

Strategic Science Investment Fund  
Advanced Energy Technology Platform

# Call for Proposals

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2019

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MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HĪKINA WHAKATUTUKI

[newzealand.govt.nz](http://newzealand.govt.nz)

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# Contents

<b>THE ADVANCED ENERGY TECHNOLOGY PLATFORM</b>	<b>1</b>
<hr/>	
The Funding Available	1
The Government’s Investment Goals for the Advanced Energy Technology Platform	2
The Research Focus of Advanced Energy Technology Platform Programmes	3
What Research Can and Cannot be Funded	3
Expected Outcomes and Impacts of the Advanced Energy Technology Platform	4
Who Can Apply	4
<b>THE APPLICATION AND ASSESSMENT PROCESS</b>	<b>5</b>
<hr/>	
Key Dates	5
Information Session	6
Key Reference Documents	6
The Assessment Criteria	7
Conflicts of Interest	8
Privacy	8
Meeting the New Zealand Government Data Requirements	8
<b>INVESTMENT DECISIONS AND CONTRACTING</b>	<b>9</b>
<hr/>	
The Decision Making Process	9
Contracting	9
Further Information	9
<b>PREPARING YOUR APPLICATION</b>	<b>10</b>
<hr/>	
Diversity in Science and Research	10
Tips for a Good Application	10
Registration Template	11
Proposal Template	13
<b>REGISTERING AND SUBMITTING PROPOSALS</b>	<b>21</b>
<hr/>	
Accessing MBIE’s IMS Portal	21
Navigating the IMS Portal	22
Customising your View	22
Registering/Submitting a Proposal	23
Administering Applications	26
Checking the Progress of your Application	26
Withdrawing an Application	26
IMS Portal Tips	27
<b>APPENDIX 1: TERMS AND CONDITIONS RELATING TO THIS CALL FOR PROPOSALS</b>	<b>29</b>
<b>APPENDIX 2: STRENGTHENING YOUR APPROACH TO VISION MĀTAURANGA</b>	<b>31</b>
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Advanced Energy Technology is technology at the frontier of innovation, with the potential to advance and disrupt global energy markets.

We define advanced energy technology as:

*engineering, physical and biological sciences research developing technologies at the frontier of transforming the way we produce, use, manage, and store energy*

These technologies will have the potential to radically shift the global energy landscape and develop market opportunities for New Zealand.

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# The Advanced Energy Technology Platform

All nations face challenges to how they use energy now and in the future. Internationally, countries are striving to improve energy security and access, reduce pressure on the environment and reduce greenhouse gas emissions. Meeting these challenges will require new ways of producing, using, managing and storing energy.

The Ministry of Business, Innovation and Employment (MBIE) wants to ensure New Zealand has sufficient capability in advanced energy sciences to develop transformative research outputs that will contribute to the development of disruptive technologies used both in New Zealand and abroad. The new investment is intended to significantly lift capability in this area, and to support dynamic and world-class energy technology research. It aims to enable New Zealand to strengthen existing, and build new, international research connections to global experts and research groups to leverage knowledge and solutions to increase the impact and benefit for New Zealand. We want to ensure New Zealand is well connected and continues to grow its international research linkages in this sector.

The Government is looking to invest in up to four programmes, each inspired by technological challenges at the frontier of developing new advanced energy technologies. The programmes will focus on areas where New Zealand can develop a competitive international advantage and grow world leading research capability in niche areas of energy technology that address global challenges.

The Platform will focus on research in the engineering, physical and biological sciences, and will prioritise transformative, creative and potentially disruptive research to help define future global energy opportunities and accelerate technology towards commercialisation.

This Call for Proposals invites proposals for ambitious, excellent and well-defined research programmes which deliver on the Government's advanced energy technology platform investment goals and wider priorities for the energy sector. It contains the information required to prepare and submit a funding application.

## The Funding Available

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The total funding available for a portfolio of advanced energy technology investments is up to \$50 million over 7 years (*exclusive of GST*).

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We are looking to fund up to four research programmes for seven years. Each research programme will be contracted separately.

Investment in advanced energy technology research will be funded through the Strategic Science Investment Fund (SSIF).

Established in April 2016, the purpose of SSIF is to establish and support longer-term underpinning infrastructure and programmes of mission-led science critical to the future of New Zealand's economy, environment and wellbeing. SSIF Programmes provide a vehicle for the development of dynamic research capability in areas of strategic importance to New Zealand. SSIF provides funding stability to enable researchers to tackle a strategic long-term research vision, provides freedom and flexibility to take risks, and enables longer term planning.

## — 2

## The Government's Investment Goals for the Advanced Energy Technology Platform

The Government wants to advance the development of a dynamic and world-class advanced energy technology research and development capability for New Zealand. Capability will be built through a strategic portfolio of up to four advanced energy technology research programmes that address future challenges for the energy sector.

The Government's investment goals for the Advanced Energy Technology Platform are to:

- > **Deliver excellence:** Invest in excellent, transformative and novel engineering, physical, and biological sciences research that builds on New Zealand's strengths at the frontier of innovation in advanced energy technology research.
- > **Grow capability:** Grow the scale, depth, excellence and impact of New Zealand's advanced energy technology research community. The programmes will have strong leadership and multidisciplinary teams. They will attract top international researchers and support emerging researchers.
- > **Deliver additionality:** Provide fresh and ambitious thinking, new people, new collaborations, new and expanded research, and new impacts that would not have happened without this investment. Investments should create new opportunities for New Zealand to contribute to national and global efforts to reduce energy related greenhouse gas emissions.
- > **Leverage connectivity:** Foster and grow international and national collaborations among energy technology researchers, and between researchers and end users. Collaborations should support research excellence, grow energy technology capabilities and operate in areas of international relevance.
- > **Enable future-focussed research:** Provide stable longer-term funding to support future-focussed research to deliver a pipeline of new ideas and opportunities which encourage the private sector to fund more industry-led research.
- > Give effect to the **Vision Mātauranga** policy.

## The Research Focus of Advanced Energy Technology Platform Programmes

The research programmes we are seeking to fund should:

- > Focus on a major research challenge at the leading edge of development of advanced energy technology.
- > Support a variety of activities focussing on a common research challenge.
- > Contain challenge-inspired research.

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Challenge-inspired: the research programmes will address problems faced globally and/or in New Zealand at the frontier of energy technology development and expand the potential for New Zealand to benefit from technology advances

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- > Focus on transformative outcomes, which may be high-risk/high-return research, embracing new techniques for tomorrow's energy technology needs.
- > Demonstrate the potential for research outcomes to provide a pipeline of new ideas and opportunities for the private sector to fund more commercially orientated research.

Assessors will consider whether the proposed research programme meets the Government's investment goals for the Advanced Energy Technology Platform.

## What Research Can and Cannot be Funded

IS IT FUNDED BY THIS INVESTMENT?	
Yes	No
<p>Research programmes with a primary focus or outcome related to the production, use, management or storage of energy.</p>	<p>Research programmes where the proposed research covers commercial demonstration or deployment of technology.</p>
	<p>Research programmes where the proposed research covers the use or production of fossil fuels or nuclear energy.</p>
	<p>Research programmes where the proposed research covers evaluating the commercial viability of near commercial technologies.</p>
<p>Costs associated directly with the project; this may include:</p> <ul style="list-style-type: none"> <li>&gt; Costs of personnel</li> <li>&gt; Personnel-related costs</li> <li>&gt; Material and consumables directly related to the research programme</li> <li>&gt; Research programme operational costs.</li> </ul>	<p>Capital expenditure for any equipment or assets with life beyond the term of the research programme.</p>

# 4

## Expected Outcomes and Impacts of the Advanced Energy Technology Platform

The vision of the Advanced Energy Technology Platform is that New Zealand has a world leading research capability in niche areas of advanced energy science, enabling New Zealand to contribute to, and benefit from, opportunities in international energy technology markets. We will know we have achieved the end impact when there is an increase in new ideas, strong capacity and capability to create new advanced energy technologies and there is increasing private sector investment in commercially orientated research in this sector.

Through this investment, the New Zealand Government will fund challenge-inspired advanced energy technology research programmes. These programmes should focus on problems of international significance at the frontier of innovation in the energy sector, with the potential to create market opportunities for New Zealand. We expected research programmes to have potential to deliver on the outputs and demonstrate progress towards the outcomes below.

