	From the start date of the work programme to the end date of the programme

Reportable information includes:

› the status and progress towards delivering on the Key Performance Indicators (KPIs)

› expenditure

› resource contributions from project partners

› impact achieved in line with the investment signals

› key achievements

› emerging risks and what is being done to address them

› an assessment of the EDI opportunities.

Specific reporting requirements will be supplied to successful applicants at the contracting stage.

Funding Payments

The contract holder must manage the approved funding to ensure delivery of the contracted work programme and adhere to the reporting requirements. Subject to specific contract conditions, MBIE funding will be provided to the successful applicant as follows:

› Up to 30% of the approved funding at the earliest opportunity once the Funding Agreement has been signed.

› The remainder of the approved funding in July 2021.

HE KŌRERO ANŌ FURTHER INFORMATION

Web MBIE's Equity, Diversity and Inclusion Capability Fund web pages

Email Proposal queries: EDICapabilityFund@mbie.govt.nz
IMS queries: imssupport@mbie.govt.nz

Phone 0800 693 778 (Monday to Friday, 8:30am to 4:30pm)
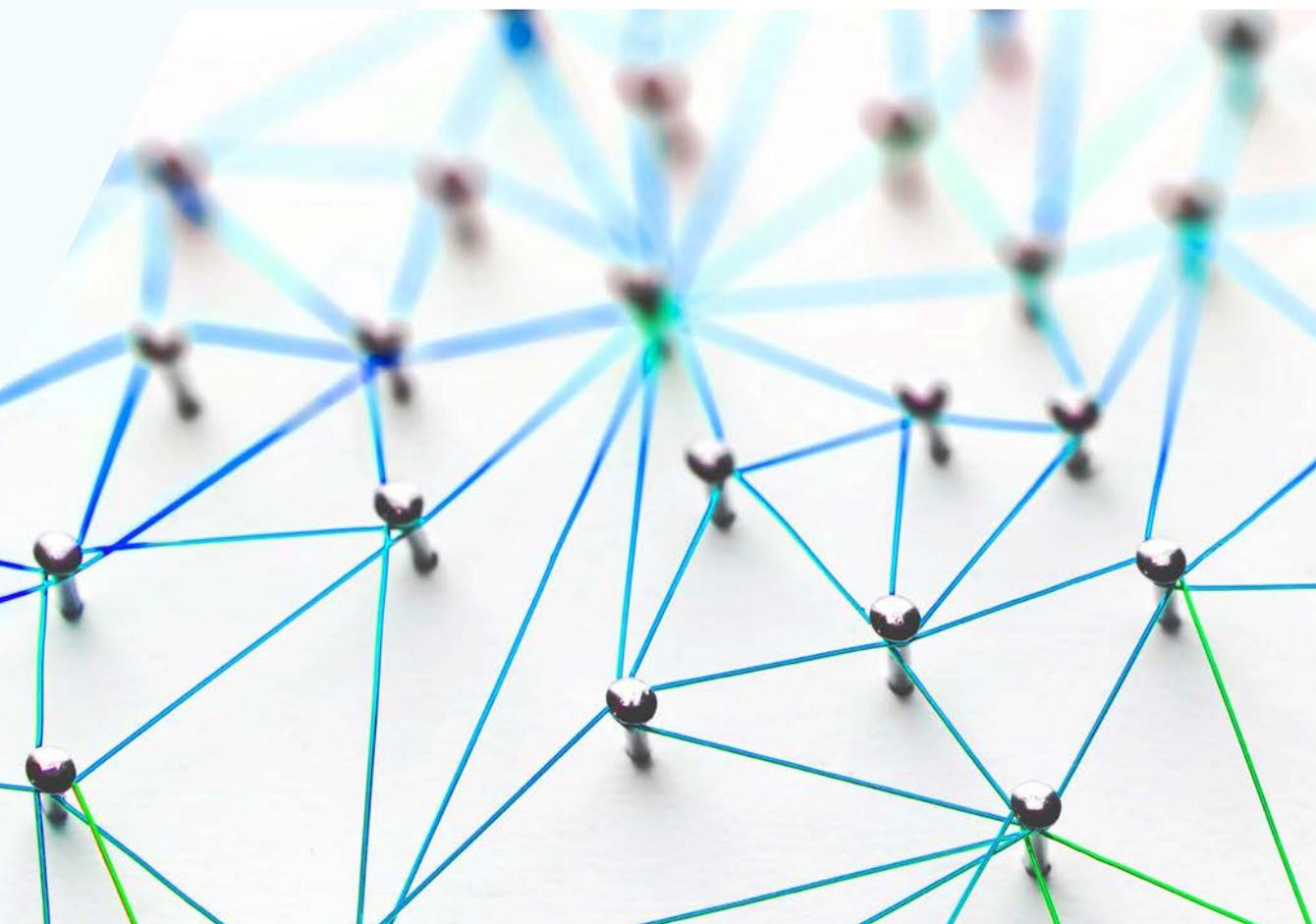
TE WHAKARITE I TŌ TONO PŪTEA PREPARING YOUR FUNDING APPLICATION

This section contains a proposal template that you can use to prepare your application for this funding opportunity. All funding applications are entered and submitted in our Investment Management System (IMS) – a secure online portal (see page 17).

