Call for Proposals

2018 Catalyst: Strategic Investment Round- April

The Ministry of Business, Innovation and Employment reserves the right to withdraw or amend, at any time, this Call for Proposals or any part of it.

All financial information in this document is indicative only, and does not include GST.

What is Catalyst?

Introduction

The Government's ten year vision as set out in the National Statement of Science Investments (NSSI) 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 will be a key contributor to achieving the NSSI's vision, as it provides an opportunity to drive increasing excellence and the potential for impact 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, so increasing their stock of knowledge; and provides access to additional capability and resources, which increases domestic absorptive and delivery capacity.

The Catalyst Fund

The Catalyst Fund supports activities that initiate, develop and foster collaborations leveraging 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 benefit 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: Influence, Leaders, Seeding and Strategic.

- 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 (CfP) 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.

It is also expected that Catalyst: Strategic will support relevant activities that contribute to unlocking the innovation potential of Māori knowledge, resources, and people for the benefit of New Zealand, as outlined in MBIE's Vision Mātauranga policy framework.

More information about the Catalyst Fund can be found on MBIE's website.

This Catalyst: Strategic funding round

This Call for Proposals provides you with information about **how to apply**, **how your proposal will be assessed**, and the **contracting** process.

MBIE is inviting proposals under Catalyst: Strategic. Up to $300,000 in total over three years is available for investment in joint research partnerships between New Zealand and **the People's Republic of China** that **cannot be supported through existing funding.**

Up to $100,000 (excl. GST) per year for a maximum of three years is available per successful project. New Zealand and China have agreed to support two projects, one in each priority area of Food Safety and Security and Water Research, through this funding round.

Proposals will be assessed against the following **criteria** (refer page 19).

- **Enduring collaboration**: Will the proposed activity establish an enduring collaboration with world class international partners?
- **Novel knowledge and partnership**: Will the activity lead to the creation of new knowledge and a novel research partnership with international partners?
- **Strategic benefits**: Will the activity lead to a collaboration of strategic benefit to New Zealand?

All proposed activities must significantly broaden and deepen collaborative research partnerships between China and New Zealand.

The proposed project must align with the objective of developing **enduring science and innovation collaboration partnerships** with world-class Chinese counterparts on topics important to both countries.

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

Proposals which also involve **world class partners from other countries** will be accepted, where these demonstrate the potential for increased excellence and impact, beyond what is achievable through a New Zealand and Chinese partnership alone. Proposals which involve private sector partners will also be eligible for support.

Please note that a separate Call for Proposals and subsequent assessment process will be administered by the Health Research Council on behalf of MBIE in the priority area of Non-communicable Diseases. **For the investment process regarding Non-Communicable Diseases please contact the HRC.**

This funding round is a **bilateral** initiative funded by the New Zealand and Chinese Governments. Your Chinese counterparts must apply for their own funding through China's Ministry of Science and Technology (MOST).

Investment Priorities

The proposed project must align with one of the two priority research areas. These are Food Safety and Security and Water Research. Further sub areas for these priority areas are listed below.

Food Safety and Security	Funding available per project: $300,000 total excluding GST

- Collaboration on forage management
- Sustainable production methods and metrics
- Agri-chemical rationalisation in farm and orchard systems (ie reduced usage of chemicals for pest and disease control and as fertilisers)
- Innovative farm management, with particular reference to rodents
- Risk profiling, assessment, attribution of food-borne hazards
- Exposure assessment of food-borne hazards and nutrients
- Improved detection and subtyping methods for food-borne pathogens
- Methods/strategies to control pathogens in the food chain
- Supply chain food and food quality losses

Water Research	Funding available per project: $300,000 total excluding GST

- Developing understanding of hydrologic connectivity in key regions: relationships between soil, ground, and surface water at a range of scales, and sensitivity of the hydrologic systems to environmental change
- Determine the ecological resilience/capacity of receiving environments
- Considering water as part of the environmental system: how water quality and quantity are affected by land use and management practices, including reducing pressure on water supply and maximising efficiency of utilisation
- Reducing agri-chemical entry into the hydrologic system
- Remediation for degraded hydrologic and aquatic systems
- Water allocation methodologies and tools

Key dates

26 April 2018	MBIE Portal opens for registration MBIE Portal opens for proposals
3pm, 16 May 2018	Closing date for registrations
Noon, 19 June 2018	Closing date for proposals
31 August 2018 (TBC)	Investment funding decision(s) announced
3 September 2018 (TBC)	Contracts expected to begin

Key reference documents

- National Statement of Science Investment 2015-2025
- 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.

Further information

Email: Proposal queries: internationalscience@mbie.govt.nz
                   Portal queries: 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.

Funding opportunities

What funding is available?

New Zealand research teams can apply for up to $100,000 (excl. GST) funding per year, per proposal for a maximum of three years. The total pool of funding available in this call is up to $600,000 in total over three years.

Eligibility criteria

For a proposal to be assessed under this Catalyst: Strategic funding round, it must meet the eligibility criteria set out below. Proposals that MBIE determines do not meet these criteria will be declined for funding on eligibility grounds.