<b>ENABLERS</b> <i>What will make the vision possible?</i>	<b>OUTPUTS</b> <i>(knowledge and skills)</i> <i>What will the research programme produce? What activities will it encourage?</i>	<b>OUTCOMES</b> <i>What will result from the output?</i>	<b>END IMPACT</b> <i>(change to the economy, society, or environment)</i> <i>What will be the overall benefit to New Zealand?</i>
<ul style="list-style-type: none"> <li>› Growth of current New Zealand expertise in advanced energy technology.</li> <li>› Opportunities for New Zealand to contribute to global research effort.</li> </ul>	<ul style="list-style-type: none"> <li>› Dynamic, excellent, advanced energy technology and research.</li> <li>› New connections across the spectrum of advanced energy technology R&amp;D in New Zealand, from discovery to product development.</li> <li>› New connections with international advanced energy technology experts.</li> <li>› New advanced energy technology research capability in New Zealand.</li> <li>› New strategic collaborations between engineering, physical and biological sciences researchers and end-users, working together to create impact via development of advanced energy technology to solve global energy challenges.</li> </ul>	<ul style="list-style-type: none"> <li>› New Zealand has deep multidisciplinary expertise in advanced energy technology research; research institutions have increased their research capability and capacity.</li> <li>› New instances where advanced energy technology is addressing New Zealand's energy challenges.</li> <li>› New instances where advanced energy technology is addressing real world issues and challenges to benefit New Zealand.</li> <li>› People are using new and improved advanced energy technologies to generate commercial benefits.</li> <li>› A bigger, more capable and strongly connected community of advanced energy researchers, linked with end-users and industry.</li> <li>› More advanced energy technology talent in the work force beyond research organisations.</li> </ul>	<ul style="list-style-type: none"> <li>› World leading advanced energy technology research is translated into positive impact for New Zealand via new, market opportunities and technology development.</li> <li>› Advanced energy technology is widely used in New Zealand and New Zealand developed technology is sought by international collaborators.</li> <li>› New Zealand's excellent, high impact, challenge inspired advanced energy technology research is internationally recognised, and people want to collaborate with New Zealand scientists.</li> <li>› A bigger and more productive advanced energy technology industry in New Zealand, with more relevant jobs and higher productivity.</li> </ul>

### Who Can Apply

To be eligible for funding under this Call for Proposals:

1. The applicant must be a New Zealand-based legal entity with established research capability.
2. The majority of the research, science or technology, or related activities are to be undertaken in New Zealand, unless MBIE agrees there are compelling reasons not to.
3. The applicant organisation is not a department of the public service listed in Schedule 1 of the State Sector Act 1988.



# The Application and Assessment Process

Applying for funding from the Advanced Energy Technology Platform comprises two phases.

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- Phase 1**      **REGISTRATION**
- > Registration is compulsory.
  - > Applicants cannot submit a proposal unless they have registered.
  - > We will use the information collected at registration to prepare for the assessment of submitted proposals.
- 

- Phase 2**      **PROPOSAL**
- > A panel of independent expert assessors will assess eligible proposals.
  - > A panel of experts in Vision Mātauranga will assess eligible proposals against the assessment criteria and Vision Mātauranga policy, and will provide recommendations to the Assessment Panel.
  - > We may request further information or seek clarification regarding your application.
  - > The Assessment Panel will provide recommendations to MBIE that will inform the final decision on which proposals will be funded.
  - > All applicants will be notified of the assessment outcome.
- 

## Key Dates

<b>Information Session</b>	10 December 2019 ( <i>see page 6 for details</i> )
<b>Registration period</b>	20 November 2019 until 12 noon, 18 December 2019
<b>Submission period for proposals</b>	20 November 2019 until 12 noon, 11 March 2020
<b>Assessment of proposals</b>	March – April 2020
<b>Assessment Panel meeting</b>	April – May 2020
<b>MBIE investment decisions announced</b>	June – July 2020
<b>Contracts begin</b>	Negotiated, from 1 July 2020

Any change to key dates will be notified via an [Alert](#) email.

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## 6

### Information Session

We will be hosting an Advanced Energy Technology Platform Information Session in Wellington on 10 December 2019. At this session we will outline the vision and intent of the investment, discuss the assessment criteria and application process, and answer potential applicant' queries or concerns in an open forum. We welcome questions in advance.

#### Registration is required.

To register your attendance to the Advanced Energy Technology Information session, email [SSIF.investment@mbie.govt.nz](mailto:SSIF.investment@mbie.govt.nz) on or before **2 December 5pm** with your name, organisation and your research interest(s).

On receipt of your registration email, we will confirm your attendance and advise of further details including the venue and time. Limits to numbers from a single organisation may apply.

### Key Reference Documents

When developing your application, we encourage you to consult the following key reference documents.

- > The [Strategic Science Investment Fund Investment Plan](#) outlines the Government's strategy for its science investment until 2024.
- > The [National Statement of Science Investment 2015-2025](#) details the Government's ten-year vision for New Zealand's science system.
- > The [Vision Mātauranga policy](#) outlines 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.
- > MBIE's [Diversity in Science Statement](#).

Any other government sector specific strategy document as relevant to the research.

## The Assessment Criteria

All eligible proposals will be assessed against the following criteria, their alignment with the Government's investment goals for the advanced energy technology platform, and where applicable how your proposal will give effect to the Vision Mātauranga policy.

ADVANCED ENERGY TECHNOLOGY PLATFORM RESEARCH PROGRAMME ASSESSMENT CRITERIA		Weighting
<b>EXCELLENCE</b>	<p><b>The research programme will deliver excellence by delivering leading internationally connected, cutting edge advanced energy technology research for New Zealand</b></p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> <li>&gt; deliver against the Government's investment goals and vision for the Advanced Energy Technology Platform,</li> <li>&gt; create additionality, provide ambitious fresh thinking, new people, new and expanded research, new collaborations and impacts that would not happen without this investment,</li> <li>&gt; demonstrate how the proposed research will deliver excellent engineering, physical and/or biological science and outcomes to support New Zealand's contribution to global efforts to develop advanced energy technology and how the method and high level approach (methodology) will enable the delivery of the research aims,</li> <li>&gt; demonstrate the skills and knowledge the team has to deliver the proposed activities, including leadership expertise and experience, relevant collaborations, and</li> <li>&gt; develop new innovative and novel approaches in energy technology.</li> </ul>	30%
<b>IMPACT</b>	<p><b>The research programme will create direct and indirect benefits for New Zealand by generating opportunities in emerging energy technologies with international relevance</b></p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> <li>&gt; deliver future-focused engineering, physical and/or biological sciences research with the potential to create or facilitate disruptive technologies for New Zealand and the global market,</li> <li>&gt; create new opportunities for New Zealand to contribute to national and global efforts to reduce energy-related greenhouse gas emissions,</li> <li>&gt; develop advanced and innovative energy technology approaches that can help solve key challenges for New Zealand, and international markets and users,</li> <li>&gt; support a pipeline of research so that new ideas can be developed and applied to solve problems, and</li> <li>&gt; where relevant, address the themes of the Vision Mātauranga Policy.</li> </ul>	20%
<b>INVESTING IN PEOPLE</b>	<p><b>The research programme will grow the scale and depth of advanced energy technology research capability in New Zealand</b></p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> <li>&gt; demonstrate researchers, teams and institutions are well placed and sufficiently skilled to do the research and to grow future capability, with reputations for high-quality work, and who are well linked internationally and domestically,</li> <li>&gt; leverage collaboration, attract top researchers to New Zealand and support New Zealand emerging researchers, provide support for PhDs and post-doctorates and where possible encourage them to gain international experience,</li> <li>&gt; develop deep excellence and world class science leadership, and</li> <li>&gt; where relevant, develop Māori capability in advanced energy technology.</li> </ul>	30%
<b>DOMESTIC AND INTERNATIONAL COLLABORATION</b>	<p><b>The research programme will have international relevance and significance, and will grow domestic and international science connections and collaborations</b></p> <p>When assessing this criterion, assessors will consider the proposal's potential to:</p> <ul style="list-style-type: none"> <li>&gt; demonstrate relevance of proposed research to international efforts in the advancement of clean and/or advanced energy technology,</li> <li>&gt; grow international and national collaborations, and</li> <li>&gt; develop enduring and strategic collaborations with end users, draw on a range of industry, science and government expertise to enhance the relevance of the research.</li> </ul>	20%

# 8

## Conflicts of Interest

We will publish the names of assessors on our [Advanced Energy Technology Platform webpage](#) before proposals are assessed. If you identify that an assessor has an actual, potential or perceived direct or an indirect conflict of interest, you must email [SSIF.investment@mbie.govt.nz](mailto:SSIF.investment@mbie.govt.nz) with the details for further discussion.

Conflicts of interest may occur on two different levels:

- > A **direct** conflict of interest; where an assessor is:
  - directly involved with a proposal (*as a participant, manager, mentor, or partner*) or has a close personal relationship with the applicant, e.g., family members, or
  - a collaborator or in some other way involved with an applicant's proposal.
- > An **indirect** conflict of interest; where an assessor:
  - is employed by an organisation involved in a proposal but is not part of the applicant's proposal, or
  - has a personal and/or professional relationship with one of the applicants, e.g., an acquaintance, or
  - is assessing a proposal under discussion that may compete with their business interests.

