# Guide to Preparing your Platform Plan for the Ribonucleic Acid Development Platform

Use this template to complete your Platform Plan for the Strategic Science Investment Fund Ribonucleic Acid (RNA) Development Platform (the Platform). For further information about this opportunity, see our [webpage](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/strategic-science-investment-fund/host-ribonucleic-acid-platform/).

By submitting your Platform Plan, you are agreeing to MBIE’s funding policies, terms and conditions.

### Platform Plan Completion and Submission Requirements

* + Use this template to complete your Platform Plan in MS WORD.
  + Respond to all questions and use sub-headings if appropriate to improve readability.
  + Use pictures, graphs, and hyperlinks sparingly.
  + Attach and email your completed Platform Plan to [SSIF.investment@mbie.govt.nz](mailto:SSIF.investment@mbie.govt.nz) on the dates set out below. If any dates change, we’ll notify you by email.

### Platform Plan: Development and Assessment

We require you to develop your Platform Plan in two distinct stages, with the outputs of each stage being assessed by an Assessment Panel.

Establishment Steering Group provides guidance and input to Host in these stages

Host/s invited to refine and finalise Platform Plan based on assessment feedback

Host/s prepares draft Platform Plan and submits to MBIE

Assessment Panel assesses the suitability of the Plan as a basis for investment

Assessment Panel assesses the suitability of the Plan as a basis for investment

Final decisions on investment made and agreed work programme commences

MBIE provides feedback

### Establishment Phase Timeline

The following summarises the indicative key dates for the Establishment Phase and contracting.

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| **Date** | **Key Activity** |
| 31 May 2023 | Submit draft Platform Plan to MBIE |
| 9 June 2023 | Draft Platform Plan assessed |
| Mid-June 2023 | MBIE provides feedback, which may include invitation to submit the final Platform Plan |
| 31 July 2023 | If invited, submit the final Platform Plan |
| 10 August 2023 | Final Platform Plan assessed |
| End August 2023 | Funding decision made and Host/s notified |
| September 2023 | Contract signed |
| September 2023 | Investment contract starts |

All dates are NZ Standard Time. Final submission and assessment dates are dependent on the Platform Host’s progress in developing a Platform Plan, and Assessment Panel member availability. Any change to key dates will be notified via an e-mail to nominated contacts.

### How Your Platform Plan Will Be Assessed

An Assessment Panel will assess your Platform Plan to determine the suitability as a basis for investment. As the expertise needed in this Panel will depend on the detailed priorities of the Platform, MBIE will advise the exact makeup of the panel prior to assessment. MBIE may seek external advice in this assessment. After assessment of the draft, you may be invited to refine your Plan and submit a final version.

The Panel will make contracting recommendations based on your final Plan.

The final Platform Plan will be approved for contracting by MBIE’s Deputy Secretary, Labour, Science and Enterprise.

### Assessment Criteria

The Assessment Panel will assess your Platform Plan (in both draft and, if invited, final form) against the criteria outlined below. To be successful, all sections in the Platform Plan template must be adequately addressed by the Host/s.

Your Plan will be assessed on each of the criteria (below) and scored either:

Excellent

Good but some gaps

Insufficient

The Platform Plan will be assessed at both draft and final stages on:

The extent to which the Platform Plan is in line with the policy intent, including the mission, investment aims and the Outcomes Framework.

The extent to which the Platform Plan meets the principles for the Platform.

Whether the proposed priorities/themes in the Platform Plan work programme are in line with the Outcomes Framework.

The robustness and transparency of the process to develop those priorities.

The extent to which the Platform Plan demonstrates that the Platform will help meet the needs and aspirations of Māori and is aligned with the Vision Mātauranga policy.

Whether the KPIs articulate measurable progress of the research programme’s performance over the term of the investment.

The extent to which intellectual property, risk management and open research is outlined appropriately.