- The proposal must be made by a New Zealand-based research organisation[1] or a New Zealand-based legal entity representing a New Zealand-based research organisation.
- The Science Leader must be employed by a New Zealand-based research organisation, or a New Zealand-based legal entity representing a New Zealand-based research organisation.
- The applicants must have identified suitable research collaborators from a leading China research organisation(s).
- The proposal must not be made by a department of the public service as listed in Schedule 1 of the State Sector Act 1988.
- The proposal must be uploaded on time via the MBIE Portal and meet the administrative requirements of MBIE.
- Applicants must have submitted a registration.
- Details listed in the registration must be substantively the same as listed in the proposal.
- Applicants must not submit multiple applications to this Catalyst: Strategic funding round based on the same project, where the only difference is in the duration of the proposed project or the amount of funding sought. 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.

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[1] **Research organisation** means an organisation that has internal capability for carrying out research, science or technology, or related activities.

Expenses

Allowable expenses

Expenses allowed under Catalyst: Strategic include the following, in connection with the project.

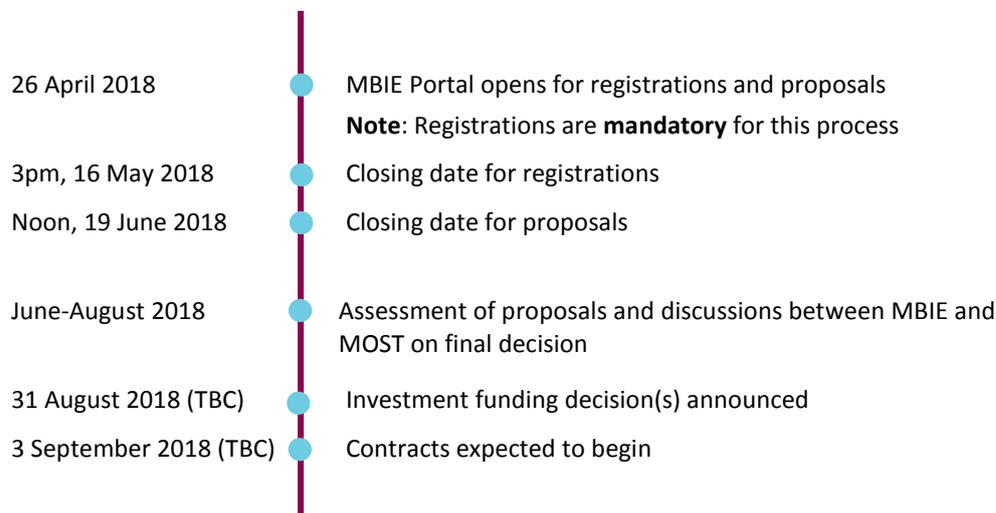| Expense	Details
Research activities	Expenses for consumables and other research expenses Expenses for personnel Contributions to pro-rated salaries
Research exchanges	Travel is expected to be an integral part of the project. Flights, accommodation, visa, travel insurance, ground transport, and meal expenses are permitted and should be based on the rules of the organisations with which the individual undertaking the activity is affiliated.
Symposiums, seminars and meetings	Expenses related to organising symposiums and workshops are permitted, (for example consumables, printing and binding expenses, transportation and telecommunications fees, meeting fees, honoraria).

Expenses not funded

The following expenses will not be funded under Catalyst: Strategic:

- Acquisition of real estate or construction of buildings
- Procurement of equipment
- Any capital expenditure
- Dealing with accidents or disasters during the term of the contract
- Expenses for alcoholic beverages (for example at meetings)
- Expenses unrelated to the delivery of the contract.

The application process

The application timeline

26 April 2018	MBIE Portal opens for registrations and proposals **Note**: Registrations are **mandatory** for this process
3pm, 16 May 2018	Closing date for registrations
Noon, 19 June 2018	Closing date for proposals
June-August 2018	Assessment of proposals and discussions between MBIE and MOST on final decision
31 August 2018 (TBC)	Investment funding decision(s) announced
3 September 2018 (TBC)	Contracts expected to begin

Process for applicants

The process for applicants consists of two stages, preparing and submitting your:

1. registration
2. proposal information.

Applicants must register by **3pm, 16 May 2018**, and should then proceed to submit proposals before the deadline of **noon, 19 June 2018**. Registration is mandatory, and only applicants who complete the registration phase will be eligible to submit proposals for the April 2018 Catalyst: Strategic funding round.

Preparing and submitting your registration

Registering your interest in applying for Catalyst funding is performed in MBIE's Investment Management System (IMS), a secure on line electronic portal. For information on MBIE Portal and the information you need to provide, see Submitting your Proposal in MBIE's Portal.

Information provided through the registration must be consistent with that to be contained in the full proposals. If there are any notable discrepancies between the information provided through the two phases, MBIE reserves the right to deem such proposals ineligible. New Zealand research teams must consult with their Chinese collaborators before completing the registration process, as some sections require their information.

Please check the Eligibility criteria on page 7 before applying. For any queries about this please contact internationalscience@mbie.govt.nz.

