



# ENDEAVOUR FUND



## 2023 Investment Round Endeavour Fund Roadshow

### Presenters:

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Alan Coulson | Manager Contestable Investments

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# Mihi

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Ko te **tūmanako** he **āwhina** i roto nei  
**Nā mātou o Hīkina Whakatutuki ki a koutou**

*We hope this will be of assistance. From us at MBIE, to you.*



# Agenda

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- Introductions
- Science system update
- The Endeavour Fund
  - 2022 round wrap-up
  - 2023 round
- Decision-making processes
- Tips for applicants
- Questions (Use Q+A function, not chat)



# Science System update - Te Ara Paerangi

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- Strong message for transformative change
- Aspiration to grow the overall RSI system in line with the government commitment to substantially increase R&D investment
- RSI resources need to be more effectively directed towards the most important challenges and opportunities for Aotearoa
- Dedicated mechanisms to strengthen levers to direct funding
- White paper published at the end of 2022
  - High-level vision for the future RSI system, including key policy directions for reform



# Science Board

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- Independent body appointed by the Minister of Research, Science and Innovation
- Makes funding decisions for the Endeavour Fund
- Five new members in 2022



# Science Board members

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- ❖ Professor Aidan Byrne (Chair)
- ❖ Dr Liz Wedderburn
- ❖ Dr Jessica Hutchings
- ❖ Professor Charles Eason
- ❖ Ms Kirikowhai Mikaere
- ❖ Professor Nicholas Long
- ❖ Dr Laura Domigan
- ❖ Dr Sereana Naepi

<https://www.mbie.govt.nz/about/who-we-are/our-external-boards/our-science-board>

# What is the Endeavour Fund?

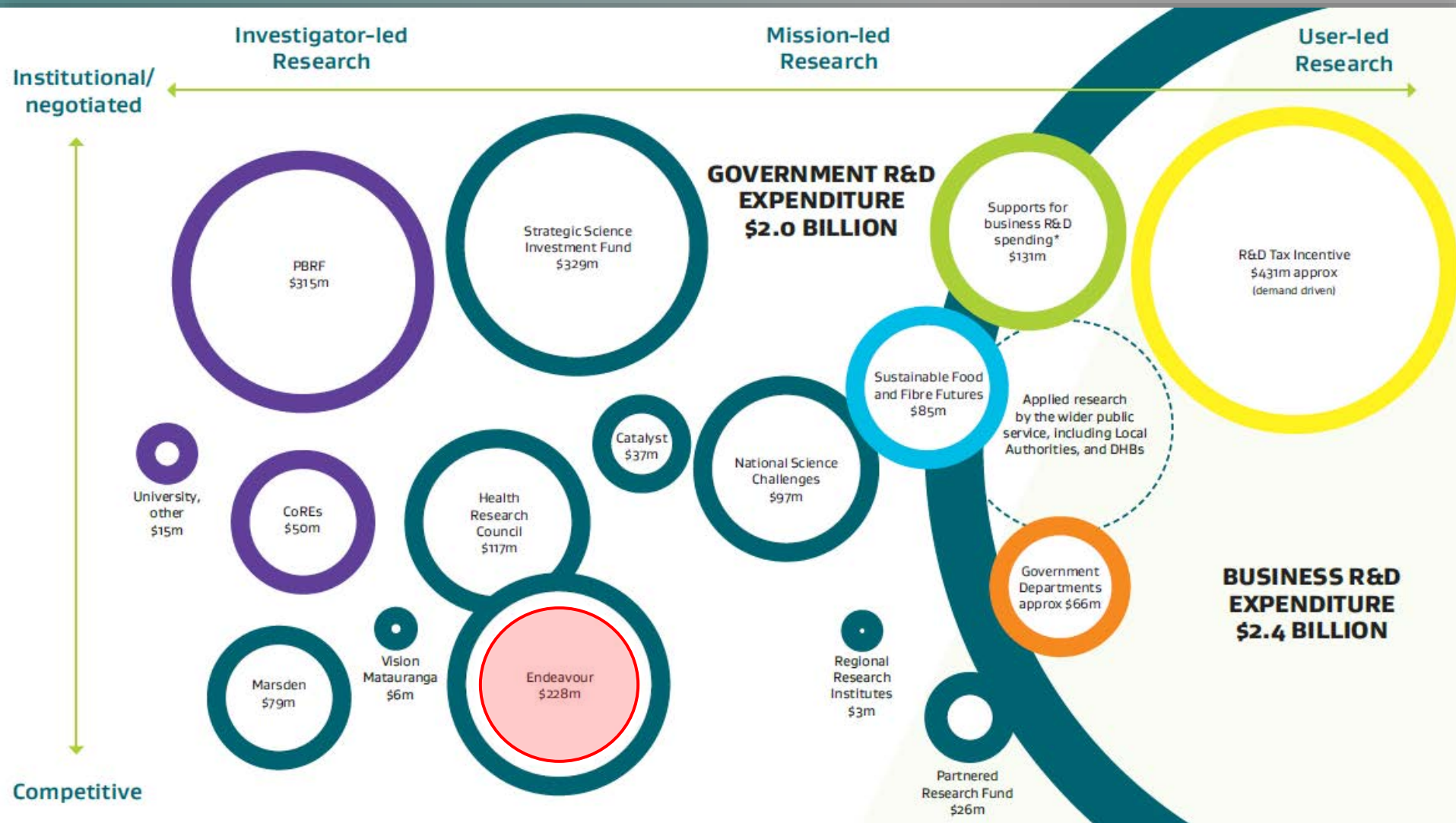
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**Purpose:** to support excellent research with the potential to **positively transform** New Zealand's economy, environment and society and give effect to the Vision Mātauranga policy