### Decision Making Process

#### Draft Platform Plan

MBIE will complete assessment of the draft Platform Plan and provide Assessment Panel feedback within a timely period following submission of the draft Platform Plan. Feedback will include whether you are invited to submit a final Platform Plan.

#### Final Platform Plan

If invited, your final Platform Plan will be reassessed to determine the suitability of your Plan as a basis for investment. If the panel considers that the final Platform Plan is not suitable for recommending for contracting, MBIE may seek further iterations of the Platform Plan, or may recommend pre-contract or contract conditions to the MBIE decision-maker.

Informed by the assessment panel, the final decision on whether your Plan will be approved for contracting will be made by MBIE’s Deputy Secretary, Labour, Science and Enterprise.

#### Public announcement of decision

Timing for the public announcement of the Platform Plan will be made in consultation with the Host/s including MBIE webpage update.

### Contracting a Successful Platform Plan

We expect to commence negotiating a contract for the Platform stage after we advise the Host/s of the decision on the final Platform Plan.

The contract for the final Platform Plan will be based on:

A master SSIF Programmes contract

A successful final Platform Plan, Key Performance Indicators, Work Programme and an IP Management Plan.

A contract template outlining terms and conditions and schedules will be emailed to nominated contacts of the Host/s during the Establishment Phase. MBIE will consider any adjustments to the template only under exceptional circumstances.

### Reporting Requirements of a Contracted Platform Plan

The Platform will provide the following formal reports to MBIE:

an Annual Update covering the research, science and technology or related activities that it proposes to undertake over the next 12 months (July-June), by the end of April

an annual Progress Report covering the delivery of strategic science as part of the Platform over the previous year (July-June), by no later than 31 August.

More information is available from the [SSIF Performance Framework](https://www.mbie.govt.nz/assets/518a038335/performance-framework-2018-strategic-science-investment-fund-programmes.pdf).

## RNA Development Platform - Platform Plan Template

Hosted by (insert your organisation name here)

### Section 1: Programme Information

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| 1.1 **Full title**  In 12 words or less tell us the title of your Platform Plan. Your title should clearly reflect the nature of the research involved.  Do not include acronyms or abbreviations.  Enter your answer here... |
| 1.2 **Duration of Programme**  Specify the start and end date of the Platform.  Note that the start date must be on or after 1 September 2023. End date is up to seven years after start date. Exact timing is subject to negotiation with MBIE.  Enter your answer here... |
| 1.3 **Primary Contact**  Provide the name, email address and telephone number of the primary contact person for the Plan. This contact must have the authority to discuss the Plan with us.  Enter your answer here... |
| 1.4 **Secondary Contact**  Provide a name, email address and telephone number of a second contact person. This secondary contact must differ from the primary.  Enter your answer here... |

### Section 2: Summary Information

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| 2.1 **Executive Summary:**  In 300 words or less provide an executive summary of the vision for a successful Platform.  Enter your answer here... |
| 2.2 **Public Statement:**  In 500 words provide a short summary of the Platform for public release (do not include any confidential information). Include:   * + what the Platform is planning to do   + why it is being done   + when it will be done, and   + by whom   Enter your answer here... |