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 or outcome. Definitions are available online at the *Australian Bureau of Statistics.*

We have asked you to identify up to two Socio-Economic Objective (SEO) codes and two Field of Research (FOR) codes in your registration. Align these as closely as possible to the subject area of your research. The ANZSRC codes will be automatically copied from the Registration Phase into the Proposal Phase. We will use these to help select assessors for your proposal. This year we have provided additional instructions and guidance on how to identify and enter ANZSRC codes in the MBIE Portal **(see Appendix 2).** Please read these before completing your registration.

ANZSRC codes are critical to the identification and alignment of an assessor to your proposal. If your ANZSRC codes are not well aligned to your research, there is increased risk that we might assign your proposal to an assessor not experienced in the subject area.

SEO Codes	FOR Codes
Please provide up to two SEO ANZSRC codes, and allocate the percentage of relevance against each code, totalling 100%.	Please provide up to two FOR ANZSRC codes and allocate the percentage of relevance against each code, totalling 100%.

Preparing and submitting your proposal

The proposal process requires that you provide details about your:

- organisation
- research teams
- funding, and
- project.

As with registration, you submit this information in the MBIE Portal. Once submitted, this 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 you familiarise yourself with the portal before starting your proposal. Please also keep in mind the following:

- Copy and paste from a word editor of your choice rather than typing the information directly into the portal – this will help you keep to word limits but also to keep a back-up of your application
- Please keep to stated word limits as outlined in the application form – the portal has a word limit set in its programming; therefore MBIE will not be able to view words past the requested word limits.

The application form

The questions that you are required to answer in your registration and proposal are detailed on the following pages. The guidelines on 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.

Note: There is no specific section or question directly relating to the Vision Mātauranga policy as we recommend that you consider how your project will give effect to this policy in a practical and meaningful way for Māori in all your responses.

Developing your registration

Eligibility questions

Does your proposal meet the required eligibility criteria as defined in this Call for Proposals? You will be required to answer the following questions in the Portal.

Note: There are further eligibility criteria your proposal needs to meet in addition to these questions. For a full list of the eligibility criteria, see Eligibility criteria.

- Is the applicant of this proposal a New Zealand-based research organisation[2] or a New Zealand-based legal entity representing a New Zealand-based research organisation?
- Is the Science Leader employed by a New Zealand-based research organisation, or a New Zealand-based legal entity representing a New Zealand-based research organisation?
- Have you identified suitable research collaborators from a leading Chinese research organisation(s)?
- Do you meet all other eligibility criteria listed on page 7 of this Call for Proposals?

You must satisfy all these criteria through providing necessary supporting information in your proposal.

Summary information

Investment area
2018 Catalyst: Strategic Investment Round - April

Contracting organisation
Pre-populated

Total funding requested
How much total funding are you requesting?

Successful projects are expected to start no later than 3 September 2018, with New Zealand research teams receiving up to $100,000 (excluding GST) funding per year for a maximum of three years.

Project title
Provide a title of the proposed project.

Investment mechanism
Medium term

Duration of project
Enter your proposed project's duration (for example 1, 2 or 3 years).

Start and end dates
Indicate the proposed project's start and end dates. Successful projects are expected to start no later than 3 September 2018.

Research Area

The proposed project must align with one of the research areas only, i.e. Food Safety and Security or Water Research but not more than one.

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[2] **Research organisation** means an organisation that has internal capability for carrying out research, science or technology, or related activities.

Abstract

(Word limit 280)

Provide a brief summary of your proposed project. Write clearly and concisely. The abstract helps us to select assessors for your proposal. It will also be used by MBIE and assessors to identify any potential conflicts of interest. Do not use acronyms, abbreviations, or images. Your abstract must not contain commercially sensitive information.

Keywords

Provide up to 15 key words that describe the nature of your project. Key words will help us to select assessors for your proposal. Do not use acronyms or abbreviations.

Project team

For each year of funding, list the contact details (name, organisation and role) for:

- Primary contact person
- Science Leader (list both the NZ and Chinese counterpart)

Each science leader's CV and Full-time Equivalent (FTE) are not required for the Registration phase.

Role	Full Name	CV	FTE (Year n)	Affiliated Organisation	Email address	Phone number	Postal address
Contact Person	Mandatory	N/A	N/A	Mandatory	Mandatory	Mandatory	Mandatory
Science Leader*	Mandatory	Not required for Registration	Not required for Registration	Mandatory	Mandatory	Mandatory	N/A

* Must list both NZ and Chinese counterpart(s).

ANZSRC

Select up to two **Field of Research** ANZSRC codes. The total needs to be 100%. Select up to two **Socio-Economic Objective** ANZSRC codes. The total needs to be 100%.

Please refer to Appendix 2 on how to enter ANZSRC codes.

Developing your proposal

Details entered during registration will prepopulate key fields. Information provided through the registration must be consistent with that to be contained in the proposals. If there are any notable discrepancies between the information provided through the two phases, MBIE reserves the right to deem such applications ineligible. New Zealand research teams must consult with their Chinese collaborators before completing the registration process, as some sections require their information.

Eligibility questions

Does your proposal meet the required eligibility criteria as defined in this Call for Proposals? You will be required to answer the following questions in the Portal.

