# He Tipu Ka Hua Implementation Plan Template 2023

### Implementation Plan Completion and Submission Requirements

* Use this template to complete your Implementation Plan. Please copy content from this template into MBIE’s Investment Management System, Pītau.
* Information on how to access Pītau will be emailed to you along with this template.
* You can use sub-headings, pictures, graphs, and hyperlinks.
* Submit your Implementation Plan before 12 noon, 28 February 2024.
* For help or guidance with submitting your Implementation Plan please email: [eivm@mbie.govt.nz](mailto:eivm@mbie.govt.nz).

By submitting an implementation plan to MBIE, you are agreeing to [MBIE’s funding policies, terms and conditions](#_MBIE’s_funding_policies,).

You are responsible for ensuring that all parties cited in your plan have:

* confirmed their personal details and the nature and level of their involvement in the work described in the proposal is correct
* read and accepted the terms and conditions of submitting a proposal and the information we may make public.

## Implementation Plan Template

### Section 1: Key Information

|  |
| --- |
| * 1. **Full title**   **In 12 words or less, provide the title of your research programme.**  **Do not include acronyms or abbreviations.**  **Enter your answer here...** |
| * 1. **Duration of Project**   Tell us the start and end date of your project.  Note that the start date must be on or after 1 July 2024. The end date can be up to five years after start date.  Enter your answer here... |
| * 1. **Total funding requested**   This information is automatically populated from the Funding Requested under the Financial Information section. |
| * 1. **Contact Details**   Using the following table, provide the name, email address and telephone number of the contact people for your **application** and **contract**. These will be the contacts that will receive any notifications.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Role** | **Name** | **Organisation** | **Email address** | **Phone Number** | | **Application Administrator** |  |  |  |  | | **Contract Administrator** |  |  |  |  | |

### Section 2: Reconfirm Eligibility

|  |
| --- |
| * 1. ****Eligibility****   This section is to reconfirm your eligibility. This section was completed at stage 1. We ask that you read these criteria again and reconfirm that you meet all the eligibility criteria below for your proposal to be assessed. Applicants who don’t meet these criteria will be declined funding on eligibility grounds.  Applications must be made by a New Zealand based legal entity that is a Māori organisation. A Māori organisation is defined as an organisation that identifies itself as Māori and uses (or wishes to use) research, science and technology or related activities.  Organisations must provide evidence of sufficient capacity and capability to implement and manage significant research activity. MBIE will look for evidence of an organisational size appropriate for the project, management capability and/or experience managing large scale projects. Such entities may be representative of iwi, hapū, and marae or be other bodies that are not defined by whakapapa.  Individuals are not eligible to apply.  New Zealand Government departments (as defined in Schedule 2 of the Public Service Act 2020) are not eligible to apply for funding.  Wānanga established under the Education and Training Act 2021 are eligible to apply. All other Crown entities including universities and CRIs are not eligible to apply for funding.  Wholly owned subsidiaries of Crown entities are not eligible to apply for funding.  The terms and conditions of the Fund's funding agreement will apply to the provision of funding agreed between the contracting organisation and us. By submitting a proposal, applicants are agreeing to the terms and conditions of the Funding Agreement.  Your proposal must not benefit a Russian state institution (including but not limited to support for Russian military or security activity) or an organisation outside government that may be perceived as contributing to the war effort.  Your proposal must not be for activities already funded by any government agency.  Applications must be made in our Investment Management System (Pītau) within the application deadline, and comply with all formatting, content or other administrative requirements set out in this funding opportunity.  Does your application meet all these criteria? Yes/ No |

### Section 3: Public Statement and Executive Statement

|  |
| --- |
| 3.1 **Public Statement**  In 500 words or less, provide us with a pre-prepared public statement that tells us about your project. We welcome public statements in te reo Māori. Please include:  the aims and outcomes of your project  how you will go about achieving these  what communities or other groups you will be working with  where the project is taking place  publishable contact details that can be used by the public and/or the media.  Please do not include confidential information, references, images, video, or audio files.  Enter your answer here... |
| 3.2 **Executive Summary**  In 500 words or less provide a summary of yourresearch programme.  If your public statement can also be used as an executive summary, then please copy and paste the statement here.  Enter your answer here... |