The proposal template outlines the information we are seeking in a funding proposal for the Fund. Guidance on what we are looking for and how to prepare that information is provided, however note this is not intended to constrain the information you provide. Mandatory information is marked with an asterisk (*). We recommend you use this template to draft the required information and then when ready to submit, copy and paste the necessary segments into the appropriate IMS fields and upload documentation where directed.

Ensure that your application:

› Addresses the investment objectives and signals in the Fund Investment Plan 2021–2024.

› Complies with the eligibility criteria and fundable activities outlined in this Call for Proposals.

› Addresses the assessment criteria outlined in this Call for Proposals.

› Meets all applicable timing, formatting, system, or other similar administrative requirements as noted in this Call for Proposals.

Tips for Writing a Good Application

› Use plain text when copying and pasting text into IMS and then format your entry in the field.

› Structure your narrative in a logical way – so there is a natural and obvious flow between your ideas.

› Consider using subheadings to highlight and guide the reader to the key messages you want to convey.

› Avoid large blocks of text. White space enhances the visual impact of your proposal and makes reading easier.

› Cross reference, rather than duplicate information where possible, e.g., "Key end users, including but not limited to those listed in Section X will be invited. . ."

› Check spelling, grammar, and readability.

TĀTAUIRA TONO PROPOSAL TEMPLATE

This template details the key information you should cover in your proposal. This is a guide and is not intended to constrain the information you provide. Use it to help gather the information you need to formulate your proposal. An asterisk (*) indicates mandatory information.

> Proposals are entered and submitted to MBIE in IMS. See *Entering and Submitting a Funding Application in IMS* on page 17 for detailed instruction.
> The proposal submission period is from **8 March 2021** *until* **12 noon, 21 April 2021**. These dates are subject to change. Any change will be notified via an Alert email[1].

THE EDI CAPABILITY FUND PROPOSAL TEMPLATE

Information Required
The guidelines that follow are not intended to constrain the information you provide. Adhere to word limits where noted. An * indicates mandatory information.
Unless specifically requested, do not include URLs. Information provided by way of URL links to websites will not be considered or assessed.
IMS will direct you in how to enter your information and upload supporting information.
Ensure that your proposal directly addresses the eligibility and assessment criteria and considers the Fund's investment objectives.

PROJECT INFORMATION SECTION

*Full Title	Tell us the title of your proposal. Your title should clearly reflect the nature of your work programme. Do not include acronyms or abbreviations. Avoid cryptic or humorous "tabloid" style titles.
*Duration of Project	Specify the duration of your work programme. This can be up to 18 months.
*Start and end dates	Specify the start and end dates of your work programme. > The start date. Projects must start in June 2021. > The end date. Project terms cannot exceed 18 months.
*Investment Signals	Specify one or more of the investment signals that best describes the focus of your proposal. > Manawanui | Commit > Wetewete | Analyse > Karawhiua | Act > Mahi Tahi | Collaborate
Contact details	*Primary Contact: Provide the name, email address and telephone number of your primary contact person. This contact must have the mandate to discuss the proposal with MBIE officials. *Secondary Contact: Provide a name, email address and telephone number of a second contact person. This contact must differ from the primary.

ELIGIBILITY SECTION

*Eligibility	Confirm that your application meets this funding opportunity's eligibility criteria by answering yes or no to the following:
	 > This application is from one for the following:
	   > New Zealand University
	   > NZ Crown Research Institute
	   > Independent Research organisations (Members of IRANZ)
	   > Universities New Zealand
	   > Science New Zealand
	   > Independent Research Association of New Zealand
	 > All organisations collaborating on this proposal are not collaborating on any other EDI Capability Fund proposal.

Collaborating Organisations	If this proposal is in collaboration with other partnering organisations, tell us the name and type (either a CRI, University or IRO) of the collaborating organisation(s).

[1]To sign up for these alerts, see
https://www.mbie.govt.nz/science-and-technology/science-and-innovation/subscribe/

THE EDI CAPABILITY FUND PROPOSAL TEMPLATE

PROPOSAL SECTION

*Public Statement	Provide a short summary of your proposal for public release. Include: > why you have chosen this project, > how you will achieve your objectives, > the benefits you expect your project to deliver, and > the key beneficiaries of the project. Include if required, publishable contact details. Do not contain confidential information, references, hyperlinks, images, video, or audio files.	*Word limit:* 200 words
*Project Introduction	Summarise the overall objective of your EDI project proposal and how you will achieve it, including why your project is needed (the issue or problem you are addressing). Do not include references, hyperlinks, images, video, or audio files.	*Word limit:* 300 words
*Post Contract outcomes	Describe the outcomes and key impacts expected of the work programme.	*Word limit:* 300 words
*Indicative Project Plan	Tell us how you will deliver the proposed work programme. Include details of your approach to event planning, engagement, delivery and follow-up / monitoring.	*Word limit:* 300 words