Note: There are further eligibility criteria your proposal needs to meet in addition to these questions. For a full list of the eligibility criteria, see Eligibility criteria.

- Is the applicant of this proposal a New Zealand-based research organisation[3] or a New Zealand-based legal entity representing a New Zealand-based research organisation?
- Is the Science Leader employed by a New Zealand-based research organisation, or a New Zealand-based legal entity representing a New Zealand-based research organisation?
- Have you identified suitable research collaborators from a leading Chinese research organisation(s)?
- Do you meet all other eligibility criteria listed on page 8 of this Call for Proposals?
- Is your proposal based on the information provided in the registration phase, listing the same New Zealand and Chinese Science Leaders and using the same project title?
- Has your eligibility situation changed since your registration?

You must satisfy all these criteria through providing necessary supporting information in your proposal. If you have answered YES to the question, "Has your eligibility situation changed since your registration?" use the space provided in the Portal to outline those changes and explain why they have been made.

Summary information

Investment area
2018 Catalyst: Strategic Investment Round - April

Contracting organisation
Pre-populated during registration

Total funding requested
How much total funding are you requesting?

Successful projects are expected to start no later than 3 September 2018, with New Zealand research teams receiving up to $100,000 (excluding GST) funding per year for a maximum of three years.

Project title
Provide a title of the proposed project.

Investment mechanism
Medium term

Duration of project
Enter your proposed project's duration (for example 1, 2 or 3 years).

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[3] **Research organisation** means an organisation that has internal capability for carrying out research, science or technology, or related activities.

Start and end dates

Indicate the proposed project's start and end dates. Successful projects are expected to start no later than 3 September 2018.

Research Area

The research area is pulled through from the Registration. The proposed project must align with one of the research areas only, i.e. Food Safety and Security or Water Research but not more than one.

Abstract

(Word limit 280)

Provide a brief summary of your proposed project. Write clearly and concisely. The abstract helps us to select assessors for your proposal. It will also be used by MBIE and assessors to identify any potential conflicts of interest. Do not use acronyms, abbreviations, or images. Your abstract must not contain commercially sensitive information.

Keywords

Provide up to 15 key words that describe the nature of your project. Key words will help us to select assessors for your proposal. Do not use acronyms or abbreviations.

Public statement

(Word limit 300)

Describe what the project is aiming to achieve through funded activities. As this statement will be made publicly available, write it for a non-scientific audience and do not include any commercially sensitive information. You may wish to include contact details for enquiries. For successful proposals, this section will be extracted directly into a contract.

Objectives

(Word limit 200)

Provide a concise, high-level description of what you plan to achieve during the project. The focus should be on how the collaborative activities will support the research project.

Criteria

The criteria listed below are intended to deliver on the Catalyst Fund outcomes and objectives, and the vision set out in the NSSI that we should 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 clear line of sight to eventual impact. International collaboration can positively impact the excellence and impact of our science.

Assessors will assess eligible proposals against the following three criteria.

Enduring collaboration 30%

(Word limit 300)

Will the proposed activity establish an enduring collaboration with world class international collaborators? You should include information on:

- track record and excellence of the researchers on the project team (relative to opportunity)
- demonstrable excellence of the international partner research organisation(s)
- potential of the collaboration to create an enduring partnership, and
- ability of the project team to deliver on proposed activities.

Novel knowledge and partnership 40%

(Word limit 400)

Will the activity lead to the creation of new knowledge and a novel research partnership? You should include information on how the:

- international collaborator(s) will bring world-leading knowledge that complements the New Zealand research team's skills and knowledge, and
- proposed collaboration will support a new partnership or a new research focus for an established collaboration.

Strategic benefits 30%

(Word limit 300)

Will the activity lead to a collaboration of strategic benefit to New Zealand? You should include information on the:

- ability to leverage international investment, and facilities and infrastructure not available in New Zealand
- pathway to build a substantive collaboration beyond an initial engagement that is in line with New Zealand's science priorities, and
- ability of the applicant to bring together relevant New Zealand research capabilities to form a strategic collaboration.

For this funding round, the international collaborators will be **primarily** Chinese research organisations. However, as described in This Catalyst: Strategic funding round on page 4 of this CfP, additional world class partners from other countries will be accepted, where these demonstrate the potential for increased excellence and impact **beyond what is achievable through a New Zealand and Chinese partnership alone**.

Project deliverables

The project deliverables should collectively provide a coherent strategy to significantly broaden and deepen collaborative partnerships between the proposed Chinese and New Zealand research organisations over the duration of the proposed project's term.

Impact statement

(Word limit 200)

Impact is the direct or indirect influence or its effect of the research on a community, a group within the community, or society as a whole. The benefits may be economic, social, and/or environmental.

This section states what the project will deliver and what impact it will have. One impact statement is sufficient. The focus should be on the nature of the collaborative activities the project will support and how this will benefit the research project or programme, and how these will promote, more strongly align and coordinate research engagement with specific Chinese research organisations, and how the collaboration with the Chinese organisations will deliver more than could be achieved otherwise. This statement must be time-bound and specific enough to be measured or tested by the end of the contract.

For successful proposals, this section will be extracted directly into the contract.

You must add a minimum of **one** research aim and **one** critical step for each impact statement.