## Privacy

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

- > have confirmed their personal details and the nature and level of their involvement in the work described in the proposal is correct, and
- > are aware of our [IMS Privacy Statement](#) that describes how this information will be used and know the process to follow should any changes to this information be required.

## Meeting the New Zealand Government Data Requirements

We are committed to ensuring that all science data generated through our investments meets minimum expectations of good data management and public availability.

If you receive funding, we expect you to comply with:

1. The [New Zealand Government Open Access and Licensing Framework](#). This framework advocates the use of Creative Commons<sup>1</sup> licences.
2. MBIE's [Environmental Data Management Policy Statement](#). If you receive new funding for research that includes environmental science you must agree to license under a [Creative Commons Attribution 3.0 New Zealand](#) licence (CC-BY) copyright works produced.
3. [Principles for safe and effective use of data and analytics](#) when appropriate. These principles were developed by the Privacy Commissioner and Government Chief Data Steward and are designed to support safe and trusted use of data and analytics by New Zealand government agencies.

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

# Investment Decisions and Contracting

## The Decision Making Process

Investment decisions will be made by the Deputy Chief Executive, Labour, Science and Enterprise Group, MBIE. This decision will be informed by advice from a Panel of independent expert assessors. The Panel will advise on individual proposals and on the optimum portfolio of research programmes to be funded. The following criteria will be considered:

- > Each proposal complies with the eligibility criteria and fundable research as outlined in this Call for Proposals.
- > Each proposal funded has sufficient merit as assessed against the investment goals and assessment criteria.
- > The portfolio of funded programmes comprises up to four research programmes, with the total investment not exceeding \$50 million over seven years.
- > How well the mix of investments and the resulting total portfolio meet the investment goals.
- > The balance across the portfolio, in particular, the concentration of publicly funded research in a given area, the value offered by the largest proposals, and the risk profile of the portfolio as a whole.
- > Any other information MBIE deems relevant.

High-level summary feedback will be given to all applicants.

## Contracting

We will enter into an investment contract with successful applicants. This contract will be based on the *Strategic Science Investment Fund – Programmes Investment Contract* (see our [Advanced Energy Technology Platform webpage](#)). By applying to this investment, you agree to the terms and conditions set out in this investment contract.

We may:

- > set pre-contractual conditions that must be met before entering into a contract
- > add additional terms and conditions
- > vary the funding amount from that proposed and require that the proposed research programme plan be negotiated to our satisfaction to reflect the changed funding
- > decide not to invest at any point along the process.

We will work with successful applicants to develop an outcomes and impacts framework and will negotiate key performance indicators (KPIs) for their research programme that will be used to measure success.

## Further Information

**Email**            Application queries: [SSIF.investment@mbie.govt.nz](mailto:SSIF.investment@mbie.govt.nz)  
                          Portal queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

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

You can also [subscribe](#) to our Alert email.

# 10

## Preparing your Application

This section contains a Registration and Proposal template that you can use to prepare your funding application. Registration is completed in our Investment Management System (IMS) – a secure online portal (*see page 27*). Funding proposals also are entered and submitted in this portal.

The Registration template outlines the information required to register your intent to apply for funding. The Proposal template outlines the information we are seeking in a funding proposal. Mandatory information is marked with an asterisk (\*).

We recommend you use the templates to draft the required information and then when ready to submit, copy and paste the necessary segments into the appropriate IMS portal fields and upload documentation where directed.

Ensure that your funding application:

- > complies with the eligibility criteria and fundable research outlined in this Call for Proposals
- > addresses the assessment criteria outlined in this Call for Proposals
- > addresses the Government’s advanced energy technology investment goals and research focus outlined in this Call for Proposals
- > addresses the aims of the Vision Mātauranga policy to achieve excellent research of relevance and impact to Māori and New Zealand, and where relevant, describes how your research programme will support Vision Mātauranga
- > meets all applicable timing, formatting, system, or other similar administrative requirements as noted in this Call for Proposals.

### Diversity in Science and Research

MBIE is committed to understanding and promoting diversity in Science and Research. Individuals fulfilling key roles in your proposed research programme will be required to individually register in the IMS Portal, and then invited to enter their diversity data. For more information, see our [Diversity Statement](#).

### Tips for a Good Application

- > Structure your narrative in a logical way – so there is a natural and obvious flow between your ideas.
- > Consider using subheadings to highlight and guide the reader to the key messages you want to convey.
- > Avoid large blocks of text. White space enhances the visual impact of your proposal and makes reading easier.
- > Cross reference, rather than duplicate information where possible, e.g., “Key end users, including but not limited to those listed in Section X will be invited...”.
- > Check spelling, grammar, and readability.

## Registration Template

This template contains the key information required when registering for Advanced Energy Technology Platform funding. Use it to help gather the information you need to formulate your Registration. An asterisk (\*) indicates mandatory information.

Registration is completed in the IMS portal. You can register your intent to apply for Advanced Energy Technology Platform funding from **20 November 2019** until **12 noon, 18 December 2019**.

We recommend that you familiarise yourself with the portal well before the Registration deadline. See *Registering and Submitting Proposals* on page 21 for detailed instruction.

These dates are subject to change. Any change will be notified via an [Alert](#) email.

### REGISTRATION TEMPLATE

*This is a guide and is not intended to constrain the information you provide. An \* indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your Registration.*

**WORD LIMIT**

### PROGRAMME INFORMATION

<b>Summary</b>	<b>*Total Funding Requested</b>	Specify the total funding (excluding GST) that you are requesting across the seven funding year period.	
	<b>*Full Title</b>	Provide a meaningful title that identifies the nature of your research programme. Do not include acronyms or abbreviations.  Titles should clearly reflect the nature of the research involved. Avoid cryptic or humorous "tabloid" style titles.	12 words
	<b>*Duration of Programme</b>	Specify the duration of your research programme; this must be seven years.	
	<b>*Executive Summary</b>	Summarise your vision for a successful Advanced Energy Technology Platform research programme and tell a compelling story about the research and science underpinning it and the impact it could have.  Structure your executive summary around the assessment criteria and refer to the investment goals. This summary is your opportunity to introduce assessors to your research, the potential impact(s) of that research and your methodology. It should not:  > Introduce material that is not already present in the proposal, nor > Include references, hyperlinks, images, video, or audio files.	500 words
	<b>*Key Words</b>	List up to five key words (each between 3 and 55 characters in length) that describe the nature of your research programme's science and technology element. Do not include acronyms or abbreviations.	5 words
<b>Contact Details</b>	<b>*Primary Contact</b>	Provide the name, email address and telephone number of your primary contact person. This contact must have the mandate to discuss your proposal with MBIE officials.	
	<b>*Secondary Contact</b>	Provide a name, email address and telephone number for a second contact person. This second contact must differ from the primary.	

## REGISTRATION TEMPLATE

*This is a guide and is not intended to constrain the information you provide. An \* indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your Registration.*

WORD LIMIT

**Programme Team****\*Indicative Programme Team**

Using the sample table that follows, specify the following information for the research programme's science leader, key researchers, and key individuals where known.

1. First and last name
2. Organisation
3. Role
4. Email

See the Proposal template's **Programme Team** section for role definitions.

**Sample Team Table**

Role	First Name	Last Name	Organisation	Email Address	Invited to register and enter Diversity data
*Science leader	Mandatory	Mandatory	Mandatory	Mandatory	Yes
*Key researcher	Mandatory	Mandatory	Mandatory	Mandatory	Yes
Key individual	Mandatory	Mandatory	Mandatory	Mandatory	Yes

<sup>1</sup>As part of MBIE's diversity policy, these roles will be invited to register separately in the IMS Portal and enter their diversity data as part of their profile. You can trigger these registration invitations to be sent to your team members when entering your research programme's team information. Once they register, your team members will receive an email with information on how to then enter and manage their profile. For more information on the collection of diversity information, see our [IMS portal webpage](#).

**\*Eligibility**

Confirm that your application meets the eligibility criteria:

- > The applicant must be a New Zealand-based legal entity with established research capability.
- > The majority of the research, science or technology, or related activities are to be undertaken in New Zealand, unless MBIE agrees there are compelling reasons not to.
- > The applicant organisation is not a department of the public service listed in Schedule 1 of the State Sector Act 1988.
- > The primary focus or outcome of the proposed research must be related to the production, use, management or storage of energy.
- > The proposed research must not cover research relating to near commercial demonstration or deployment projects.
- > The proposed research must not cover research relating to the use or production of fossil fuels or nuclear energy.
- > The proposed research must not cover research aimed at evaluating the commercial viability of near commercial technologies.

If you do not meet the above criteria, explain why.