### Section 4: Excellence (50% weighting)

|  |
| --- |
| **4.1 Excellence: Māori-led**  In 1000 words or less, describe the role of Māori within the leadership and governance of your research programme. Some examples may include:  organisational structure  people management design  partnership arrangements  outlining individuals/groups involved in the planning and/or implementation of the project or programme  research leadership  project leadership.  Enter your answer here... |
| **4.2 Excellence: Capacity and capability**  In 1000 words or less, tell us about the skills, resources, and expertise required to deliver this research programme. Include:  what skills and knowledge the team has or needs to acquire to deliver the activities  contributions from external organisations providing skills or resource the project  management of project delivery, milestones, and financial planning  subcontracting arrangements for delivery.  Enter your answer here... |
| **4.3 Excellence: Priorities**  In 1000 words or less, expand on the challenges and opportunities you have identified in the Priorities section of your initial proposal (phase 1). Please tell us the key activities you will undertake to address them and include any support people or organisations that will be key delivery partners.  Enter your answer here... |
| **4.4 Excellence: Research methodology and design**  In 1000 words or less, tell us how your research programme embodies an appropriate, sound, research methodology and design that applies existing knowledge and generates new knowledge using research, science, and innovation, including mātauranga Māori. Include:  the range of methodological approaches you will use and your rationale for your choice of methods  your choice of study material(s), sites and/or subject(s); this may also include reasons for not choosing various options  how you will ensure mātauranga approaches are sound and ensure research is of high quality  how you will manage scientific risk, technical risk, novelty, and/or innovative approaches.  Enter your answer here... |

### Section 5: Impact (50% weighting)

|  |
| --- |
| 5.1 **Impact:** **Expanded capacity**  In 2000 words or less tell us how the research programme will expand the capacity of Māori communities and researchers to harness research, science, and innovation. Your answer should address, but not be limited to, the following points:  how you will communicate and share your research with Māori communities and other researchers  how you will build new networks, relationships in the community and with research, science, and innovation  how your project will develop the capability and skills of the individuals and communities involved  how you will enable opportunities for mātauranga Māori, Māori researchers and Māori-led research to deliver on Māori aspirations  any other information you would like to incorporate.  Enter your answer here... |
| 5.2 **Impact: Benefits**  In 2000 words or less tell us how the project will result in tangible benefits and positive impact for Māori communities and address key challenges or opportunities.  Your answer should address, but not be limited to, the following points:  what the proposed benefits are and how will you measure these benefits and results  how you will identify future opportunities  the expected long-term benefits after the end date of this research programme for example, 2 years, 5 years, and 10 years post contract.  You can also include how the project will result in Māori communities thriving and engaging with research, science, and innovation to deliver:  idea and knowledge generation, sharing and transfer  development of resilience and mana Motuhake.  Enter your answer here... |

### Section 6: Work programme (no word limit)

|  |
| --- |
| 6.1 **Work programme**  The work programme sets out the deliverables and tasks. It clearly shows key elements, project milestones including sequencing and timing. The work programme is used by us to monitor achievement of your project deliverables during the assessment of your progress and final reports.  The Deliverable is a description of the high-level impacts or outcomes of the work programme. You may want to structure your programme around major themes or research areas.  Tasks are measurable objectives, such as key steps, stages or milestones required to achieve the Deliverable. Tasks must be measurable, defined events, not levels of progress. They should have delivery dates throughout the term of the project rather than all being delivered on the end date of the research programme.  For each **Deliverable** within the work programme provide:  a descriptive title  a detailed description  one or more Tasks.  For each **Task** provide:  a descriptive title  a detailed description  the start and end dates  Enter your answer here... |

### Section 7: People and Resources

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 7.1 **Project Team**  Using the following table as a guide, detail the key personnel that will be involved and provide supporting CVs. Only include key personnel who are confirmed at the time you submit the Implementation Plan.  Provide Full Time Equivalents (FTEs) for each key personnel for each year of funding.   |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | **Role** | **Role required** | **Full Name** | **CV** | **FTE** | **Email address** | **Phone number** | **\*Diversity Required for submission of application** | | **Principal Investigator/**  **Programme Leader** | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | | **Key researcher** | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | *Yes* | | **Expert/Mentor** | *Optional* | *Yes* | *Not Required* | *Not Required* | *Yes* | *Yes* | *Not Required* | | **Student** | *Optional* | *Yes* | *Not Required* | *Not Required* | *Yes* | *Yes* | *Not Required* | | **Other** | *Optional* | *Yes* | *Not Required* | *Not Required* | *Yes* | *Yes* | *Not Required* |   \*If the named person is required to enter diversity information, they will be sent an invite by email. They must complete this before you can submit your application.  For more 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/) We will not fund salaries of individuals employed by local or central government but may fund other costs associated with their involvement.  Key personnel  Principal Investigator/Programme Leader (s): the researcher(s) or director(s) responsible for leading the research programme.  Key Researcher(s): team members involved in the research, whose expertise is necessary for the success of your research programme. At least one key researcher must be named.  Expert/Mentor(s): team members involved in the research programme or the wider network.  Other: a role that does not fit the above categories.  CVs must use either 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) |