Research aims

(Word limit 200)

List the key collaborative activities that will be undertaken, what they are intended to achieve and who will be involved. These aims should be measurable and time-bound. For successful proposals, this section will be extracted directly into a contract.

A minimum of **one** research aim must be listed for each impact statement.

Critical steps

(Word limit 200)

A critical step is an activity or event required to achieve a research aim or impact, where the failure to deliver it will significantly affect the achievement of the research aim or impact. For example, regulatory and/or ethical approvals should be listed as a critical step.

Critical steps must be measurable, defined events, not levels or progress (such as incremental progress towards a longer-term goal). Critical steps must be defined for each year ending on 3 September or on the last date of a contract if the research is proposed to end on a date other than 3 September.

For successful proposals, this section will be extracted directly into a contract.

A minimum of **one** critical step must be listed for each impact statement.

Funding

Enter the required funding per year per Impact Statement. New Zealand research teams can apply for up to $100,000 (excl. GST) funding per year for a maximum of three years.

Budget

For each funding year, list the annual cost of your project made up of the activities listed under Allowable expenses on page 8.

You must provide both annual budget for the project's duration and the total project budget. Your annual budget must not exceed $100,000 (excl. GST).

Project team

For each year of funding, list the contact details (name, organisation and role) for:

- Primary contact person
- Contract manager
- Science Leader (list both the NZ and Chinese counterpart) + upload CV
- Key Individual(s) (list both the NZ and Chinese counterpart(s)) + upload CV
- Key Researcher(s) (list both the NZ and Chinese counterpart(s)) + upload CV
- Post-doctoral Researcher(s) (optional and CV not required)
- Student(s) (optional and CV not required).

Each science leader, key researcher, key individual, post-doctoral researcher, and student's expected contribution to the project needs to be indicated as a Full-time Equivalent (FTE) proportion. Contact details (email and phone number) should be provided for the primary contact person, the contract manager, and the New Zealand and Chinese science leaders and key researchers.

Key Researchers and Individuals in New Zealand and Chinese research teams

These are people who are critical to the success of the project such that their departure would constitute a change event. These people are typically fewer in number, and at a level above others listed:

- Key researchers involved in the scientific research
- Key individuals not directly involved in the research but involved in implementation activities.

Role	Full Name	CV	FTE (Year n)	Affiliated Organisation	Email address	Phone number	Postal address
Contact Person	Mandatory	N/A	N/A	Mandatory	Mandatory	Mandatory	Mandatory
Contract Manager	Mandatory	N/A	N/A	Mandatory	Mandatory	Mandatory	N/A
Science Leader*	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	N/A
Key Researcher(s)*	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory	N/A
Key Individual(s)*	Mandatory	Mandatory	Mandatory	Mandatory	N/A	N/A	N/A
Post-doctoral Researcher(s)	Mandatory	N/A	Mandatory	Mandatory	N/A	N/A	N/A
Student(s)	Mandatory	N/A	Mandatory	Mandatory	N/A	N/A	N/A
Other(s)	Mandatory	N/A	Mandatory	Mandatory	N/A	N/A	N/A

* Must list both NZ and Chinese counterpart(s).

ORCID Integration
IMS can now collect ORCID's IDs for certain roles in your project team. This means when you add a **Science Leader** or a **Key Researcher(s)** to your project team list, you must send an invitation to that team member in order to submit your Proposal. The team members will be able to create or connect an ORCID ID after they have received the invitation. It is therefore important that the right email address is provided in IMS.

Additional information

Conflict of interest
Identify any person who has a direct or indirect conflict of interest with your project and why. Include MBIE staff, if relevant. Detail any proposed arrangements to manage any conflict of interest.

ANZSRC
The ANZSRC codes are pulled through from your registration.

Tips for writing a good Proposal

Before developing your Proposal, you must consider the:

- Eligibility criteria (page 7)
- Appendix 1: Terms and conditions that apply to this Call for Proposals.

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

- Government's goals for the Fund, and
- assessment criteria in the next section.

It's also a good idea to look at what Assessors are being asked to consider when assessing proposals, so we also recommend that you consider the Guidelines for Assessors (these will be available on MBIE's website at a later date).

The following are general tips for a focused, well supported and clear Proposal. The assessment panel can only assess what is in the Proposal so it is important to ensure that all key information is present.

Be succinct
Make every sentence count. A small amount of carefully crafted content is much better than a lot of unfocused content. Don't feel the need to write up to the word limit if it will not contribute to the Proposal being any more focused or informative.

Explain local or specialist language
Assessors are familiar with a wide range of disciplines, organisations and activity across the country; however, they may not know 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
The panel may need to know where and how activity in the Proposal fits into the science and innovation landscape, including links or relationships to existing capability building or research projects, nationally and internationally. Consider describing the broad topic(s) and where the Proposal sits within that range of activity.

Personnel and delivery
Assessors want to know that the Proposal utilises experienced, skilled and suitable people. Identify what your organisation does 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 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
Where relevant ensure you support your proposed ideas, approaches and outcomes with appropriate evidence.

How will your Proposal be assessed?