PROJECT PLAN AGAINST ASSESSMENT CRITERIA

*Excellence: Enhancing Equity, Diversity and Inclusion (25% weighting)	Tell us: > Why the set of activities in the proposal are the right thing to do for your organisation or group of organisations at this point in time. > How underrepresented groups have been involved in the design of the intervention. > How your proposal fits with the EDI Capability Fund's investment objectives as outlined in the Investment Plan. > How you have worked with Māori researchers to identify barriers and approaches to address these, in line with the Vision Mātauranga policy. > How you have considered intersectional approaches. > About your project team. Include here details of your project leader and the level of senior sponsorship/endorsement for the project.	*Word limit:* 600 words
*Excellence: Project implementation (25% weighting)	Tell us: > How senior leadership of the organisation are demonstrating their commitment to EDI initiative. > The calibre, experience, and skills of the team that will carry out the project. > The plan for carrying out the project including the proposed approach and steps, resourcing, management arrangements, organisational commitment mentoring and support arrangements, and measures for the mitigation of challenges in the proposed work programme. > Any other points in light of the investment principles. > The alignment with your current EDI plans and the recognition of good practices from any of the participant organisations.	*Word limit:* 600 words

THE EDI CAPABILITY FUND PROPOSAL TEMPLATE

Information Required

The guidelines that follow are not intended to constrain the information you provide. Adhere to word limits where noted. An * indicates mandatory information.

Unless specifically requested, do not include URLs. Information provided by way of URL links to websites will not be considered or assessed.

IMS will direct you in how to enter your information and upload supporting information.

Ensure that your proposal directly addresses the eligibility and assessment criteria and considers the Fund's investment objectives.

*Impact **(50% weighting)**	Tell us:	*Word limit:* **800 words**
	> The short and medium term outcomes, how they will be achieved, and who will use or benefit from them. > The longer term impacts and benefits achieved after the intervention, including longer-term collaborative approaches beyond the term of the proposed work programme. > How the proposal impacts in one or more of the investment signals: commit, analyse, act, and collaborate. > Your plan to evaluate the initiative and to embed EDI into normal practice.	

PROJECT DELIVERABLES SECTION

*Key Performance Indicators	Using the sample table that follows, provide up to **six** indicative KPIs that focus on one or more of the following performance areas:
	> Capability > Delivery of Objectives > Investing in People > Vision Mātauranga Your KPIs show how you will measure the performance of your work programme over the term of the investment and should: > Illustrate performance that reflects the investment goals of this opportunity and the expected benefits of the investment. > Be SMART (specific, measurable, achievable (even if aspirational) relevant and time bound). > Show how the outputs of your work programme will lead to delivery of impact through increased engagement with the research sector. > Be measures that can track progress over time. We will work with the successful applicants to develop final KPIs for their work programme at the contracting stage. **Sample KPI Table**

Performance Area	Measure	Target	Target Date	Start Date	End Date
e.g. Capability		*e.g. X of students in [demographic]*	*Enter target date or frequency*	*e.g. 1 June 2021*	*e.g. 31 May 2023*

FINANCIAL INFORMATION SECTION

*Total MBIE funding requested	Enter the total amount of funding *(excluding GST)* by financial year you are requesting from MBIE for the funding term.

Project Year 1	Project Year 2	Total Funding Requested *(excl. GST)*
0.00	*0.00*	*0.00*

THE EDI CAPABILITY FUND PROPOSAL TEMPLATE

Information Required
The guidelines that follow are not intended to constrain the information you provide. Adhere to word limits where noted. An * indicates mandatory information.
Unless specifically requested, do not include URLs. Information provided by way of URL links to websites will not be considered or assessed.
IMS will direct you in how to enter your information and upload supporting information.
Ensure that your proposal directly addresses the eligibility and assessment criteria and considers the Fund's investment objectives.

Resource Contributions	Provide information on any co-funding arrangements you will have with organisations partnering with you in the work programme. For each organisation:

Provide information on any co-funding arrangements you will have with organisations partnering with you in the work programme. For each organisation:

> provide the organisation name,

> tell us whether the co-funding is cash or in-kind, and

> tell us the value per year (excluding GST).

Cash co-funding is cash received from an organisation that contributes directly to your proposal. This cash:

> Does not include money you may receive before the start date or after the end date of the project.

> Must be essential to the achievement of the work programme and be genuine cash funding for the proposed project.

> Is not money from which an income is derived or that can be returned to the co-funder.

In-kind co-funding is a non-cash contribution that contributes directly to your proposal. This may include the use of equipment, staff time or access to data.