# Government investment context





# Funding Mechanisms

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**Smart Ideas** are smaller investments intended to catalyse and rapidly test promising, innovative research ideas with high potential for benefit to New Zealand

- Two or three years
- \$400k - \$1 million (**proposals outside this range are not eligible**)

**Research Programmes** are larger investments intended to support ambitious, excellent and well-defined research ideas with credible and high potential to positively transform New Zealand's future

- Three, four or five years
- Minimum \$500k per year (**below this are not eligible**)

<https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/endeavour-fund/application-and-assessment-information/>



# 2022 Endeavour Round Wrap-up

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1. General reflections
2. Spread of investment
3. Applications received
4. Target number of proposals
5. Success rates
6. Portfolio approach
7. Diversity information
8. Changes to feedback information
9. Vision Mātauranga



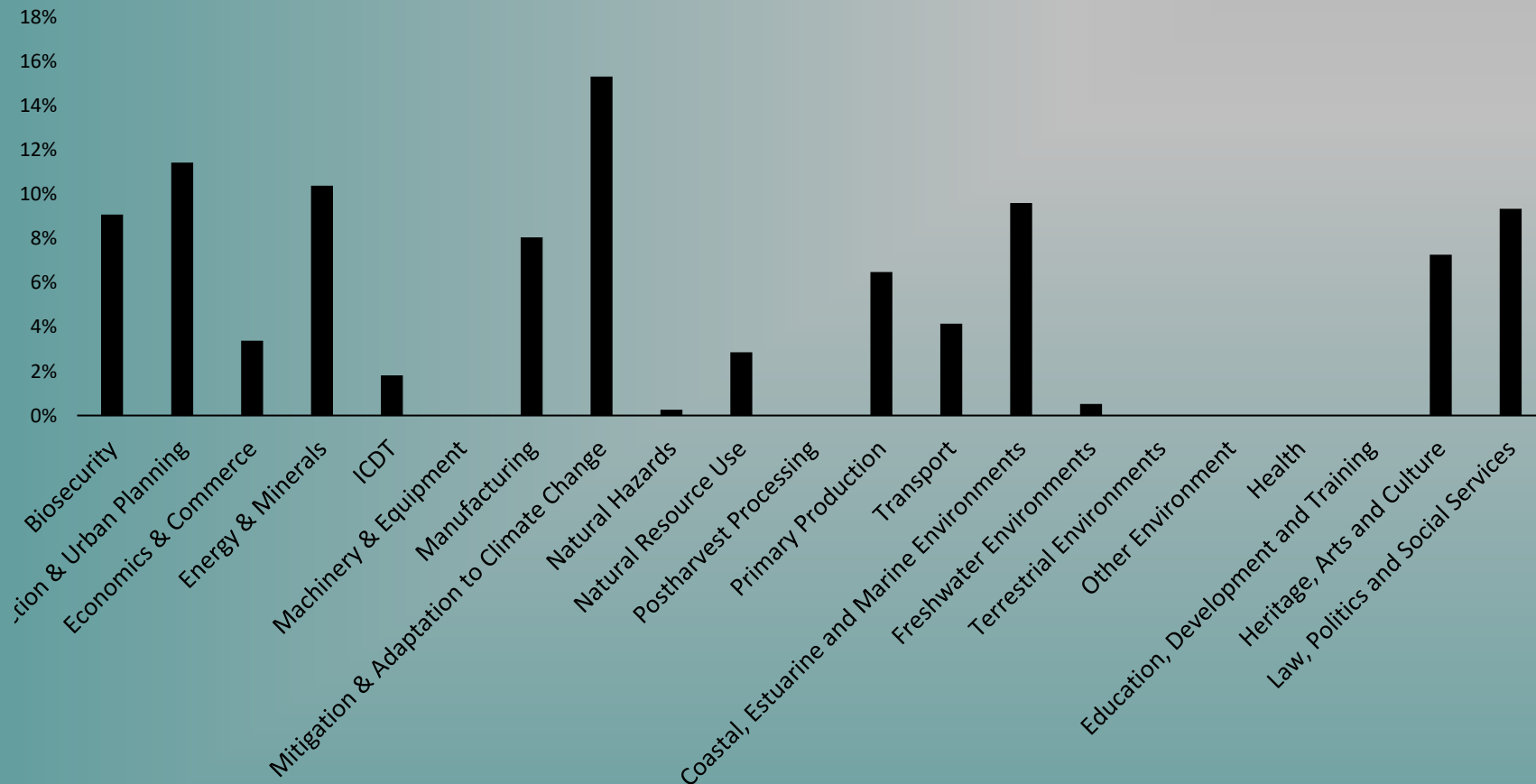
# 1. General reflections

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- Quality of applications continues to be very high
- Proposals increasingly giving effect to Vision Mātauranga
- The fund is extending a broader reach across the sector
  - Increasing number of independent research organisations being funded, including Māori organisations
- Success rate increased over 2021
- Average size of Research Programmes \$1.9 million/annum
- Range of sizes funded
  - \$640K/annum - \$2.79m/annum