100 words

**Conflicts of Interest**

Declare any potential conflicts of interest and say why. *See page 8 for more details.*



## Proposal Template

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

Proposals are entered and submitted to MBIE in the IMS portal. See *Registering and Submitting Proposals* on page 21 for detailed instruction.

You must register before you can submit a proposal. Immediately after registration, you can submit a proposal. The proposal submission period is from **20 November 2019** until **12 noon, 11 March 2020**

These dates are subject to change. Any change will be notified via an [Alert](#) email.

### PROPOSAL TEMPLATE

*This is a guide and is not intended to constrain the information you provide. An \* indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.*

**WORD LIMIT**

### ELIGIBILITY

#### \*Eligibility Questions

Confirm that your application meets the eligibility criteria:

- > The applicant must be a New Zealand-based legal entity with established research capability.
- > The majority of the research, science or technology, or related activities are to be undertaken in New Zealand, unless MBIE agrees there are compelling reasons not to.
- > The applicant organisation is not a department of the public service listed in Schedule 1 of the State Sector Act 1988.
- > The primary focus or outcome of the proposed research must be related to the production, use, management or storage of energy.
- > The proposed research must not cover research relating to near commercial demonstration or deployment projects.
- > The proposed research must not cover research relating to the use or production of fossil fuels or nuclear energy.
- > The proposed research must not cover research aimed at evaluating the commercial viability of near commercial technologies.

If you do not meet the above criteria, explain why.

100 words

### PROGRAMME INFORMATION

#### Programme Information

#### \*Full Title

Confirm/update the title of research programme.

12 words

Titles should clearly reflect the nature of the research involved. Do not include acronyms or abbreviations. Avoid cryptic or humorous "tabloid" style titles.

#### \*Duration of Programme

Specify the duration of your research programme; this must be seven years.

#### \*Start and end dates

Specify the start and end dates of your research programme. The start date must be on or after 1 July 2020. The end date must be 30/06/2027.

PROPOSAL TEMPLATE		
<i>This is a guide and is not intended to constrain the information you provide. An * indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.</i>		<b>WORD LIMIT</b>
<b>*Key Words</b>	<p>Confirm/update the five key words entered at Registration.</p> <p>These key words (each between 3 and 55 characters in length) describe the nature of your research programme's science and technology element.</p> <p>Do not include acronyms or abbreviations.</p> <p>These key words will help us identify the types of assessment expertise required.</p>	5 words
<b>Contact Details</b>	<b>*Primary Contact</b>	<p>Confirm/update the name, email address and telephone number of your primary contact person.</p> <p>Remember, this contact must have the mandate to discuss the proposal with MBIE officials and should <b><u>not be the Science Leader</u></b>.</p>
	<b>*Secondary Contact</b>	<p>Confirm/update the name, email address and telephone number of your second contact person.</p> <p>Remember, the second contact must differ from the primary.</p>
SUMMARY INFORMATION		
<b>*Executive Summary</b>	<p>Review and if required update the summary entered during Registration.</p> <p>Your summary should:</p> <ul style="list-style-type: none"> <li>&gt; Summarise your vision for a successful Advanced Energy Technology Platform research programme</li> <li>&gt; Tell a compelling story about the research and science underpinning it and the impact it could have</li> <li>&gt; Be structured around the assessment criteria and refer to the investment goals.</li> </ul> <p>This is your opportunity to introduce assessors to your research, the potential impact(s) of that research and your methodology.</p> <p>Your summary should not:</p> <ul style="list-style-type: none"> <li>&gt; Introduce material that is not already present in the proposal, nor</li> <li>&gt; Include references, hyperlinks, images, video, or audio files.</li> </ul>	500 words
<b>*Strategic Intent</b>	<p>Outline the vision and strategic direction for the programme. Include:</p> <ul style="list-style-type: none"> <li>&gt; A clear outline of the research vision and direction for the duration of the research programme</li> <li>&gt; Explain what has influenced this strategic direction and how research into, and the development of, advanced energy technology will help achieve the vision</li> <li>&gt; An outline of how the programme aligns with the Government's energy technology investment goals and wider energy strategy.</li> </ul>	500 words
<b>*Public Statement</b>	<p>Provide a short summary of the proposal for public release. Include:</p> <ul style="list-style-type: none"> <li>&gt; What the proposal is planning to do,</li> <li>&gt; Why it is being done,</li> <li>&gt; When it will be done, and</li> <li>&gt; By whom.</li> </ul> <p>Do not include any confidential information.</p>	300 words

PROPOSAL TEMPLATE			
<i>This is a guide and is not intended to constrain the information you provide. An * indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.</i>			<b>WORD LIMIT</b>
CRITERIA			
<b>Excellence</b>	<b>*Excellence</b>	Describe the excellence of your research programme by outlining: <ul style="list-style-type: none"> <li>&gt; How the anticipated advanced energy technology issue(s) or challenge(s) you are aiming to address will deliver against the Government’s investment goals and vision</li> <li>&gt; How your research will create additionality which would not happen without this investment</li> <li>&gt; Your high level approach (methodology) and how this will enable the delivery of the research aims</li> <li>&gt; How your approaches or ideas are innovative or novel and identify areas which are potentially cutting edge, dynamic or paradigm shifting</li> <li>&gt; How your research is positioned in the domestic and international research landscape</li> <li>&gt; How you will maintain agility to adapt and incorporate new ideas</li> <li>&gt; How you will communicate and share your research</li> <li>&gt; How you will explore indigenous knowledge, science and innovation, if relevant, to enhance the excellence of your research, and</li> <li>&gt; The technical risks to deliver the excellent science and how these will be managed.</li> </ul>	<i>2000 words</i>
	<b>*Team Excellence</b>	Describe the excellence of your team by telling us: <ul style="list-style-type: none"> <li>&gt; What skills and knowledge the team has to deliver the proposed activities including how you will engage any necessary expertise not currently available</li> <li>&gt; Who in the team will provide leadership, and how their expertise and experience will enable the team to deliver the research and achieve the Government’s investment goals</li> <li>&gt; Any relevant collaborations or partnerships the team has with domestic or international researchers and how this will support research excellence</li> <li>&gt; Any relevant partnerships that will engage Māori in planning, conducting or implementing the research</li> <li>&gt; How you will ensure the team has the necessary skills, knowledge and resources over the life of the research programme, including succession planning</li> <li>&gt; Your ability to manage and use technology in a trusted and ethical manner, with accountability and transparency, in accordance with any relevant requirements, and including in the context of international research collaborations, and</li> <li>&gt; Your ability to provide project management to identify and meet performance measures to deliver your research programme on time and within budget.</li> </ul>	<i>1000 words</i>

PROPOSAL TEMPLATE		
<i>This is a guide and is not intended to constrain the information you provide. An * indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.</i>		<b>WORD LIMIT</b>
<b>*Impact</b>	<p>Detail your implementation pathway and how it will deliver public benefit to New Zealand. Tell us:</p> <ul style="list-style-type: none"> <li>&gt; How you will deliver future-focused research to create or facilitate disruptive technologies for New Zealand and the global market</li> <li>&gt; How you will show strategic use of existing or new capability and research in New Zealand to create new opportunities to contribute to national and global efforts to reduce greenhouse gas emissions</li> <li>&gt; How you will develop advanced and innovative energy technology that will help solve key challenges for New Zealand and global markets, in line with the Government's investment goals</li> <li>&gt; Why this research should be done in New Zealand</li> <li>&gt; If relevant, how the research addresses the Vision Mātauranga Policy themes</li> <li>&gt; How you will support a pipeline of research with effective pathways to impact both in and beyond the area of research</li> <li>&gt; The risks to deliver impact and how these will be managed, and</li> <li>&gt; Any additional benefits your approach will make possible.</li> </ul>	2000 words
<b>*Investing in People</b>	<p>Detail how your research programme will successfully develop capability in New Zealand's advanced energy technology research community. Tell us:</p> <ul style="list-style-type: none"> <li>&gt; How you will leverage collaboration to grow capability across disciplinary boundaries</li> <li>&gt; How you will attract top researchers and support emerging researchers, PhDs and post-doctorates</li> <li>&gt; How you will develop deep excellence and world class academic leadership in advanced energy technology</li> <li>&gt; How you will build Māori capability in energy science</li> <li>&gt; How you will grow advanced energy technology capability in New Zealand</li> <li>&gt; How you will grow capability that can translate ideas and outcomes across the academic-industry boundary in New Zealand</li> <li>&gt; How you will support diversity in the science system, in line with MBIE's diversity in science statement, and</li> <li>&gt; The risks to developing capability and how these will be managed.</li> </ul>	2000 words
<b>*Domestic and International Collaboration</b>	<p>Detail how your research programme will leverage collaboration to achieve the Government's investment goals. Tell us:</p> <ul style="list-style-type: none"> <li>&gt; How the research aligns with international research programmes and efforts in the advancement of clean and/or advanced energy technology</li> <li>&gt; How you will foster and grow national and international collaborations and connections among energy science researchers. For example, international co-supervisors for PhD students, postdocs visit(s) to international labs, or bringing international researchers to New Zealand</li> <li>&gt; How your research programme will develop enduring and strategic collaborations with end users to deliver the research and achieve the investment goals</li> <li>&gt; If relevant, how are you developing collaborations with Māori</li> <li>&gt; How your research programme will draw on a range of industry, science and government expertise to enhance the relevance of the research</li> <li>&gt; How you will plan and manage collaborations to bring complementary resources to the research programme and build a connected research team. Indicate clearly the resources you have in-house, and those (e.g., financial, infrastructure, and/or expertise) your collaborators will bring to the programme, and</li> <li>&gt; The risks you have identified in relation to collaboration and how these will be managed.</li> </ul>	2000 words