To be assessed, your Proposal must meet the Eligibility criteria set out on page 7. If it meets these eligibility criteria, it will be assessed against the assessment criteria (detailed below) by independent assessors, who will then provide advice to MBIE. Pursuant to section 5(2) of the Research, Science and Technology Act 2010, and as set out in the New Zealand Gazette Notice Number 3481, 6 June 2013, MBIE determines the decision-making process and makes funding decisions for the Catalyst Fund.

The Catalyst: Strategic fund will use competition to drive an increasing focus on excellent research with impact in areas of future value, growth and critical need for New Zealand. This reflects the vision set out in the NSSI that we should strive for greater excellence and impact in publicly funded research.

The assessment process

1. MBIE reviews applications to ensure they meet the eligibility criteria
2. MBIE assigns eligible proposals to assessment panel members for individual assessment
3. Each proposal is individually assessed – scores and assessment comments are entered into the MBIE Portal
4. Assessor scores and comments form a recommendation to MBIE as to which proposals merit being funded, and which do not
5. China (via MOST) conducts a parallel assessment process for Chinese applicants.
6. In the event that China and New Zealand rank proposals differently MOST and MBIE will negotiate in order to agree which teams receive funding.

Assessment criteria

Assessment criteria		Weighting
EXCELLENCE	ENDURING COLLABORATION Key question: Will the proposed activity establish an enduring collaboration with world class international partners?	30%
	NOVEL KNOWLEDGE AND PARTNERSHIP Key question: Will the activity lead to the creation of new knowledge and a novel research partnership with international partners?	40%
IMPACT	STRATEGIC BENEFITS Key question: Will the activity lead to a collaboration of strategic benefit to New Zealand?	30%

When assessing proposals against the assessment criteria, MBIE may also take the following factors into account, including the extent to which the overall mix of investments:

- are likely to achieve the objectives of the Catalyst Fund (see What is Catalyst?)
- are likely to unlock the science and innovation potential of Māori knowledge, resources, and people for the benefit of New Zealand in accordance with the aim of the Vision Mātauranga policy
- will ensure that funding is not concurrently provided in respect of any two or more programmes of research, science, technology or related activities that are the same or similar (whether those proposals are part of a new proposal, or are already being funded), and
- will minimise the risk that an applicant will not be able to undertake the relevant programme of research, science or technology, or related activities because the applicant or any person involved in delivering the programme, would concurrently be committed to one or more other programmes (whether those proposals are part of a new proposal, or are already being funded).

Assessors

Assessors will be selected on the basis of their scientific knowledge relative to the range of topics covered by the proposals submitted, and their broader international and strategic expertise and experience. Each group of Assessors will have an independent, non-scoring chair. The Assessors will be published through MBIE's Catalyst Fund webpage.

The role of the Assessors is to assess and provide advice to MBIE as to what projects are deemed high quality and fundable, and their relative rankings.

Conflicts of interest

MBIE will post a list of potential Assessors on MBIE's website before proposals are assigned to Assessors so you may check for, and advise MBIE of, any direct or indirect conflicts of interest. An MBIE Alert will be issued when Assessor names are posted on the website.

If you identify that an Assessor has either a direct or an indirect conflict of interest, you must notify MBIE by including details in the conflicts of interest section of the proposal or by emailing internationalscience@mbie.govt.nz with the details for further discussion.

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, for example, 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 under discussion that may compete with their business interests.

The decision process

MBIE and MOST will make the final funding decision together. For New Zealand proposals, MBIE will take into account the recommendations made by the Assessors, and MBIE's total investment across the Catalyst Fund to ensure it is a balanced portfolio across topic areas. Accordingly, MBIE may decide to either:

- approve your Proposal
- decline your Proposal
- approve your Proposal with conditions that may need to be met before or during the contract, or
- approve your Proposal, but 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, i.e. by requiring certain conditions to be met at a point in the term, before the Proposal is funded for the full term, and
- 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.

Notifying you of the outcome

When a decision about your Proposal has been made, MBIE will advise the contact person listed in your Proposal by email. MBIE may also contact this person to discuss the decision.

Following notification, MBIE will publish its decisions and may announce these with a press release. The details MBIE or the Research, Science and Innovation Minister 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
- the fact that the project has been funded from the Fund.

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 contracting process

If there are any 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 us 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 31 August 2018.

If you are unable to sign and return the contract by 31 August 2018 you need to inform us 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 accede to the terms and conditions of the Catalyst Fund Contract, which is available on MBIE's website.

Submitting your Proposal in MBIE's Portal

Registrations and proposals are entered and submitted using MBIE's Investment Management System (IMS) – a secure, online portal. This process comprises three stages:

1. Registering for access to the IMS portal (this step is only required if you do not already have access)
2. Registering your proposal
3. Submitting your proposal.

Accessing MBIE's IMS Portal

If you have not used the IMS Portal before, you need to complete and email an access registration form to imssupport@mbie.govt.nz. On acceptance, you will receive a username, temporary password and instruction on how to access.

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

Note: Five or more failed log-in attempts will automatically lock you out of the system. If this occurs, contact the Investment Operations Team and ask for your account to be unlocked.