## 2. Spread of investments across SEO areas in the 2022 round



# 3. Applications received

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- 443 applications
  - 331 Smart Ideas
  - 112 Research Programmes
- 71 successful
  - 51 Smart Ideas
  - 20 Research Programmes
- Success rate 16.0% overall
  - Smart Ideas 15.4%
  - Research Programmes 17.9%



# 4. Targets for numbers of proposals

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- New requirement for the Science Board to aim to fund a minimum number of Smart Ideas (49) and Research Programmes (19) proposals
  - 51 Smart Ideas full proposals (\$17.8 million/annum, \$50.8 million total)
  - 20 Research Programmes proposals (\$38.7 million/annum, \$185.7 million total)
- The largest Research Programmes proposals received additional scrutiny
  - The Science Board chose to fund some smaller proposals instead, which it considered offered better value





# 5. Success rates Smart Ideas

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<i>Year</i>	<i>Number submitted</i>	<i>Number funded (success rates)</i>	<i>Annual value of new investment</i>
<b>2017</b>	250	41 (16.4%)	\$15.4 million
<b>2018</b>	254	46 (18.1%)	\$16.1 million
<b>2019</b>	283	49 (17.3%)	\$17.1 million
<b>2020</b>	309	-	-
<b>2021</b>	416	52 (12.5%)	\$18.5 million
<b>2022</b>	331	51 (15.5%)	\$17.8 million

# Success rates Research Programmes

<i>Year</i>	<i>Number submitted</i>	<i>Number funded (success rates)</i>	<i>Annual value of new investment</i>
<b>2017</b>	158	27 (17.1%)	\$42.6 million
<b>2018</b>	145	23 (15.8%)	\$41.3 million
<b>2019</b>	131	22 (16.8%)	\$39.2 million
<b>2020</b>	128	17 (13.3%)	\$38.0 million
<b>2021</b>	128	17 (13.3%)	\$38.4 million
<b>2022</b>	112	20 (17.9%)	\$38.7 million