The value of in-kind co-funding should, in most cases, be the actual cost incurred by the co-funder. If necessary, the value may be estimated using either the usual cost of the good or service as advised by the provider or, if the item is not generally traded, your estimate of the out-of-pocket costs sustained by the provider in making the good or service available to you.

You will need to show how your in-kind co-funding has been calculated.

*Indicative Budget

Provide us with your proposed budget and resource contributions over the funding term. Show clearly how the requested MBIE funding will be used to cover your project costs.

> Costs must be solely and directly related to the proposed work programme.

> Capital expenditure for any equipment with an asset life beyond the term of the contract is not funded.

> Disbursement of funds over the duration of the contract will be negotiated.

> Your total expenditure must equal all of the funding and resource contributions (excluding GST) you will receive for this investment.

> Funding does not allow for annual inflation adjustments over the term of the contract.

Sample Budget Table:

Use this table to prepare and structure your budget. All values should exclude GST.

Budget Item	Itemised breakdown: All values should exclude GST.			Sub Totals (excl. GST)	Project Total
		Year 1	Year 2		0.00
Income				0.00	
	Requested Funding	0.00	0.00		
	Co-funding (e.g. resource contributions)	0.00	0.00		
Expense				0.00	
	Personnel cost	0.00	0.00		
	Travel	0.00	0.00		
	Overheads	0.00	0.00		
	Consumables	0.00	0.00		
	Other expenses (please specify)	0.00	0.00		

THE EDI CAPABILITY FUND PROPOSAL TEMPLATE

Information Required

The guidelines that follow are not intended to constrain the information you provide. Adhere to word limits where noted. An * indicates mandatory information.

Unless specifically requested, do not include URLs. Information provided by way of URL links to websites will not be considered or assessed.

IMS will direct you in how to enter your information and upload supporting information.

Ensure that your proposal directly addresses the eligibility and assessment criteria and considers the Fund's investment objectives.

ADDITIONAL INFORMATION SECTION

*Special Ethical and Regulatory Requirements	Describe any ethical and regulatory requirements and approvals needed to complete and deliver your proposed work programme. Include here any significant safety issues. If approvals have not yet been obtained, tell us how and when you expect to do so. If no ethical or regulatory requirements apply to your proposed project simply state "Not Applicable". 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.	*Word limit:* **500 words**
*Intellectual Property Management	Outline how you will identify, protect and share any intellectual property generated through the delivery of the work programme to ensure maximum benefit to New Zealand. This includes management of intellectual property between collaborators and contract partners, including MBIE. Do not include references, hyperlinks, video or audio files.	*Word limit:* **500 words**
Other Information	Provide any relevant information and/or key references that directly supports and strengthens your proposal. We may require successful applicants to provide supporting information prior to contracting. You can use images to support your narrative. Do not include references, hyperlinks, video or audio files.	*Word limit:* **250 words**
Conflicts of interest	Declare any potential conflicts of interest and say why. This may include parts of MBIE you are engaged with. Detail any proposed arrangements to manage any conflict of interest. The list of assessors will be published on our EDI Capability Fund's webpages.	*Word limit:* **250 words**

TE WHAKAURU ME TE TUKU I TĒTAHI TONO PŪTEA I IMS
ENTERING AND SUBMITTING A FUNDING APPLICATION IN IMS

Proposals for funding from the EDI Capability Fund are entered and submitted in MBIE's Investment Management System (IMS) – a secure online portal.

Proposals can be submitted to MBIE in IMS from **8 March 2021 until 15 noon, 21 April 2021.** Applications will not be accepted after this date. These dates are subject to change. Any change will be notified via an Alert email.

For all IMS queries, e-mail or call:

Email imssupport@mbie.govt.nz
Phone 0800 693 778
(Monday to Friday, 8:30am to

A proposal is considered submitted if it has a status of **Submitted to IMS** in IMS. If your proposal is being submitted by a university or a Crown research institute, see your research office for additional submission advice.

TE URUNGA KI IMS ACCESSING IMS

▶ **To log in to IMS:**

Access IMS using either Chrome or Firefox.
Five or more failed log-in attempts will automatically lock you out of the system. If this occurs, contact MBIE and ask for your account to be unlocked.

For first time users:

If you have not used IMS before, complete and email an IMS access request form to imssupport@mbie.govt.nz. On acceptance, you will receive a Username and temporary password.

1. Click the **Portal URL** link in your Welcome email.
2. Type your Username and temporary password (**as detailed in your registration email**). The IMS **Edit password** tab 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 **Home** tab 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.

1. Click the **MBIE IMS Portal** link (ims.msi.govt.nz/).
2. Type your Username and Password.
3. Click the **Login Securely** button. The IMS **Home** tab displays.

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

User Access Roles

What you can do and see in IMS is dependent on your access. There are two user roles.

| A...	CAN...
User	> See and/or work on funding applications to which they are authorised.
	> Submit completed registrations/applications/proposals to your Super User quality assurance (QA).
Super User	> Perform all the functions of a regular user.
	> Manage IMS access; add, delete or modify the users in their organisation and changing the views and applications they can see.
	> QA and submit completed applications to MBIE.