### Section 3: Platform Plan

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| 3.1 **Strategic intent**  In 1000 words or less outline the vision and strategic intent for the Platform. Include:   * + the rationale for the proposed priority areas and the process by which you identified the major research questions   + how you will deliver an integrated research programme (at all levels of the Platform) in partnership with researchers, industry, Māori and New Zealand Pacific Peoples   + how you will work with the Platform Steering Group to determine when priorities need to shift within your planned investment, and how the Platform will adapt if priorities change   + what advisory groups will support the Platform.   Enter your answer here... |
| 3.2 **Impact**  In 1000 words or less outline your implementation pathway. Include:   * + how the integrated research programme (including the wider network) and its implementation will achieve the outcomes and long-term impacts sought in the Outcomes Framework   + your own Outcomes Framework developed in line with [MBIE’s RNA Development Platform Outcomes Framework](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/strategic-science-investment-fund/host-ribonucleic-acid-platform/) to support your proposal   + who you will work with to ensure these impacts are achieved   + how you will ensure that the research within the programme is integrated to ensure maximum impact   + what other programmes in the research landscape do you see as complementary (such as the Infectious Disease Research Platform) and how you will work together to maximise impact   + how you will ensure the Platform builds vaccine resilience for future pandemics   + how you will ensure the Platform does not duplicate research being done elsewhere.   Enter your answer here... |
| 3.3 **Excellence**  In 1000 words or less outline:   * + the range of methodological approaches you will use to enable the delivery of the Platform   + how your approaches will be scientifically excellent, conducted by internationally credible researchers, inclusive of relevant New Zealand capabilities, and with strong and visionary leadership   + what processes you will use to ensure science excellence and inter-disciplinary world-class research   + how your research is positioned in the domestic and international research landscape   + how you will explore indigenous knowledge, science and innovation to enhance the excellence of your research   + how you will embrace novel approaches that are in addition to current capability and outputs   + how you will communicate and share your research   + the technical risks to deliver the excellent science and how these will be managed.   Enter your answer here... |
| 3.4 **Team Excellence**  In 1000 words or less outline the excellence of your team. Include:   * + what skills and knowledge the team has (or needs) to deliver the proposed activities, including how you will engage any necessary expertise not currently available   + how you will take a New Zealand Inc approach to team excellence   + how you will ensure transparency in building the ‘best team’   + how you will ensure resource is not spread too thinly   + who in the team will provide leadership, and what Māori and Pacific leadership and capability is part of the Platform   + how you will bring in and expand relevant collaborations or partnerships the team has with domestic and international researchers and institutions   + how you will engage Māori in planning, conducting and implementing the research   + your ability to provide project management to identify and meet performance measures to deliver the Platform on time and within budget.   Enter your answer here... |
| 3.5 **Investing in People**  In 1000 words or less outline how the Platform will successfully develop capability in New Zealand’s RNA research community. Include how the Platform will:   * + contribute to significantly lifting New Zealand’s capabilities in the use, deployment, and development of RNA technologies   + build a diverse research and technology development capability with equitable opportunities   + leverage collaboration and facilitate the growth of inter- and transdisciplinary capability   + attract top researchers   + manage risks to developing capability.   Enter your answer here... |
| 3.6 **Domestic and International Collaboration**  In 1000 words or less outline how your Platform will leverage collaboration to achieve the investment aims. Include:   * + how you will foster connections and be well-linked to current and potential manufacturing capability in New Zealand   + how you will contribute to international research and attract international commercial engagement and investment through collaborations   + how you will contribute to strengthened collaboration between researchers, industry, agencies, Māori and New Zealand Pacific Peoples   + how you will connect with end-users   + how you will plan collaborations, bring complementary resources to the Platform, and build a connected research team. Indicate clearly what resources Platform partners will bring to the Platform   + the risks you have identified in relation to collaboration and how these will be managed.   Enter your answer here... |
| 3.7 **Horizons**  In 250 words or less outline how the Platform will:   * + span research horizons: generating new ideas, develop emerging ideas and leverage proven ideas   + focus on transformative outcomes, which may involve high-risk/high-return research   + boost New Zealand’s overall innovation capacity   + leverage co-funding (including in-kind funding) and aligned funding; provide indicative commitments to date.   Enter your answer here... |
| 3.8 **Vision Mātauranga**  In 500 words or less outline how the Platform will give effect to Vision Mātauranga enabling the Government’s Tiriti obligations in research, science, and innovation. Include:   * + the proposed initial level of investment in Māori-led and Kaupapa Māori research, and how you plan to increase that over time   + the current level of Māori leadership in the programme, what your targets for Māori leadership are, and how you plan to achieve those   + how you will enable opportunities for mātauranga Māori, Māori researchers and Māori-led research to deliver on Māori aspirations.   Enter your answer here... |