# Transform proposals

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- 45/112 proposals assessed for Impact
- 19 (42%) were 'Transform' projects
- 8 (40%) 'Transform' projects funded

# 6. Examples of Science Board Portfolio approach - decisions based on the mix of investments

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- Declined due to size (a high-merit proposal declined due to size and lower value)
- Declined due to concentration (e.g., Biosecurity)
- Declined on SEO balance (e.g., Societal)
- Preference given to those proposals meeting the signals (e.g., transition to a low-carbon economy)

# 7. Changes to feedback information

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- Feedback directly from the Assessors
  - Main strength and main weakness from each Assessor
- Quintiles no longer being used
- Ranks have been provided in cohorts of 10
- No information on rank if you were successful
- Four reasons for decline:
  - Declined due to portfolio approach
  - Declined due to funding cap
  - Insufficient merit – declined after Impact assessment
  - Insufficient merit – declined after Excellence assessment

# 8. Diversity information

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- MBIE has a Diversity in Science Statement and a focus on diversity in order for our science system to realise its full potential
- Want to ensure that we capture the very best ideas and talent to support the highest quality research
- Important for checking any barriers to success caused by our processes
- Over time expect results to more closely reflect general population - in part, due to separate equity, diversity and inclusion initiatives
- **This is not used for decision-making in the Endeavour Fund**

<https://www.mbie.govt.nz/assets/95e033c7bc/diversity-in-science-statement.pdf>



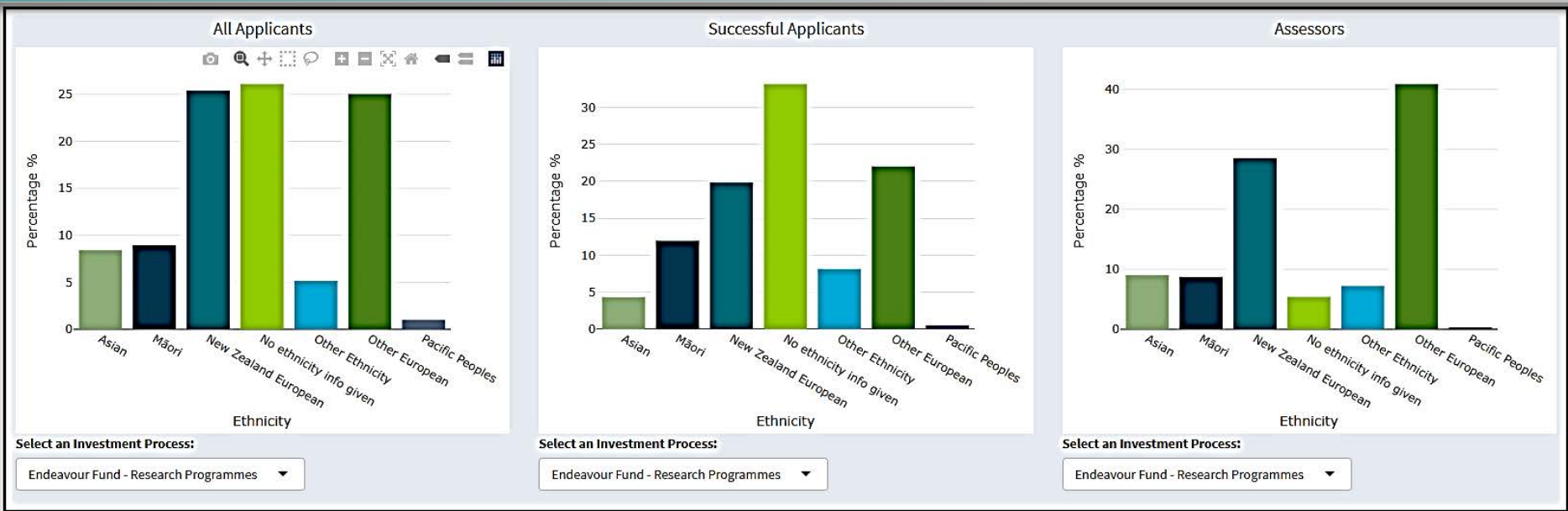
# Where we are at currently

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- Data collected for team members and assessors since 2018
- Diversity Data Dashboard launched in February 2022
  - Data updated monthly
- **Action:** please update your diversity data held in our Investment Management System (IMS). Research Offices, please encourage researchers to fill this out
- *'Prefer not to say'* will always be an option