For all IMS portal queries, e-mail or call the Investment Operations Team:

Email: imssupport@mbie.govt.nz
Phone: 0800 693 778 (Monday to Friday, 8:30am to 4:30pm)

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 register

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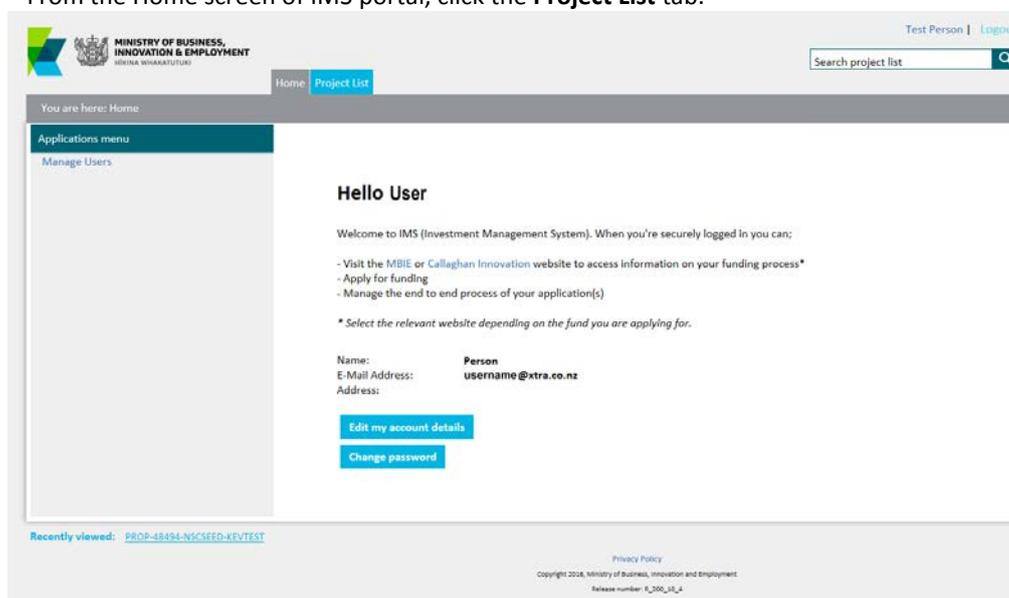
2. Click the **New Application** button (located to the right of the screen).

3. On the resulting screen, select **2018 Catalyst: Strategic Investment Round - April** from the **Investment Process** field, **Registration** from the **Phase** field, enter the **Project title** in the **Project title** field, and then click the **Create** button to create your registration.

4. Complete the required fields. We recommend that you familiarise yourself with the portal well before the deadline.
   Notes:
   - See Summary information on page 11 for more information about the fields
   - All forms of documents (for example Excel, Word and unsecured PDFs) can be uploaded to the portal. We will not be able to access or print your proposal if you load a secured PDF.

5. When you have completed all sections, scroll to the top of left hand navigation panel and click the **Submit registration** section.

6. 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.

Registration

Manage this registration
- ⊘ Submit Registration

Eligibility
- ⊘ Eligibility Questions

Summary
- ⊘ Summary Information
- ⊗ Project Team
- ⊘ ANZSRC

Project status: In progress

Submit Registration

Registration validation result: Unsuccessful

Please correct the errors below.

Summary

Project Team

The application requires at least 1 Contact person
The application requires at least 2 Science leaders

Note: 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 registration validation result section
- a ⊗ or ◌ beside the relevant sections.

7. Click the first error message to open the section, make the required corrections/additions and click the **Save** button.
8. If applicable, repeat the above step for other sections marked with ⊗ or ◌ .
9. Once you have corrected all of the errors and/or added all of the missing information, click the **Submit registration** section then the **Check my application before submission** button again.
10. On achieving a successful validation, click the **Register interest button**.

Registration

Manage this registration
- ⊘ Submit Registration

Eligibility
- ⊘ Eligibility Questions

Summary
- ⊘ Summary Information
- ⊘ Project Team
- ⊘ ANZSRC

Project status: In progress

Submit Registration

Available actions

Manage users for this application

Print/preview this application

Check my application before submission

Register interest

More actions

To submit 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 **2018 Catalyst: Strategic Investment Round - April** from the **Investment Process** field and **Proposal** from the **Phase** field. Wait for few seconds for the portal to load the Registration you have submitted. Click the radio button next to the Registration, and then click the **Create** button to start your Proposal.

4. Complete the required fields. We recommend that you familiarise yourself with the portal well before the deadline.
   Note:

   - Details entered during registration will pre-populate key fields
   - Information provided through the registration must be consistent with that to be contained in the proposal. If there are any notable discrepancies between the information provided through the two phases, MBIE reserves the right to deem such applications ineligible.

5. Develop in Word and copy and paste. Adhere to word limits.
   Notes:

   - See Developing your proposal section on pages 13 – 17 for more information about the fields
   - All forms of documents (for example Excel, Word and unsecured PDFs) can be uploaded to the portal. We will not be able to access or print your proposal if you load a secured PDF.