## PROPOSAL TEMPLATE

*This is a guide and is not intended to constrain the information you provide. An \* indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.*

**WORD LIMIT**

<b>*Vision Mātauranga</b>	<p>Summarise whether and how Vision Mātauranga is relevant to the proposal, with reference to the four research themes of the Vision Mātauranga Policy and the investment goals.</p> <p>If Vision Mātauranga is not relevant, detail the rationale that substantiates that position.</p> <hr/> <p>See also <i>Appendix 2: Strengthening Your Approach to Vision Mātauranga</i> on page 31.</p>	500 words
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## PROGRAMME DETAILS

<b>*Work programme</b>	<p>The work programme sets out the proposed work to be carried out over the term of the research programme. It will show how well you have planned your research programme and is used by us to monitor the achievement of your deliverables.</p> <p>In <b>one</b> impact statement, your work programme should reflect the key elements and stages of the project, their sequencing and timing. This statement is a description of the high-level impacts or outcomes the work programme and must include:</p> <ul style="list-style-type: none"> <li>&gt; A descriptive title</li> <li>&gt; A detailed description</li> <li>&gt; The start and end dates.</li> </ul>	500 words
<b>*Programme Funding</b>	<p>Confirm/update the total funding (excluding GST) that you are requesting from MBIE across the 7 funding year period.</p>	
<b>*Horizons and Co-funding</b>	<p>Tell us:</p> <ul style="list-style-type: none"> <li>&gt; How you will support a pipeline of research so that new ideas can be developed and applied to solve problems.</li> <li>&gt; The research horizon(s) your research addresses and how this might change over the term of the investment</li> <li>&gt; How you will distribute your research effort across the SSIF horizons to generate new ideas, develop emerging ideas, or leverage proven ideas. For more, see the <a href="#">Strategic Science Investment Fund Investment Plan, page 17</a></li> <li>&gt; The portion of the research that will be directed to future-focussed research and disruptive technology development that will create future opportunities for new and existing industries.</li> </ul> <hr/> <p><b>*Co-funding</b> If your research programme will be co-funded, tell us how that co-funding will apply to each year of funding. During or before contracting a proposal, we may request evidence of the indicated level of co-funding.</p> <p>If no co-funding applies state this.</p> <p>There are two types of co-funding: cash and in-kind.</p> <ul style="list-style-type: none"> <li>&gt; <b>Cash</b> co-funding is cash received from another organisation that contributes directly to your proposal. It does not include funding you may receive after the end date of the research. It must be genuine cash funding for the proposed research. It is not funding from which an income is derived or that can be returned to the funder.</li> </ul>	300 words

## PROPOSAL TEMPLATE

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**WORD LIMIT**

- > **In-kind** co-funding is a non-cash contribution that will assist you to achieve the proposal's goals. It may include, e.g., the use of equipment, staff time, or access to data. The cash value of in-kind co-funding should be estimated using either the usual cost of the good or service as advised by the provider or, if the item is not generally traded, your estimate of the out-of-pocket costs sustained by the provider in making the good or service available to you.

**Sub-contracting** Funding for sub-contracting is the amount you plan to spend on work done by other organisations in order to complete your proposed research.

If applicable, for each year of funding, tell us about any sub-contractors that will be involved.

For each sub-contracting organisation provide:

- > the name of the sub-contracting organisation, and
- > the amount provided per year (excluding GST).

**\*Indicative Budget** For each year of your research programme, provide a budget using the following headings:

- > Personnel cost
- > Materials and consumables
- > Overheads
- > Sub-contracting (*if applicable*)
- > Publications
- > Travel
- > Co-funding (*if applicable*)

Funding does not allow for annual inflation adjustments over the term of the contract. Total income must equal expenditure and all values should exclude GST.

**Proposed Partner Organisation** List all your Partner organisations.

**\*Key Performance Indicators** Using the sample table that follows, provide up to **six** indicative KPIs 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 research programme will lead to delivery of impact through excellent science and building of advanced energy technology capability, and
- > Be measures that can track progress over time.

We will work with successful applicants to develop an outcomes and impacts framework and negotiate final KPIs for their research programme at the contracting stage.

250 words

## PROPOSAL TEMPLATE

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WORD LIMIT

### Sample KPI Table

Performance Area	Measure	Target	Date
e.g., Strategic Intent			
e.g., Science Excellence			
e.g., Impact			
e.g., Domestic and International Collaboration			
e.g., Investing in People			
e.g., Horizons and Co-funding			
e.g., Vision Mātauranga			

## PROGRAMME TEAM

### \*Team Members

Using the sample team table that follows, update/expand on the team information detailed at Registration. List the key personnel that will be involved in each year of funding and provide supporting CVs.

MBIE will not fund individuals employed by local or central government but may fund costs associated with their involvement other than salary.

CVs should conform to the [RS&T CV format](#).

#### Key personnel

- > **\*Science Leader:** the researcher(s) responsible for leading science/research; typically this is the Programme Director.
- > **\*Key Researcher(s):** team members involved in the research, whose expertise is critical to the success of your research programme. They may be from a contracted organisation, a sub-contracted agency, or a stakeholder who is providing cash or in-kind co-funding of the research. At least one key researcher must be named.
- > **Key Individual(s):** team members who are not researchers but whose contribution is critical to the success of your research programme, e.g., implementation.
- > **Other(s):** remaining research team members not listed elsewhere.

### Sample Team Table

Role	Full Name	CV	Minimum FTE	Email Address	Invited to register for and/or enter ORCID iDs	Invited to register and enter Diversity data
<b>*Science leader</b>	<i>Mandatory</i>	<i>Mandatory</i>	<i>0.15</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>*Key researcher</b>	<i>Mandatory</i>	<i>Mandatory</i>	<i>0.15</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>Key individual</b>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Not Required</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>Other</b>	<i>Optional</i>	<i>Not required</i>	<i>Not Required</i>	<i>Not Required</i>	<i>Not Required</i>	<i>Not Required</i>

<sup>1</sup>As part of MBIE's diversity policy, these roles will be invited to register separately in the IMS Portal and enter their diversity data as part of their profile. You can trigger these registration invitations to be sent to your team members when entering your research programme's team information. Once they register, your team members will receive an email with information on how to then enter and manage their profile. For more information on the collection of diversity information, see our [IMS portal webpage](#).

PROPOSAL TEMPLATE		
<i>This is a guide and is not intended to constrain the information you provide. An * indicates mandatory information. Once prepared, the IMS portal will guide you through how to enter and submit your proposal.</i>		<b>WORD LIMIT</b>
RESEARCH CLASSIFICATIONS		
<b>*Research Classifications</b>	<p>Specify up to 3 research themes for both:</p> <ul style="list-style-type: none"> <li>&gt; <b>Socio-Economic Objective (SEO) ANZSRC codes</b></li> <li>&gt; <b>Field of Research (FOR) ANZSRC codes.</b></li> </ul> <p>For each code allocate a relevance percentage totalling 100% for SEO and FOR respectively.</p>	
ADDITIONAL INFORMATION		
<b>*Intellectual Property Management</b>	<p>Outline:</p> <ul style="list-style-type: none"> <li>&gt; How you will identify, protect and share any intellectual property generated by your research programme in accordance with the investment goals and to ensure maximum benefit to New Zealand. This includes management of IP between collaborators.</li> <li>&gt; If the success of your research programme is dependent on access to existing intellectual property, outline the agreements you have in place to use it.</li> <li>&gt; How your research programme will comply with the New Zealand Government's Data Requirements (<i>see page 8</i>).</li> </ul>	<i>500 words</i>
<b>*Risk Management Plan</b>	<p>Outline your risk management plan, including:</p> <ul style="list-style-type: none"> <li>&gt; data management</li> <li>&gt; technology</li> <li>&gt; key personnel</li> <li>&gt; identification of duplication of research – internationally and domestically.</li> </ul> <p>Cross reference other sections of the proposal if and where relevant.</p>	<i>250 words</i>
<b>Other Information</b>	<p>Provide any relevant information that directly supports your funding proposal, e.g., a Memorandum of Understanding or other contractual arrangements with Partner organisation(s).</p> <hr/> <p>We may require successful applicants to provide supporting information prior to contracting.</p>	<i>250 words</i>
<b>Conflicts of Interest</b>	<p>Declare any potential conflict of interest and say why. This may include possible conflicts with assessors, a part of MBIE, or both.</p> <p>The list of assessors will be published on our <a href="#">Advanced Energy Technology Platform webpages</a>.</p>	<i>250 words</i>



# Registering and Submitting Proposals

Applying for Advanced Energy Technology Platform funding comprises two phases and is performed in MBIE's Investment Management System (IMS) – a secure online portal.