### Section 8: Financial Information

|  |
| --- |
| 8.1 **Requested funding amount**  Enter the total amount of funding requested from us (excluding GST) for each project year. Up to $2,000,000 (excluding GST) is available per year over the full funding term.  Example: $2,000,000 per year (excluding GST) for a funding term of 5 years. |
| 8.2 **Subcontracting**  Funding for sub-contracting is the amount you plan to spend on work done by other organisations to complete and deliver your research programme.  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 country  the amount provided per year (excluding GST).  Enter your answer here…. |
| 8.3 **Expenses and estimated budget**  Provide an annual budget and a total for the term of the project (up to 5 years). The budget will show how the requested MBIE funding will be used to cover the costs of the research programme. If applicable, please use the following headings:  Equipment depreciation/rental  General Operating expenses  Other  Overheads  Personnel  Subcontracting (will auto populate from previous section)  The total budget needs to equal the total amount of funding you are seeking (over contract term) and all values exclude GST. Funding does not allow for annual inflation adjustments over the contract term.  Please include any rationale or assumptions underlying the proposed figures.  Enter your estimated budget for the full research programme here... |

### Section 9: Classifications

|  |
| --- |
| 9.1 **Research Classifications**  Specify **no more than two**:  Field of Research (FOR) ANZSRC codes  Socio-economic Objective (SEO) ANZSRC codes  For each code, specify a percentage of relevance totalling 100% under each category. The codes selected will be used to select Assessors for your Proposal.  An ANZSRC code is a standard classification that allows research and development activities to be categorised according to their intended purpose, outcome and/or discipline.  The ANZSRC classifications used by MBIE can be found in Statistics New Zealand’s classification management system Aria as follows:  [Field of Research 2020](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d3TYSTsmz2uc8CY1)  [Socio-Economic Objective 2020](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d1iJyaEzjWHJiRej)  [Type of Research Activity 2020](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/Wg615FKY3OhnyOzL) |

### 

### Section 10: Other information

|  |
| --- |
| 10.1 **Intellectual Property Management**  In 500 words or less describe:  how you will identify, protect, and share any intellectual property generated by the research  if the success of your research is dependent on access to existing intellectual property, the agreement you have in place to use it  if you are collaborating with other organisations, any intellectual property management plans in place.  Note that for the purposes of this implementation plan, intellectual property does not include mātauranga Māori.  Enter your answer here... |
| 10.2 **Special ethical and regulatory requirements**  In 500 words or less describe any ethical and regulatory requirements and approvals needed to complete and deliver your proposed research. If approvals have not yet been obtained, tell us how and when you expect to do so.  If no ethical or regulatory requirements apply to your proposed research, simply state “Not Applicable”.    Any costs associated with fulfilling these requirements should be included in your budget (as “Other expenditure”).  Enter your answer here... |
| 10.3 **Risk Management Plan**  In 500 words or less describe the major risks to the proposed work programme achieving the intended outcomes. Where possible, give an indication of the likelihood and significance of the risk and any mitigation strategies that will be implemented.  Enter your answer here... |
| 10.4 **Conflicts of interest**  Declare any conflicts of interest and whether they are a potential conflict of interest, perceived conflict of interest or an actual conflict. This includes possible conflicts of interest with assessors, an MBIE employee, or both. If you are unsure, please email us at [EIVM@mbie.govt.nz](mailto:EIVM@mbie.govt.nz) and we will assist you.  We will advise you of the Assessment Panel members by email before the submission date.  Declare any conflicts here... |

## MBIE’s funding policies, terms and conditions

By submitting an application, 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
* 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

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.

1. 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.

1. 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.

1. 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.

1. Inducements

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

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

1. Ownership and intellectual property

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

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

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

6.4 Intellectual Property Rights does not include mātauranga Māori.

6.5 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.

1. Confidentiality

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

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

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

1. 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.

1. 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.

1. 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.

1. 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 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.

1. Costs and expenses

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

1. 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.

1. Disclosure of information

14.1 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 public statements in the Progress report(s) and/or Final report) (if funded)
* The total amount of funding provided
* The contract number (if funded)
* The contract start and end dates (if funded)
* The contract status (if funded)
* ANZSRC information provided in your application (if funded).

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.