6. If you are adding **Science Leader** or **Key Researcher**, complete the following extra steps:

   If they are already in IMS with an email address:

   a. Click the Invite for ORCID Integration button -
   b. Click the **Send** button.
   c. Click the **Save** button.
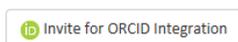
   If they are not already in IMS or don't have an email address already loaded:

   a. Enter the persons email address in the field.
   b. Highlight and copy the email address.

   c. Click the Invite for ORCID Integration button -
   d. Paste the email address into the pop up window and click the **Send** button.
   e. Click the **Save** button.

7. When you have completed all sections, scroll to the top of left hand navigation panel and click the **Submit proposal** section.

8. 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.

Notes: If the validation is successful, every section in the navigation panel is marked with the symbol ![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 ![red] or ![grey] beside the relevant sections.

9. Click the first error message to open the section, make the required corrections/additions and click the **Save** button.
10. If applicable, repeat the above step for other sections marked with ![red] or ![grey] .
11. 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.
12. On achieving a successful validation, click the **Submit to IMS** button.

Appendix 1: Terms and conditions that apply to this Call for Proposals

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 and 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 request 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 that Act, or as otherwise required by law.

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 registration or 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.

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.

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?

The ANZSRC (Australian and New Zealand Standard Research Classification) is a set of codes developed by the Departments of Statistics of Australia and New Zealand to classify Scientific Research.

The codes are divided into three areas;

- Type of Activity - this corresponds to the Frascati definition of research which MBIE obtains through the Profile classification.
- Field of Research (FOR) - this is the discipline and/or the process or techniques used in the research.
- Socio Economic Objective (SEO) - this describes the intended purpose or outcome of the research undertaken.

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

SEO Sectors

In addition to the 2, 4, and 6 digit codes the SEO codes are grouped into five Sectors;

- Defence
- Economic
- Society
- Environment
- Expanding Knowledge

Note: You are not required to select a Sector because it is automatically determined by the 2 digit SEO division code you select.

Sector	Defence	Economic	Society	Environment	Expanding Knowledge
ANZSRC SEO Division Codes	81	82 83 84 85 86 87 88 89 90 91	92 93 94 95	96	97

Note: It is important that you are familiar with the descriptions, at each level, of the codes you use so that your classification of your research and its outcomes is as accurate as possible.

How does MBIE use the ANZSRC codes?

For this Catalyst funding round, MBIE will use your choice of ANZSRC codes to assist with the identification of suitable assessors for your project.

How do I select ANZSRC Codes?

You can allocate a FOR or SEO code in a hierarchical manner by:
1. determining the division in which the largest component of the research is being performed; then
2. determining the most relevant group within that division; and then
3. determining the most relevant field within that group.

The IMS Portal is set up in a way which facilitates this selection process.

ANZSRC

Research classifications *
Please complete both tabs below.

Use the first tab to select up to two Field of Research ANZSRC codes. The total needs to be 100%.

Use the second tab to select up to two Socio-Economic Objective ANZSRC codes. The total needs to be 100%.

Field of Research	Socio-Economic Objective

Division

82 Plant Production And Plant Primary Products ▾

Group

8201 Forestry ▾

Objective

-- Choose Objective -- ▾

-- Choose Objective --
820101 Hardwood Plantations
820102 Harvesting And Transport Of Forest Products
820103 Integration Of Farm And Forestry
820104 Native Forests
820105 Softwood Plantations
820199 Forestry Not Elsewhere Classified

You can select the ANZSRC codes you want directly from the lists of FOR and SEO codes on the Australian Bureau of Statistics website.

Entering ANZSRC Codes

ANZSRC codes are categorised under two research classifications: **Field of Research (FOR)** and **Socio-Economic Objectives (SEO)**. Under each classification, **at least one** ANZSRC code must be entered.

_____

The ANZSRC codes will be automatically copied from the Registration Phase into the Proposal Phase.

_____

■ **To enter an ANZSRC code:**

1. Click on the category tab; either **Field of Research** or **Socio- Economic Objectives**.

2. Select the appropriate **Division**, **Group** and **Field** classifications, enter the percentage, and then click the **Add code** button. A list of all the ANZSRC codes created for your application display.

3. Make sure that all of the ANZSRC code percentages equal 100%. Adjust if necessary.

4. Repeat for subsequent codes.

ANZSRC

Research classifications *

Please complete both tabs below.

Use the first tab to select up to two Field of Research ANZSRC codes. The total needs to be 100%.

Use the second tab to select up to two Socio-Economic Objective ANZSRC codes. The total needs to be 100%.

Field of Research	Socio-Economic Objective

Division

-- Choose Division --	▼

Group

-- Choose Group --	▼

Field

-- Choose Field --	▼

Percentage

0

Add code

ANZSRC Field of Research

You have no Field of Research codes saved.

Code	%	
010202 Biological Mathematics	100 %	Update / Remove
010104 Combinatorics and Discrete Mathematics (excl. Physical Combinatorics)	50 %	Update / Remove
	150 %	

You must enter at least one 'Field of Research' and percentages must add up to 100%. Each 'Field of Research' must have more than 0%.
You must enter at least one 'Socio-Economic Objective' and percentages must add up to 100%. Each 'Socio-Economic Objective' must have more than 0%.