Navigating IMS
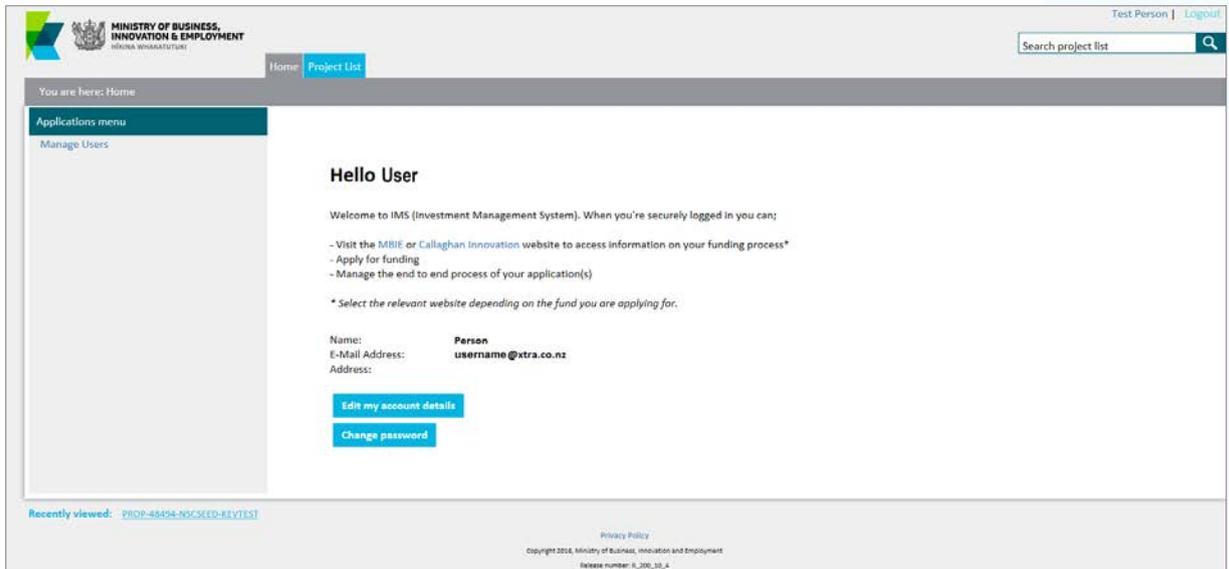
The IMS **Home** tab

From the IMS **Home** tab you can:

> Manage access for your organisation's personnel.
> Maintain your personal details, including your IMS password.
> Access your Project List (containing the funding applications for your organisation).

Customising your View

The IMS **Project List** tab lists the applications submitted by your organisation. Here you open and view the details of all applications and contracts to which you have access. You can filter and sort this list to view only those of interest, and customise the columns to show only the information required.

You can also determine the number of applications that display on each screen using the **Display** field *(located bottom left of the screen).* Note that you only see information to which you have permission.
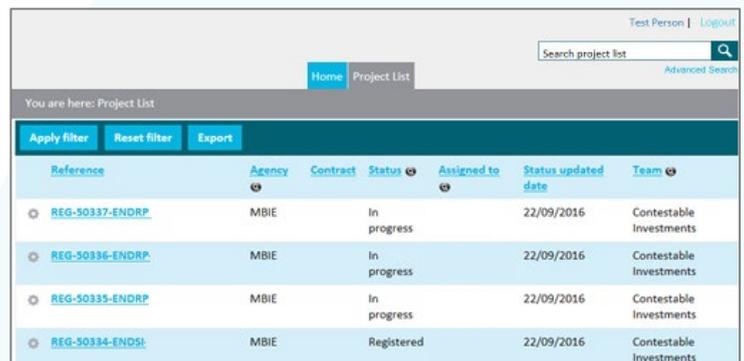
TE WHAKAURU ME TE TUKU I TĒTAHI TONO ENTERING AND SUBMITTING A PROPOSAL

You can enter and submit a proposal in IMS from **8 March 2021 until 12 noon, 21 April 2021**.

> Complete all the required fields. Mandatory fields are marked with an asterisk (*).
> Ensure all sections are completed and meet the requirements as per this Call for Proposals.

▶ **To enter and submit a proposal in IMS:**

1. On the IMS **Home** tab, click the **Project List** tab.

2. Click the **New Application** button (located to the right of the screen).

3. On the resulting screen, select **2021 Equity, Diversity and Inclusion (EDI) Capability Fund** from the **Investment Process** field.

4. Enter the title of your project in to the **Full title** field and then click the **Create** button. The first section you need to complete displays.
Provide a meaningful short title of no more than six words. Do not use acronyms or abbreviations.
Your short title will be used for everyday use and reference.

5. IMS will guide you through the completion of the required fields. We recommend that you familiarise yourself with the system well before the deadline. When complete, click the **Save & next section** button to move to the next section.