IN THE IMS PORTAL YOU NEED TO:	SUBMISSION PERIOD	
	FROM	UNTIL 12 NOON WEDNESDAY
1. Register your intent to apply	20 November 2019	18 December 2019
2. Submit a proposal	20 November 2019	11 March 2020

These dates are subject to change. Any change will be notified via an [Alert](#) email.

A proposal is considered submitted if it has a status of **Submitted to IMS** in the IMS portal. If your proposal is being submitted by a university or a Crown Research Institute, see your Research Office for additional submission advice.

## Accessing MBIE's IMS Portal

### ■ To log in to the IMS portal:

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

For all IMS portal queries, e-mail or call:

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

#### For first time users:

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

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

#### For existing users:

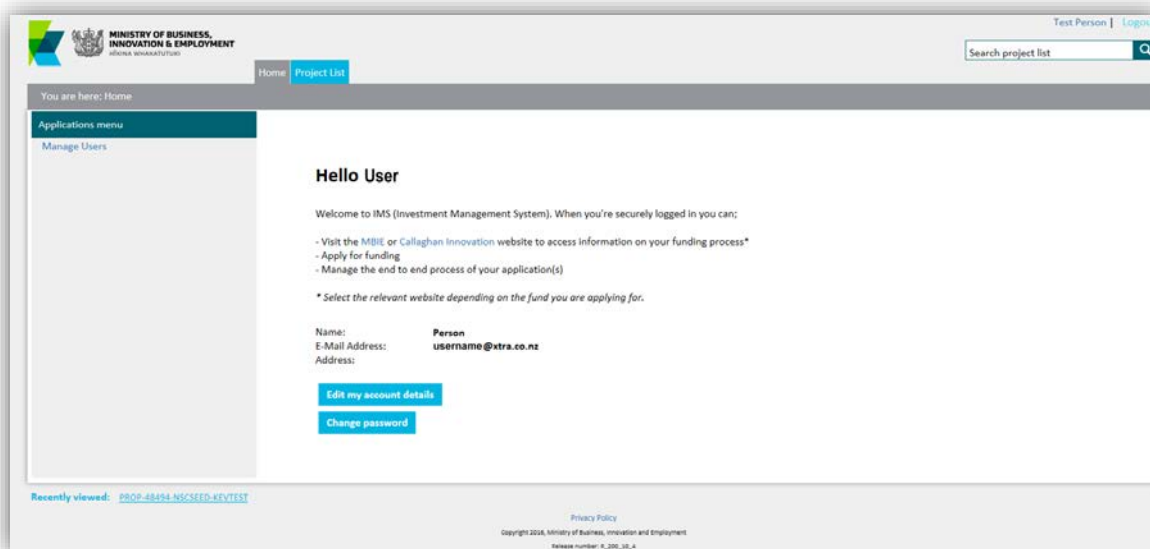
For returning applicants, log in using your existing username and password. If you've forgotten this, use the **I've forgotten my password** option.

1. Click the **MBIE IMS Portal** link ([ims.msi.govt.nz/](https://ims.msi.govt.nz/)).
2. Type your Username and Password.
3. Click the **Login Securely** button. The Portal's **Home** screen displays.

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

# 22

## Navigating the IMS Portal



The IMS portal **Home** screen

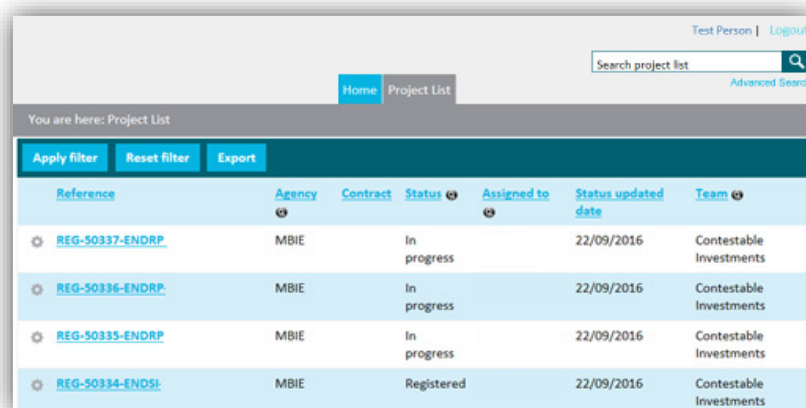
From the **Home** screen of IMS portal you can:

- > Manage access to the portal for your organisation’s personnel.
- > Maintain your personal details, including your portal password.
- > Access your **Project List** (containing the funding applications for your organisation).

### Customising your View

The **Home** screen’s **Project List** tab lists the funding applications submitted by your organisation. Here you open and view the details of all applications and contracts to which you have access.

You can filter and sort this list to view only those of interest, and customise the columns to show only the information required.



You can also determine the number of applications that display on each screen using the **Display** field (located bottom left of the screen).

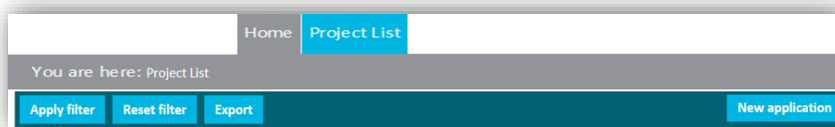
You will only see information to which you have permission.

## Registering/Submitting a Proposal

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

### ■ To register/submit a proposal in the IMS portal:

1. On 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 **SSIF Advanced Energy Technology Platform** from the **Investment Process** field.
4. Select the appropriate phase; **Registration** or **Proposal**.
5. If you are:
  - > **registering**, enter a title for your application.
  - > **submitting a proposal**, click the **Reference** button for the relevant Registration.

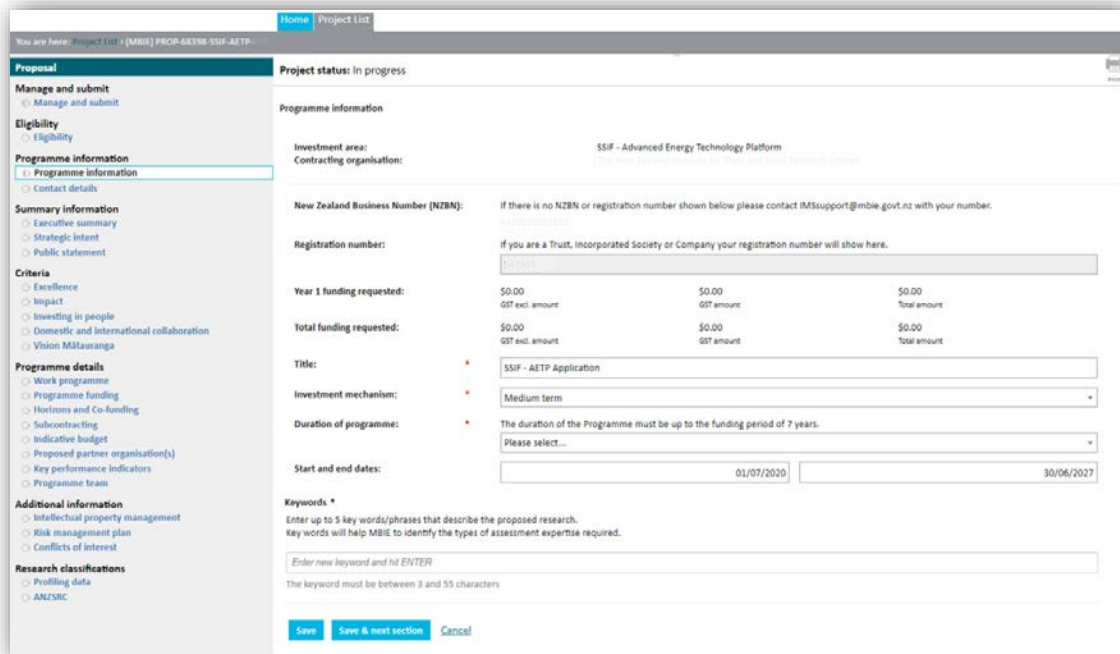
This action automatically:

- > links the proposal to a Registration
- > populates key fields with information entered during the Registration phase. You can then edit this information as required. It is **important to note** that any changes you make will not alter information already entered at the Registration phase.