# Diversity Data Dashboard

Gender, ethnicity, age and career stage breakdowns available for all MBIE contestable funds for 2019-2022



# Diversity in 2022 results

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- At least one female Science Leader, Key Researcher or Key Individual in 53 funded projects
- 3 Research Programmes and 11 Smart Ideas have a female Science Leader
- At least one person identifying as Māori as Science Leader, Key Researcher or Key Individual in 46 funded projects
- 4 Research Programmes and 1 Smart Idea had a Māori Science Leader

# Diversity in 2022 results

## Science Leaders

	Smart Ideas		Assessors who participated (%)	Research Programmes		Assessors who participated (%)
	Concepts received (%)	Successful proposals (%)		Proposals received (%)	Successful proposals (%)	
<b>Gender</b>						
Female / Wahine	19	20	21	21	11	22
Another Gender/ He ira kē anō	1	2	<1	1	0	<1
Male / Tāne	55	55	58	43	39	58
No Information Provided	26	23	21	35	50	19
<b>Career stage</b>						
First Stage Researcher	2	2	0	0	0	<1
Emerging Researcher	30	29	2	10	11	1
Established Researcher	29	27	27	26	11	27
Leading Researcher	24	27	51	44	46	53
No Information Provided	15	16	20	19	32	19

# 9. Vision Mātauranga information

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- Vision Mātauranga encourages partnership, and is designed to inspire researchers to find innovative responses to opportunities and solutions to issues and needs facing New Zealand
- New questions in 2022 application forms:
  - percentage of the total personnel costs attributed to the Māori project team members
  - percentage of the project activity led or co-led by Māori as co-designers, leaders or kaitiaki
  - use of Mātauranga Māori and Kaupapa Māori in project

# Giving effect to Vision Mātauranga

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- Very strong applications, giving effect to Vision Mātauranga, may be Māori-led or co-led
- Strong applications may have Māori researchers or traditional knowledge holders as part of the team; or may work meaningfully with Māori communities, interest groups, businesses, or key individuals
- Strong applications enabling Māori knowledge may use Kaupapa Māori approaches or draw richly on Mātauranga Māori
- Other applications may incorporate Māori principles or perspectives into the research



# Vision Mātauranga

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- The majority of proposals gave effect to Vision Mātauranga
- Around 30% of Smart Ideas full proposals and 60% of Research Programmes had a significant component of research led or co-led by Māori
  - Mostly used Mātauranga Māori as the central knowledge system
  - High proportion of Kaupapa Māori methodology
- MBIE is working with other agencies on how to recognise and protect Mātauranga Māori
  - Definition of intellectual property rights
  - Reflected in work programme agreements

## ENDEAVOUR FUND

2023  
CALL FOR  
PROPOSALS

To Kōwhiriwhiri o Aotearoa  
New Zealand Government

# 2023 Endeavour Round

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1. Key documents
2. What hasn't changed
3. What has changed
4. Technologies of special interest
5. Key dates

# 1. Key documents

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- 2022-2024 Investment Plan
- 2023 Gazette Notice - assessment criteria and funding available
- 2023 Call for Proposals - sets out how to apply
- 2023 Assessment Guidelines
- Available on MBIE's website (see Contact Us slide)



## 2. What HASN'T changed for 2023

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- **Available investment:** new annual investment of \$57 million
  - ~\$18 million for Smart Ideas
  - ~\$39 million for Research Programmes
- **Portfolio targets:**
  - 50:50 Protect and Add Value: Transform impact categories within Research Programmes
  - 70:25:5 Economic: Environmental: Societal research outcomes in portfolio
  - 20:80 Smart Ideas: Research Programmes investment in portfolio
- **Exclusion for proposals** that are predominantly Health, Defence and Expanding knowledge – the sum of these research outcomes must be less than 50% of proposal's outcomes