The sections to complete are listed in the left hand navigation panel. You can click these to access the section directly or move through the sections sequentially by completing them and clicking the **Save & next** section button.

A warning will display if you attempt to leave the current section without saving your information. Choose to:
> click the **Leave this Page** button to exit the section without saving *(all changes made during that session be lost), or*
> return and continue to add information or click the **Save & next section** button.

You can copy and paste your prepared information directly into the IMS fields.

Where directed upload documents containing your references/citations. All forms of documents *(e.g., Excel, Word and PDF)* can be uploaded. If a PDF, ensure that it is unsecured. If secured, we will not be able to access or print your proposal. Image files cannot be uploaded.

You can save, log out, and return to IMS to edit your application before submitting it.

Mandatory fields are marked with an asterisk *.
> 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 application.

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 THE SECTION...
◯	has not started.
◖	is in progress.
❌	contains invalid or incomplete fields.
✅	is complete and valid.

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

7. Click the **Check my application before submission** button to run a validation check. This will verify the completeness of your application and will detect any missing content.
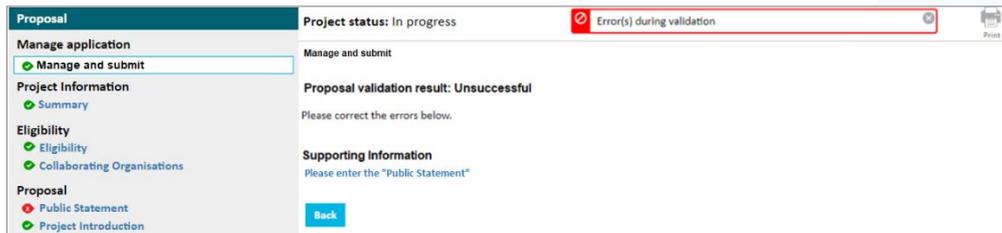
> If the validation is successful, every section in the navigation panel is marked with the symbol ✅.

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

   > light blue error message hyperlinks in the **Proposal validation result** section.

   > a ❌ beside the relevant sections.

8. Click the first error message to open the section, make the required corrections/additions and then click the **Save** button. If applicable, repeat for other sections marked with ❌.

9. Once you have corrected all of the errors and/or added all missing information, click the **Mange and submit** link then the **Check my application before submission** button again.

10. On achieving a successful validation click the **Submit to QA** button *(Users)* or the **Submit to IMS** button *(Super Users)*.
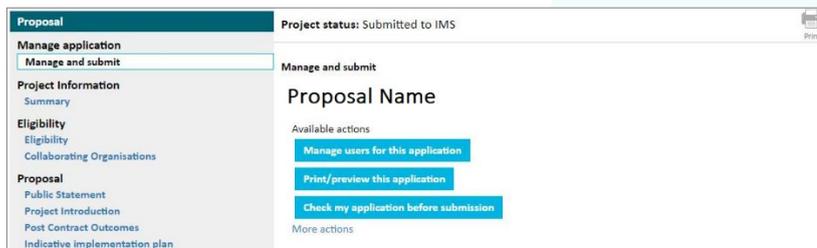
11. Read and accept the declaration.

If you clicked **Submit to IMS** your application has been successfully submitted and is now listed on the **Project List** tab with a status of **Submitted to IMS**. If you clicked **Submit to QA** you will need to ensure that your Super User performs their QA and submits your application before the deadline.

TE WHAKAHAERE I NGĀ TONO PŪTEA ADMINISTERING FUNDING APPLICATIONS

Checking the Progress of your Application

There are three key features in IMS that enable you to quickly see where you are at in the application process.

1. The status of your current application.
2. The completeness of your application.
3. The number of days until the submission is due.

Checking the Status of your Application

The status of your current application displays in the **Project** List and at the top of key IMS tabs.

THE STATUS...	INDICATES YOUR APPLICATION...
In progress	has been created and is under completion.
Submitted for QA	has been completed and submitted to a super-user for QA.
Submitted to IMS	has been submitted to MBIE.
Registered	has been registered.
Not Progressing	has been withdrawn.
Not submitted	has not been submitted. If you miss the cut-off-date for submitting your application, we can make the application 'Not Submitted'. You will be able to view the application and/or delete it. You will not be able to edit it or submit the application.
Ineligible	does not meet the criteria of the investment process applied for. The application cannot be edited or resubmitted.
Declined	has been declined for funding. The application cannot be edited or resubmitted.
Approved	has been approved. You can proceed to the next stage in the contracting process. You will not be able to edit the application.

Checking when your Application is due

The status bar at the top of the screen displays when the application must be submitted.

Project status: In progress **The registration has not been submitted** (You have 15 day(s) to submit the Project)

Withdrawing an Application

You can withdraw your application at any time **before** it has been submitted. Withdrawn applications cannot be edited or resubmitted. They remain in your organisation's project list with a status of **Not Progressing** and can be viewed and printed.