6. Click the **Create** button. The first section you need to complete displays.
7. The IMS portal will guide you through the completion of the required fields and the uploading of all required documentation.

You will be required to confirm the NZBN or the Registration number of the applicant organisation. This should field auto populate with correct number. If the field is blank or incorrect, contact [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz).

We recommend that you familiarise yourself with the portal well before the deadline. When complete, click the **Save & next section** button to move to the next section.



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

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

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

Mandatory fields are marked with an asterisk \*.

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

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

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

THE SYMBOL...	INDICATES THE SECTION...
	has not started.
	is in progress.
	contains invalid or incomplete fields.
	is complete and valid.

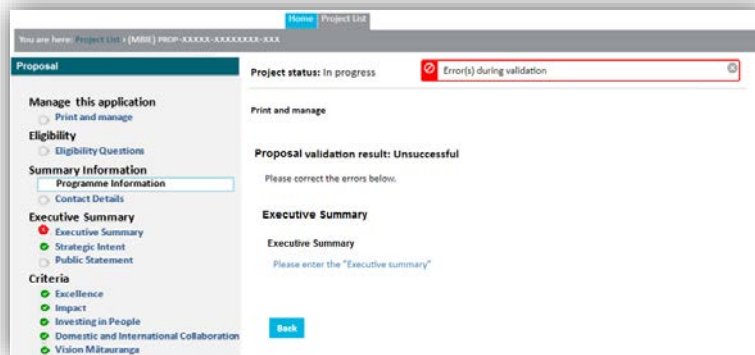
The sections to complete are listed in the left hand navigation panel. You can click these to access the section directly or move through the sections sequentially by completing them and clicking the **Save & next** section button.

A warning will display if you attempt to leave the current section without saving your information. Choose to either:

- > **Leave this Page** to exit the section without saving (*all changes made during that session be lost*), or
- > return to the section and either continue to add information or click the **Save & next section** button.

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


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




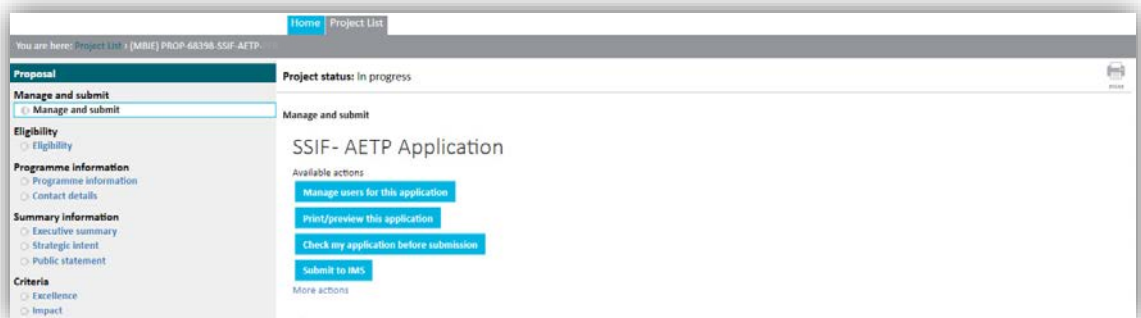
If the validation is successful, every section in the navigation panel is marked with the symbol



If errors and/or incomplete fields are detected, you will see:

- > light blue error message hyperlinks in the **Proposal validation result** section.
- > a  beside the relevant sections.

10. Click the first error message to open the section, make the required corrections/additions and then click the **Save** button.
11. If applicable, repeat for other sections marked with .
12. When all errors have been corrected and/or any missing information added, click the **Manage and submit** link then click the **Check my application before submission** button again.
13. On achieving a successful validation:



- > If you are completing a Registration, click the **Register interest** button.
- > If you are submitting a Proposal, click the **Submit to QA** button (*Users*) or the **Submit to IMS** button (*Super Users*).

14. Read and accept the declaration.

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

# 26

## Administering Applications

### Checking the Progress of your Application

Three key features in the IMS portal enable you to quickly see where you are at in the application process.

1. The status of your current application.
2. The completeness of your application (*see page 24*).
3. The number of days until the submission is due.

#### CHECKING THE STATUS OF YOUR APPLICATION

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

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

#### CHECKING WHEN YOUR APPLICATION IS DUE

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

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

### Withdrawing an Application

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

#### ■ To withdraw an un-submitted application:

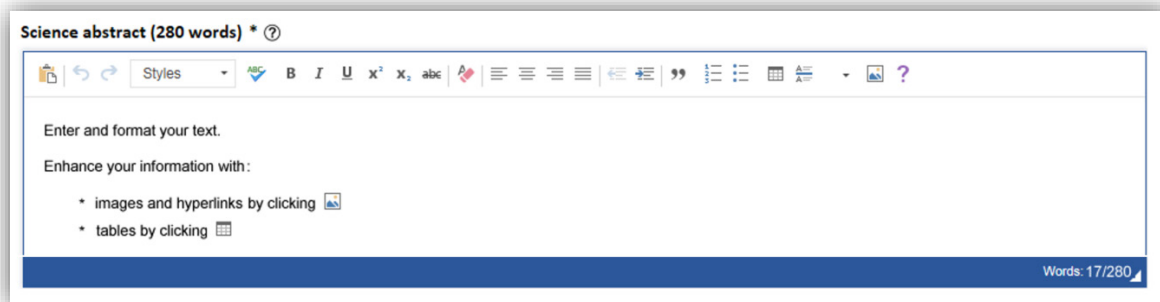
1. Locate and open the application.
2. Click the **more actions** link.
3. Click the **Make not progressing** button.

#### ■ To withdraw a submitted application, contact the Investment Operations team.

## IMS Portal Tips

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

### Formatting Text, and Adding Images and Hyperlinks



Use the text panel toolbar to format your information and if applicable add images, hyperlinks and/or tables. Adhere to the word limits specified. This limit includes words in a table and references/citations. It does not include images. To help you there is an automatic word count tracker at the bottom right hand corner of every text panel.

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

### Entering Australian and New Zealand Standard Research Classification (ANZSRC) Codes

ANZSRC codes are categorised under two research classifications; **Field of Research** and **Socio-Economic Objectives**. Under each classification, **up to three** ANZSRC codes must be specified in your Proposal.

#### ■ To enter an ANZSRC code:

1. Click a 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.

Code	%	
010202 Biological Mathematics	100	Update Remove
010204 Combinatorics and Discrete Mathematics (excl. Physical Combinatorics)	50	Update Remove
	150 %	

## 28

### Updating your Details


From the **Home** screen of the IMS portal, you can maintain your details held in the portal as and when required.

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

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

- **To change your password, click the **Change password** button on the **Home** tab.**

### Maintaining Contact Details

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

- **To locate:**

1. Enter the person's name and click the **Search** button.
2. Locate them in the list and click the **Use** button.

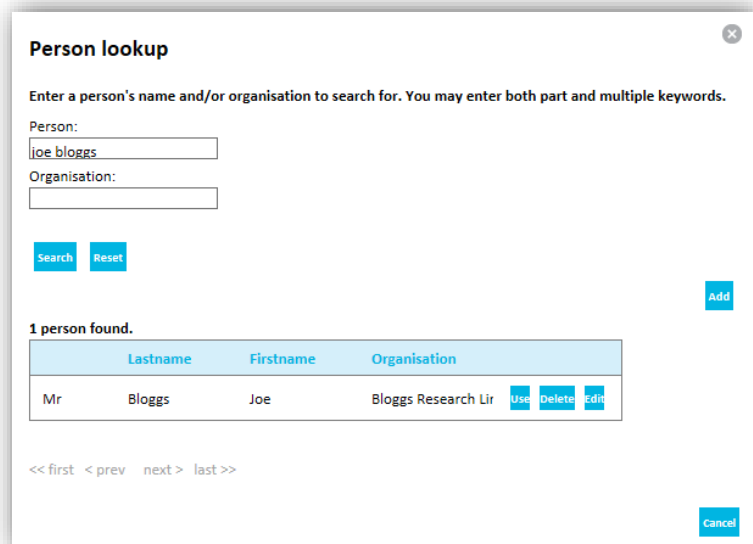
- **To add:**

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

---

The phone number and email address is mandatory.

---



**Person lookup**

Enter a person's name and/or organisation to search for. You may enter both part and multiple keywords.

Person:

Organisation:

**Search** **Reset**

**1 person found.**

Lastname	Firstname	Organisation
Mr	Bloggs	Joe Bloggs Research Lir

<< first < prev next > last >>

**Use** **Delete** **Edit**

**Cancel**

- **To modify:**

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

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



# Appendix 1: Terms and Conditions Relating to this Call for Proposals

You must submit your Advanced Energy Technology Platform funding application on or before the dates detailed below or as notified through an [Alert](#) email.