## 2. What HASN'T changed for 2023

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- Investment signals
- Vision Mātauranga information and assessment
- Targets for numbers of proposals to be funded
- Publishing team member details
- Profiling



# 3. What HAS changed for 2023

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- Two new eligibility criteria
- Narrative CV as an alternative to the academic CV
- Risk sections added to the end of each assessment criterion
- Better guidance on words in images
- You can change your title post registration
- Feedback provided to applicants following Smart Ideas Concepts

# ❑ New eligibility criteria

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- For proposals to be eligible under the Endeavour Fund, they:
  - must not be for activities already funded elsewhere
  - 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

# □ Narrative CV

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- There is a global shift towards the narrative CV as part of responsible research assessment
- Broaden the definition of an academic for Māori and Pacific peoples
- Include work experience along with academic achievements in the assessment process
- Acknowledge the career journey of under-represented researchers and people with non-linear careers
- Training will be provided to Assessors
- Templates: [Investment Management System \(IMS\) Portal | Ministry of Business, Innovation & Employment \(mbie.govt.nz\)](#)



## Curriculum Vitae (CV) Templates when applying for funding

Below are two CV templates (Narrative CV template and RS&T CV template) you can use if you need to submit a CV as part of a research proposal for funding. Both templates will follow the same assessment process so there's no advantage or disadvantage depending on which one you choose.

Please only use one of these templates. Your CV **must not exceed five pages** in total so please delete:

- all guidance and instructional text in italics
- all guidance and instructional text in blue or green shaded boxes
- the CV template you are not using.

### Narrative CV template (CV option one)

#### Guidance to help you

**Important note:** Any section in this template can be removed if you do not wish to use it. The weight and value of the CV template will be assessed using a holistic view and no section has more merit or advantage than another. Please only expand the sections that seem relevant to you and delete the sections that do not fit your experience or the proposal you are applying for.

Please:

- use Arial 12-point font
- do not alter page margins
- delete all guidance in italics and blue shaded boxes once you've finished and before you submit your Skills and Experience Summary as it **must not exceed five pages in total**
- feel free to use images or tables within the defined page limit and margins.
- use the template to capture your expertise and experience in the best way you are comfortable with. The sections titles and descriptions are only a guide.
- When completing this template, we recommended you use bullet points and short descriptions.

### PART 1

Personal details	
Title (optional)	
First Name	
Second Name	
Family Name	
Iwi Affiliation, Pacific identity and/or any other as applicable	
Present position	
Organisation/Employer	
Contact Address	

### Your role as part of the project you are applying to (mandatory)

Please provide your answer here

### Non-research events

Please tell us about any other relevant experience and the way it may have influenced your involvement in professional and community roles. This might include:

- career breaks
- parental leave
- secondments
- volunteering
- part-time work
- impact of natural hazards/pandemics
- time spent in other sectors.

This may not have hindered your career prospects; but rather might have opened up new horizons and insights.

Please provide your answer here

### PART 2

When completing sections in Part 2, we recommended you use bullet points and short descriptions.

### How have you contributed to broader societal engagement and/or knowledge exchange?

Please provide examples of community engagement, social development, environmental wellbeing and knowledge exchange with stakeholders, and the broader public. This could describe national or international engagement and includes:

- any evidence of positive stakeholder feedback
- inclusion of communities/stakeholders in research design and monitoring processes and other impacts across research, policy, practice, te taiao and business
- collaborations with societal diverse cultural groups and other stakeholders
- hosting seminars, hui, fono, or similar to disseminate research findings
- actions you have contributed to be a Te Tiriti o Waitangi partner
- how you incorporated Te Ao Māori perspectives into your research/research planning
- advice to policymakers at local, national, or international level
- communications through media and social media.

Please provide your answer here

### How have you contributed to the generation, revitalisation, preservation, and dissemination of knowledge?

Please tell us about your:

- contribution to the revitalisation and preservation of knowledge. This can include reconnecting Māori communities to traditional/old knowledge that they have lost connection with, allowing it to be revitalised, passed on, or preserved and applied in a new context.