### Section 4: Programme Details

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| 4.1 **Work programme**  In 2000 words or less outline the proposed work to be carried out over the term of the Platform (you may want to structure your programme around major themes or research areas). Include:   * + which projects are ready to start after contracting, and which require further co-creation, and the process and timeframe for that co-creation   + key service delivery aspects expected within the Platform and how these feed into the broader work programme and Outcomes Framework   + how your work programme will reflect the key elements and stages of the project, their sequencing and timing, the steps needed to ensure impact from the research, and how each project integrates with the rest of the work programme. This must include:   + a descriptive title   + a detailed description, including research or process to design research, impacts and process to achieve impacts   + the start and end dates.   Enter your answer here... |
| 4.2 **Research, network, and implementation partners**  We expect the research team and network to include relevant capability from a range of organisations. Indicate for each partner organisation:   * + the name of the partner organisation   + the expertise they bring to, or the role that they will fill, in the programme and   + the status of the relationship with Host/s and initial partners.   Outline the processes you will use to determine funding flows to partners. You may include subcontracting amounts if known but capability needs to achieve the Platform objectives should drive subcontracting.  Enter your answer here... |
| 4.3 **Indicative Budget**  Provide an indicative budget for your Platform Plan using the following headings:   * + Projects/Programmes   + Personnel cost   + Direct project costs (e.g., materials, consumables, travel)   + Overheads   + Subcontracting   + Co-funding (if applicable)   + Platform leadership and operations   Total income must equal expenditure (over the life of the full Platform phase) and all values should exclude GST. Please include any rationale or assumptions underlying the proposed figures.  Indicative phasing for funding is approx. $10m (excluding GST) per year.  Enter your indicative annual budget for the full Platform phase here...   |  |  | | --- | --- | | **Financial year (July-June)** | **Amount available (excl GST)** | | 1 Jul 23 – 30 Jun 24 | $9.5 million | | 1 Jul 24 – 30 Jun 25 | $10.0 million | | 1 Jul 25 – 30 Jun 26 | $10.0 million | | 1 Jul 26 – 30 Jun 27 | $10.0 million | | 1 Jul 27 – 30 Jun 28 | $10.0 million | | 1 Jul 28 – 30 Jun 29 | $10.0 million | | 1 Jul 29 – 30 Jun 3030 | $10.0 million | |
| 4.4 **Indicative Capital Expenditure Needs**  Technology is a key factor in the Outcomes Framework and capital expenditure may be funded on an exceptional case-by-case basis. For the Platform (within the indicative budget above) outline any proposed major capital expenditure needs for the first 4 years of funding. Include:   * + how the Platform will measure the performance of any major infrastructure purchased   + how this infrastructure will aid the Platform’s progress against its overall investment aims   + how this infrastructure will be open to a wide range of potential users.   Note that any major capital expenditure spend will need to be discussed and negotiated with MBIE and a separate Business Case outside this process provided for approval to MBIE’s Deputy Secretary, Labour, Science and Enterprise. Further guidance can be found in Appendix one.  Enter your answer here... |
| 4.5 **Key Performance Indicators**  Provide indicative Key Performance Indicators (KPIs) (at least one per performance area below) that show how you will measure your research programme’s performance over the term of the investment. KPIs should:   * + illustrate performance that reflects the Government’s investment goals 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 Platform will lead to delivery of impact through excellent science and building research capability   + be measures that can track progress over time.   We will work with you to negotiate final KPIs for the Platform at the contracting stage. For further information see the [SSIF Performance Framework](https://www.mbie.govt.nz/assets/518a038335/performance-framework-2018-strategic-science-investment-fund-programmes.pdf).  Use the table below to complete and format your response   |  |  |  |  | | --- | --- | --- | --- | | **Performance Area** | **Measure** | **Target** | **Date** | | Strategic Intent |  |  |  | | Science Excellence |  |  |  | | Impact |  |  |  | | Domestic and International Collaboration |  |  |  | | Investing in People |  |  |  | | Horizons |  |  |  | | Vision Mātauranga |  |  |  | |  |  |  |  | |