IN THE IMS PORTAL YOU NEED TO:	SUBMISSION PERIOD	
	FROM	UNTIL 12 NOON WEDNESDAY
1. Register your intent to apply	20 November 2019	18 December 2019
2. Submit a proposal	20 November 2019	11 March 2020

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

## 1. General

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

## 2. Investigations and reliance on information

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

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

## 3. Reliance by applicants

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

## 4. Reliance by MBIE

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

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

## 5. Inducements

5.1 You must not directly or indirectly provide any form of inducement or reward to any assessor, officer, employee, advisor, or other representative of MBIE in connection with this Call for Proposals.

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

## 6. Ownership and intellectual property

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

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

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

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

## 7. Confidentiality

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

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

7.3 You acknowledge that MBIE's obligations under paragraph 7.1 are subject to requirements imposed by the Official Information Act 1982 (OIA), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. Where MBIE receives an OIA request that relates to your Confidential Information, MBIE will consult with you and may ask you to explain why the information is considered by you to be confidential or commercially sensitive.

## 8. The Proposal process

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

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

## 9. No contractual obligations created

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

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

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

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

## 10. No process contract

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

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

## 11. Exclusion of liability

11.1 Neither MBIE nor any assessment panel members, officers, employees, advisers or other representatives will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by you, your affiliates or any other person in connection with the this Call for Proposals process, including without limitation:

- › the assessment process
- › the preparation of any Proposal
- › any investigations of or by any applicant
- › concluding any contract
- › the acceptance or rejection of any Proposal
- › the suspension or cancellation of the process contemplated in this Call for Proposals, or
- › any information given or not given to any applicant(s).

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

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

## 12. Costs and expenses

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

## 13. Governing law and jurisdiction

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

## 14. Public statements

14.1 MBIE may make public the following information:

- › the title of the Proposal
- › the names of research programme team members
- › the public statement given by the research programme team when applying for funding
- › the total amount of funding and the period of time for which funding has been approved
- › the sector to which the research relates.

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

## Appendix 2:

# Strengthening Your Approach to Vision Mātauranga

This guidance is to help you consider Vision Mātauranga when you develop your proposal.

Through the [Vision Mātauranga policy](#), we encourage appropriate and distinctive research arising from the interface between Māori knowledge and science, to deliver effective and innovative products, services and outcomes for Māori and all New Zealand.

Vision Mātauranga comes alive when the following principles guide proposals that involve Māori:

<i>Partnership</i>	- genuine partnership with Māori, integrated through the programme
<i>Reciprocity</i>	- co-development and contribution each way, sharing of benefits
<i>Empowering Māori</i>	- active roles and responsibilities for Māori, contributing to Māori capability
<i>Creativity</i>	- the generation of distinctive research arising from and responding to Māori.

Your proposal should show how you have responded to opportunities presented by relevant Māori knowledge, resources or people. This could include:

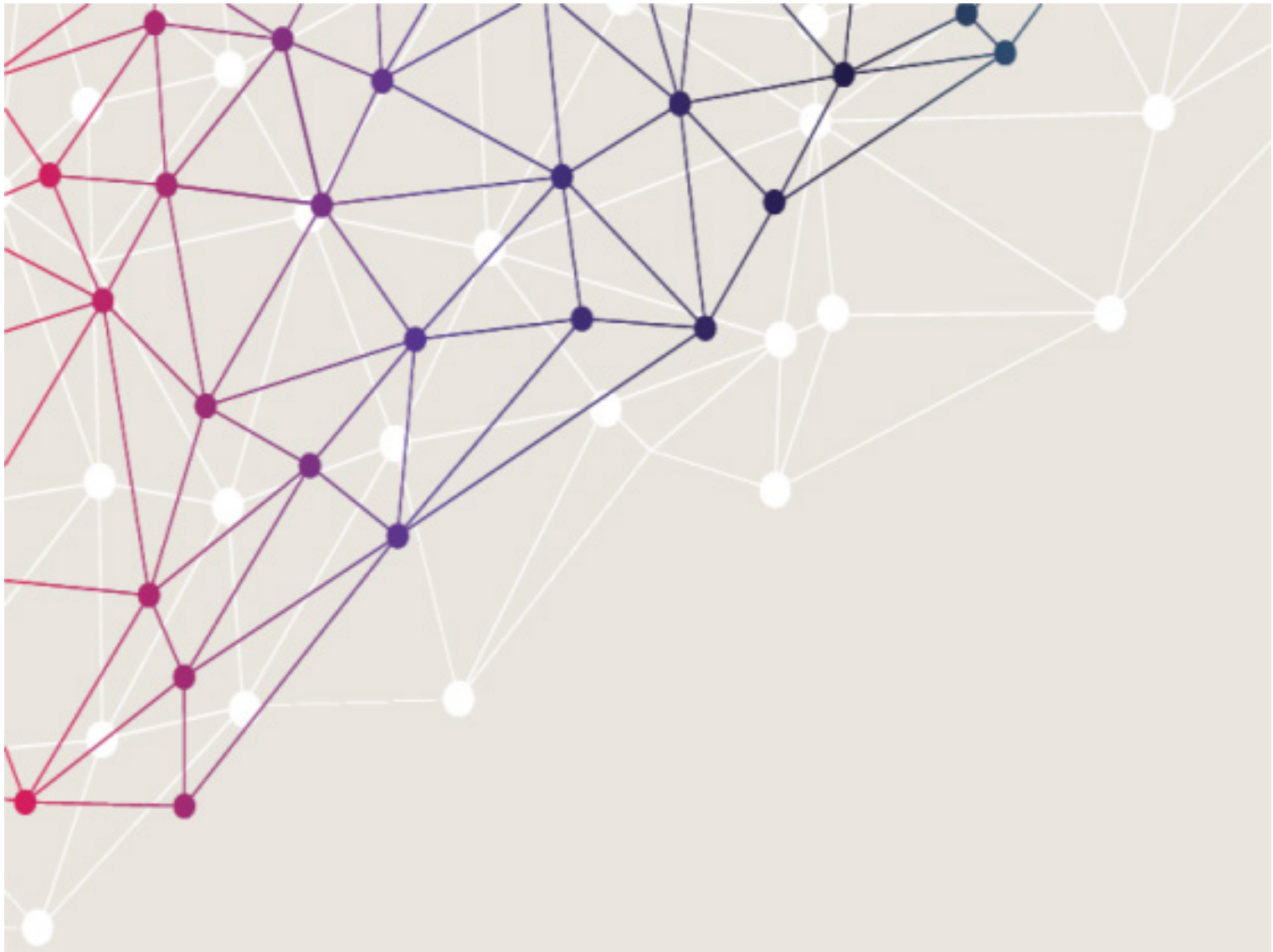
- > the steps you have taken to identify research opportunities relevant to Māori interests
- > how particular Māori interests will be involved, and how you propose to respond to the distinctive issues and needs of those Māori interests
- > how contributions or innovations drawn from Māori are integrated in the proposal
- > which of the four Vision Mātauranga outcome benefits outlined in the Endeavour Fund Investment Plan 2019-2021 you propose to address and how.

We would rather see Vision Mātauranga embedded in proposals rather than added in through retrofitting or by writing one golden paragraph. Please consider if you have provided sufficient information to show how your proposal:

- > analyses Māori needs, opportunities or resources
- > responds to values, histories, relationships, rights, and aspirations held by Māori interests
- > outlines where and why your research is taking a generic approach, a Māori-centric approach, kaupapa Māori research approach, or a mix across the proposal
- > incorporates authentic Māori voices and expertise relevant to the design of the proposal, especially if it includes kaupapa Māori research
- > details agreed engagement methods or principles specific to the proposal, especially if you are proposing work at the interface between knowledge systems
- > details specific and agreed Māori roles and responsibilities. These could include Māori as: researchers, funders, knowledge contributors, participants, end users, partners, leaders, advisors, or governance members
- > support other specific commitments between your team and Māori, e.g., decision-making, ownership of IP, appropriate use of Māori characterisation, implementation, contribution to the interface between knowledge systems
- > how the above is being resourced and supported.

Keep in mind that people with expertise in Vision Mātauranga and related research methodologies are often called upon for many applications across multiple research areas, and this can take their time away from other Māori development opportunities. Early and authentic engagement, and following the principles above, will help applicants and Māori organisations manage their use of such expertise.

If you think Vision Mātauranga is not relevant to your research, you should test this assumption with independent advisors with relevant strategic Vision Mātauranga experience. You will need to provide evidence to explain why you consider Vision Mātauranga is not applicable.



**MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT**  
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