If you wish to withdraw a submitted application, contact the Investment Operations team.

▶ **To withdraw an un-submitted application:**

1. Locate and open the application.
2. Click the **more actions** link.
3. Click the **Make not progressing** button.

ĀWHINATANGA IMS IMS TIPS

A few common actions and commands you may find useful when using IMS.

Formatting Text, and Adding Images and Hyperlinks
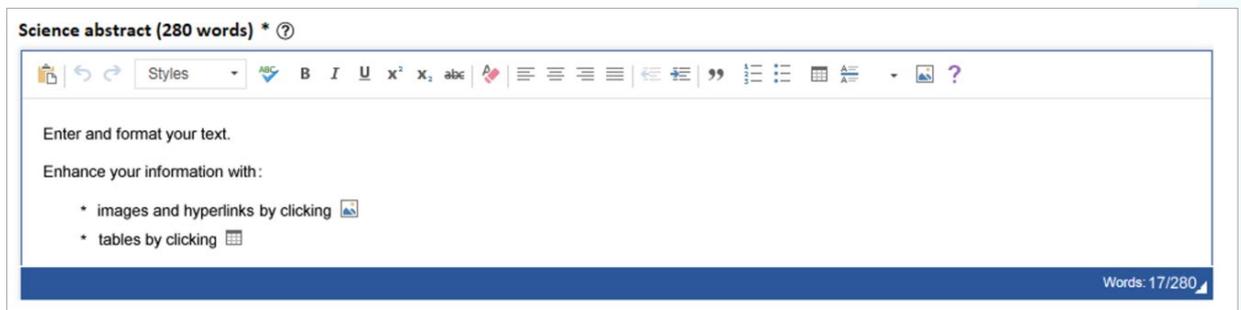
Use the text panel toolbar to format your information and if applicable add images, hyperlinks and/or tables. Adhere to the word limits specified. These limits include words in a table and references/citations, they do not include images. To help you there is an automatic word count tracker at the bottom right hand corner of every text panel.

> Use Plain Text when copying and pasting into IMS.
> Use subheadings to highlight your key messages.
> Avoid large blocks of text. White space enhances the visual impact and makes reading easier.
> Use images sparingly. Make them count by extending not just illustrating your word count.

Updating your Details

▶ **To view and/or update your details:**

1. Click the **Edit my account details** button on the **Home** tab.
2. Update your details as required and click **Save.**

▶ **To change your password:**

1. Click the **Change password** button on the **Home** tab.

Maintaining your Organisation's Contact Details

On person fields, use the **Lookup** button to locate and auto complete fields with the details of individuals in your organisation as well as add and maintain these details.

▶ **To locate:**

1. Enter the person's name and click the **Search** button.

2. Locate them in the list and click the **Use** button.

▶ **To add:**

1. Click the **Add** button.

2. Enter the contact details and click the **Save & Use** button.

▶ **To modify:**

1. Select the person and click the **Edit** button.

2. Edit the details and click the **Save & Use** button.

▶ **To delete, select the person and click the Delete button.**

NGĀ TURE ME NGĀ HERE E PĀ ANA KI TĒNEI KARANGA MŌ NGĀ TONO TERMS AND CONDITIONS RELATING TO THIS CALL FOR PROPOSALS

By submitting an application you are agreeing to these terms and conditions.

Proposal submission period   8 March 2021 until 12 noon, 21 April 2021

1. General

1.1 The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a proposal (hereafter referred to as "you") will be deemed to have agreed to the Call for Proposals terms and conditions without reservation or variation.

2. Investigations and reliance on information

2.1 You must examine this Call for Proposals and any documents referenced by this Call for Proposals and carry out all necessary investigations before submitting a proposal. If you are in doubt as to the meaning of any part of this Call for Proposals, you must set out in your proposal the interpretation and any assumptions you used.

2.2 MBIE will not be liable (in contract or tort, including negligence, or otherwise) to anyone who relies on any information provided by or on behalf of MBIE in or in connection with this Call for Proposals.

3. Reliance by applicants

3.1 All information contained in this Call for Proposals or given to you by MBIE is for the purpose of allowing you to prepare your proposal. MBIE has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be up to date.

4. Reliance by MBIE

4.1 MBIE may rely upon all statements you make in your proposal and in correspondence or negotiations with MBIE or its representatives. If a proposal is funded by MBIE, any such statements may be included in a Work Programme Agreement.

4.2 You must ensure all information you provide to MBIE is complete and accurate. MBIE is under no obligation to check any proposal for errors, omissions, or inaccuracies. You must notify MBIE promptly upon becoming aware of any errors, omissions, or inaccuracies in your proposal or in any additional information you provide.

5. Inducements

5.1 You 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 Call for Proposals.

5.2 Business-as-usual communications (relating to funding under existing arrangements between MBIE and your organisation) will be maintained with the usual contacts. However, during the Call for Proposal process, you must not use business-as-usual contacts to solicit or discuss details of this Call for Proposals or any application you have, or intend to, submit, with any person at MBIE or its agents, including the assessment panel members.