### Section 5: Programme Team Leadership

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| 5.1 **Platform Leaders**  Provide details of the key personnel that will be involved in the Platform and provide supporting CVs. Only include key personnel who are confirmed at the time you submit the Platform Plan.  Key personnel   * + \*Science Leader(s): the researcher(s) responsible for leading science/research; typically this is the Platform Director/co-Directors.   + \*Key Researcher(s): other team members involved in the leadership of the Platform, whose expertise is critical to the success of your research. They may be from a contracted organisation, a subcontracted agency, or a stakeholder who is providing cash or in-kind co-funding of the research. At least one key researcher must be named. Only include key researchers who are confirmed at the time you submit your Platform Plan; we understand that key researchers for programmes that are being co-created may not be known at the time you submit the Platform Plan.   + \*Key Individual(s): team members involved in the leadership of the Platform, the wider network, or the implementation who are not researchers but whose contribution is critical to the success of the Platform.   CVs should conform to the [RS&T or Narrative CV format](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.mbie.govt.nz%2Fdmsdocument%2F25174-curriculum-vitae-cv-templates-when-applying-for-funding&wdOrigin=BROWSELINK). You should email these CVs to [ssif.investment@mbie.govt.nz](mailto:ssif.investment@mbie.govt.nz) at the time you submit the proposal.  **Diversity data**  As part of MBIE’s diversity policy, we collect diversity data on researchers. As the detailed makeup of the research team will not be known when you submit your platform plan, we will not collect data at this stage. We will collect this data through reporting and other means such as surveys. We will advise co-Hosts of the means used to collect this data during the contracting process for the Platform.  For more information on the collection of diversity information, see our webpage [Diversity in science.](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/agencies-policies-and-budget-initiatives/diversity-in-science/)  Note that MBIE will not fund individuals employed by local or central government but may fund costs associated with their involvement other than salary.  Use the table below to complete and format your response…   |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Role** | **Full Name** | **CV** | **FTE** | **Email Address** | | \*Science leader | *Mandatory* | *Mandatory* | *Mandatory* | *Mandatory* | | \*Key researcher | *Mandatory* | *Mandatory* | *Mandatory* | *Mandatory* | | \*Key individual | *Mandatory* | *Optional* | *Not Required* | *Mandatory* | |  | | | | | |

### Section 6: Research Classifications

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| 6.1 **Research Classifications**  Note that we will not seek research classifications using ANZSRC codes in the Platform Plan but will collect Socio-Economic Objective (SEO) and Field of Research (FOR) ANZSRC codes on individual projects during progress reporting. |

### Section 7: Additional Information

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| 7.1 **Intellectual Property Management**  In 1000 words or less outline:   * + how you will identify, protect, and share any intellectual property generated through the delivery of the Platform to ensure maximum benefit to New Zealand. This includes management of intellectual property between collaborators and contract partners, including MBIE. You should outline how the Platform will manage research and collaborations that could involve mātauranga Māori.   + if the success of your programme is dependent on access to existing intellectual property, outline the agreements you have in place to use it and how you are taking a strategic approach to accessing intellectual property.   Enter your answer here... |
| 7.2 **Open research**  In 250 words or less outline how the Platform will comply with the [New Zealand Open Research Policy](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/agencies-policies-and-budget-initiatives/open-research-policy/)  Enter your answer here... |
| 7.3 **Risk Management Plan**  In 500 words or less outline your risk management plan, including:   * + Data management   + Technology   + Key personnel   + Identification of duplication of research – internationally and domestically.   Cross reference other sections of the Platform if and where relevant.  Enter your answer here... |
| 7.4 **Other** **Information**  In 500 words or less provide any relevant information that directly supports the Platform e.g., a Memorandum of Understanding or other contractual arrangements with Partner organisation(s).  We may require you to provide supporting information prior to contracting.  Enter your answer here... |
| 7.4 **Conflicts of interest**  Declare any potential conflict of interest and say why. This may include possible conflicts with assessors, a part of MBIE, or both. We will advise you of the Assessment Panel members by email prior to the submission date.  Declare any conflicts here... |

## Appendix One – Capital Expenditure Guidance

Any major infrastructure investment must be approved as a business case, by MBIE’s Deputy Secretary, Labour Science and Enterprise.

Treasury provides [guidance](https://www.treasury.govt.nz/information-and-services/state-sector-leadership/investment-management/better-business-cases-bbc/better-business-cases-small-scale-non-high-risk-projects) in crafting a business case, which must be followed by the Platform (following guidance for a low risk, small scale investment).

The business case must include how the Platform will measure the performance of any infrastructure purchased, and how it is aiding the Platform’s progress against its overall performance and investment goals. Also required is a plan for how the infrastructure will be open to a wide range of potential users. Infrastructure is not to be purchased for the sole benefit of one Platform party, or commercial partner.

Infrastructure costing around, or more than $1M NZD will also require further performance oversight, through MBIE’s Science Policy team. This is to ensure larger pieces of science infrastructure across New Zealand are mapped and managed in ways beneficial to the overall system.

Any infrastructure purchased through the Platform must be owned by the Platform Host. It may be housed in a partner organisation, provided open access is still possible.

In principle, infrastructure spending should occur earlier in the Platform’s contract lifetime – enabling ensuing critical work by the Platform. It is unlikely that infrastructure spending will be approved within the final two years of the contracted lifetime. In general, MBIE will look less favourably on infrastructure proposals in the latter half of the Platform’s contracted lifetime.

If the business case is approved by the Deputy Secretary, Labour Science and Enterprise, the Platform Host must follow appropriate [procurement rules](https://www.procurement.govt.nz/procurement/principles-charter-and-rules/government-procurement-rules/) in purchasing the infrastructure.

Infrastructure management will be reported against in the Platform’s annual reporting. Larger pieces of infrastructure, or more infrastructure spending will require more thorough reporting. Final reporting requirements will be negotiated with your MBIE investment manager.

## Appendix Two: MBIE’s funding policies, terms and conditions

By submitting your Platform Plan, you are accepting and agreeing to MBIE’s funding policies, terms and conditions. Neither this funding opportunity, nor any contract resulting from the invitation process is intended to create a partnership agreement between MBIE and the Applicant.

### Funding policies

Our funding polices show our commitment to:

everyone having a fair and equal opportunity to participate in the science system to their fullest potential, and

ensuring that all science data generated through its investments meets minimum expectations of good data management and public availability

For more see our web page [Agencies, policies and budget initiatives](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/agencies-policies-and-budget-initiatives/).

### Funding terms and conditions Relating to Submitting the Platform Plan

By submitting your Platform Plan you will be deemed to have agreed to the following:

MBIE may be required to release information supplied in your Plan in accordance with the Official Information Act 1982 Act, or as otherwise required by law.

No contract or other legal obligations arise out of, or in relation to, development of Platform Plans until we have a signed contract.

Intellectual property rights in your Plan are jointly owned by you and the Ministry of Business, Innovation and Employment. By submitting your Plan you:

agree MBIE may use and disclose your Plan for any purpose, and

warrant that your Plan and its use by MBIE will not breach any third-party intellectual property rights.

MBIE reserves the right to amend, suspend, cancel and/or re-issue these guidelines at any time.

#### Disclosure of information

MBIE may make public the following information:

The proposal title

The name of the successful Host (the Contracting organisation)

The names of all Partner organisations

The public statement (as provided in the proposal)

The total amount of funding provided

The contract start and end dates (if funded)

The contract status (if funded)

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