6. Ownership and intellectual property

6.1 This Call for Proposals and any other documents MBIE provides to you remain the property of MBIE. All copyright and other rights in this Call for Proposals and in any other documentation or information provided to you or any other person by or on behalf of MBIE in connection with this Call for Proposals will remain with, and belong at all times to, MBIE or its licensors.

6.2 MBIE may request at any time the immediate return of all documents supplied and any copies made of them. You must comply with any such request in a timely manner.

6.3 Any proposals or information you supply to MBIE will become the property of MBIE and may not be returned to you. Ownership of the Intellectual Property rights in a proposal does not pass to MBIE. However, in submitting a proposal, you grant MBIE a non-exclusive, non-transferable, perpetual licence to retain, use, disclose, and copy your proposal for any purpose related to this Call for Proposals process.

6.4 By submitting a proposal, you warrant that the provision to MBIE of the information contained in your proposal, and MBIE's use of it for the evaluation of your proposal and for any resulting negotiation, will not breach any third-party intellectual property rights.

7. Confidentiality

7.1 You and MBIE will each take reasonable steps to protect Confidential Information and, subject to paragraph 7.3, and without limiting any confidentiality undertaking agreed between them, will not disclose Confidential Information to a third party without the other's prior written consent.

7.2 You and MBIE may each disclose Confidential Information to any person who is directly involved in the Call for Proposals process on its behalf, such as officers, employees, consultants, contractors, professional advisors, evaluation panel members, partners, principals or directors, but only for the purpose of participating in the Call for Proposals.

7.3 You acknowledge that MBIE's obligations under paragraph 7.1 are subject to requirements imposed by the Official Information Act 1982 (OIA), the Privacy Act 2020, parliamentary and constitutional convention and any other obligations imposed by law. Where MBIE receives an OIA request that relates to your Confidential Information, MBIE will consult with you and may ask you to explain why the information is considered by you to be confidential or commercially sensitive.

8. The proposal process

8.1 Despite any other provision in this Call for Proposals, MBIE reserves the following rights:

› 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 the 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.

› This Call for Proposals process may be run in such manner as MBIE may see fit.

9. No contractual obligations created

9.1 No contract or other legal obligations arise between you and MBIE out of or in relation to this Call for Proposals or Call for Proposals process, until a formal written contract (if any) is signed by both you and MBIE.

9.2 This Call for Proposals do not constitute an offer by MBIE to provide funding or enter into any agreement with you. The call for and receipt of proposals does not imply any obligation on MBIE to contract any funding requested in your proposal. MBIE will not be bound in any way until a contract is executed.

9.3 MBIE makes no representations nor gives any warranties in this Call for Proposals.

9.4 Any verbal communications made during the Call for Proposals process will not be binding on MBIE and are subject to the terms of this Call for Proposals.

10. No process contract

10.1 Despite any other provision in this Call for Proposals or any other document relating to this Call for Proposals, the issue of this Call for Proposals does not legally oblige or otherwise commit MBIE to proceed with or follow the process outlined in this Call for Proposals or to assess your proposal or enter into any negotiations or contractual arrangements with you.

10.2 For the avoidance of doubt, this Call for Proposals process does not give rise to a process contract.

11. Exclusion of liability

11.1 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 you, your affiliates or any other person in connection with the this Call for Proposals process, including without limitation:

› the assessment process

› the preparation of any proposal

› any investigations of or by any applicant

› concluding any contract

› the acceptance or rejection of any proposal

› the suspension or cancellation of the process contemplated in this Call for Proposals, or

› any information given or not given to any applicant(s).

11.2 By participating in this Call for Proposals process, you waive any rights you may have to make any claim against MBIE. To the extent that legal relations between MBIE and you cannot be excluded as a matter of law, the liability of MBIE is limited to $1.

11.3 Nothing contained or implied in or arising out of this Call for Proposals or any other communications to any applicant shall be construed as legal, financial, or other advice of any kind.

12. Costs and expenses

12.1 MBIE is not responsible for any costs or expenses incurred by you in the preparation of an application.

13. Governing law and jurisdiction

13.1 This Call for Proposals will be construed according to, and governed by, New Zealand law and you agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning this Call for Proposals or any proposal.

14. Public statements

14.1 MBIE may make public the following information:

› the proposal title

› the name of the applicant (the contracting organisation)

› the names of all partner organisations

› the public statement (as provided in the proposal)

› the total amount of funding requested (and approved, if any) and the period of time for which funding has been requested

› a "success story" at project completion

14.2 MBIE asks that you don't release any media statement or other information relating to the process outlined in this Call for Proposals, or the submission or approval of any proposal to any public medium without providing sufficient advance Notice to MBIE.

PUBLISHED BY THE MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT

FOR MORE INFORMATION VISIT US ONLINE AT WWW.MBIE.GOVT.NZ