# □ Risk sections

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- Risk sections have been added at the end of each assessment criterion
- These cover the risk aspects outlined in the Gazette Notice
  - 280 words per section (extra 1120 words in total)
- Clearer guidance on what should be described under each criterion

# □ Words in images

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- In the 2022 round, MBIE saw an increase in the use of words in images
  - This represents a fairness issue as these words are not counted in the word count
- Any words used in images must be explanatory only and not introduce new information
- Words in tables must form part of the word count
- More sections have images excluded

# ❑ Change the title

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- Previously, the title has been locked in after registration
- We acknowledge that things can change over the development of the proposal
- You can now change your title

# ❑ Feedback at the end of Smart Ideas Concepts

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- Assessors now provide feedback to applicants
  - one main strength and one main weakness
- This will be provided to Smart Ideas applicants at the end of Concepts, allowing
  - applicants invited to progress to full proposals to incorporate feedback into their proposals
  - unsuccessful applicants more time to develop their proposals should they wish to submit in a subsequent round
- Feedback will be provided verbatim

## 4. Technologies of special interest

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- Applicants must declare any technologies of special interest that may be used as part of the research methodology (profiling section)
- Appropriate measures can be taken to prevent or limit any direct or indirect harm from using technologies of special interest in our investments
- Robust process
- More monitoring
- **This does not affect the scoring for the proposal**

# 5. Key Dates - Smart Ideas

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Wednesday 2 November 2022 (12 noon)	Closing date for registration ( <u>mandatory</u> )
Wednesday 23 November 2022 (12 noon)	Closing date for Concepts
Late March 2023	Applicants notified of Science Board decisions and
Early April 2023	Applicants receive feedback on Concepts
Wednesday 17 May 2023 (12 noon)	Closing date for Full Proposals
August 2023	Science Board makes funding decisions
September 2023	Applicants notified of Science Board decisions
1 October 2023	Contracts begin

# Key Dates - Research Programmes

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Wednesday 7 December 2022 (12 noon)	Closing date for registration ( <a href="#"><u>mandatory</u></a> )
Wednesday 1 March 2023 (12 noon)	Closing date for Proposals
May 2023	Applicants notified of Science Board decisions on Excellence
August 2023	Science Board makes funding decisions
September 2023	Applicants notified of Science Board decisions
1 October 2023	Contracts begin



# Decision Making Processes

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# Science Board decisions

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## Smart Ideas

- Typically invest in the best proposals based on a rank-order list (total median weighted scores)

## Research Programmes

- Sufficient merit (total median weighted scores)
- Take a portfolio approach
  
- Balance between investment mechanisms
- Minimum number of proposals

# Portfolio approach

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- Portfolio targets in the Investment Plan
- Consider how the overall mix of investments meet the investment signals in the Investment Plan
- Consider value offered by the largest Research Programmes proposals
- Avoid duplication and excessive concentration in Endeavour and in the broader public science system
- Meeting policy objectives including the Vision Mātauranga policy

# Portfolio targets in the Investment Plan

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- 50:50 Protect and Add Value: Transform impact categories within Research Programmes
- 70:25:5 Economic: Environmental: Societal research outcomes in portfolio
- 20:80 Smart Ideas: Research Programmes investment in portfolio

# Specific investment signals

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- The Science Board will look for opportunities to fund proposals:
  - whose primary objective is to create new knowledge pathways to support the transition to a low emissions and climate resilient economy
  - that support new or existing industries to be knowledge intensive (i.e., are characterised by workforces that are predominantly highly skilled, and which have the technology, tools and resources necessary to create higher value products and services)
- Signals apply to all areas across economic, environment and society

# General investment signals

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- The Science Board evaluates how well proposals respond to the following general signals:
  - demonstrates excellent, highly connected research, with high potential impact in areas of future value, growth or critical need for New Zealand
  - considers the potential of Māori people, knowledge and resources and reflect genuine, fit-for-purpose approaches for enabling that potential
  - is well positioned in the wider domestic and international research context, and leverage additional value from the wider research, science and innovation community
  - reflects Government policy, strategy and roadmaps where relevant



# Value & concentration, duplication

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## Value

- Not an assessment of 'value for money'
- An assessment of the value of funding, for example, two 'small' proposals rather than one 'large' proposal
- Large proposals need to be of the highest quality to receive investment, as the Science Board pays particular attention to them

## Concentration

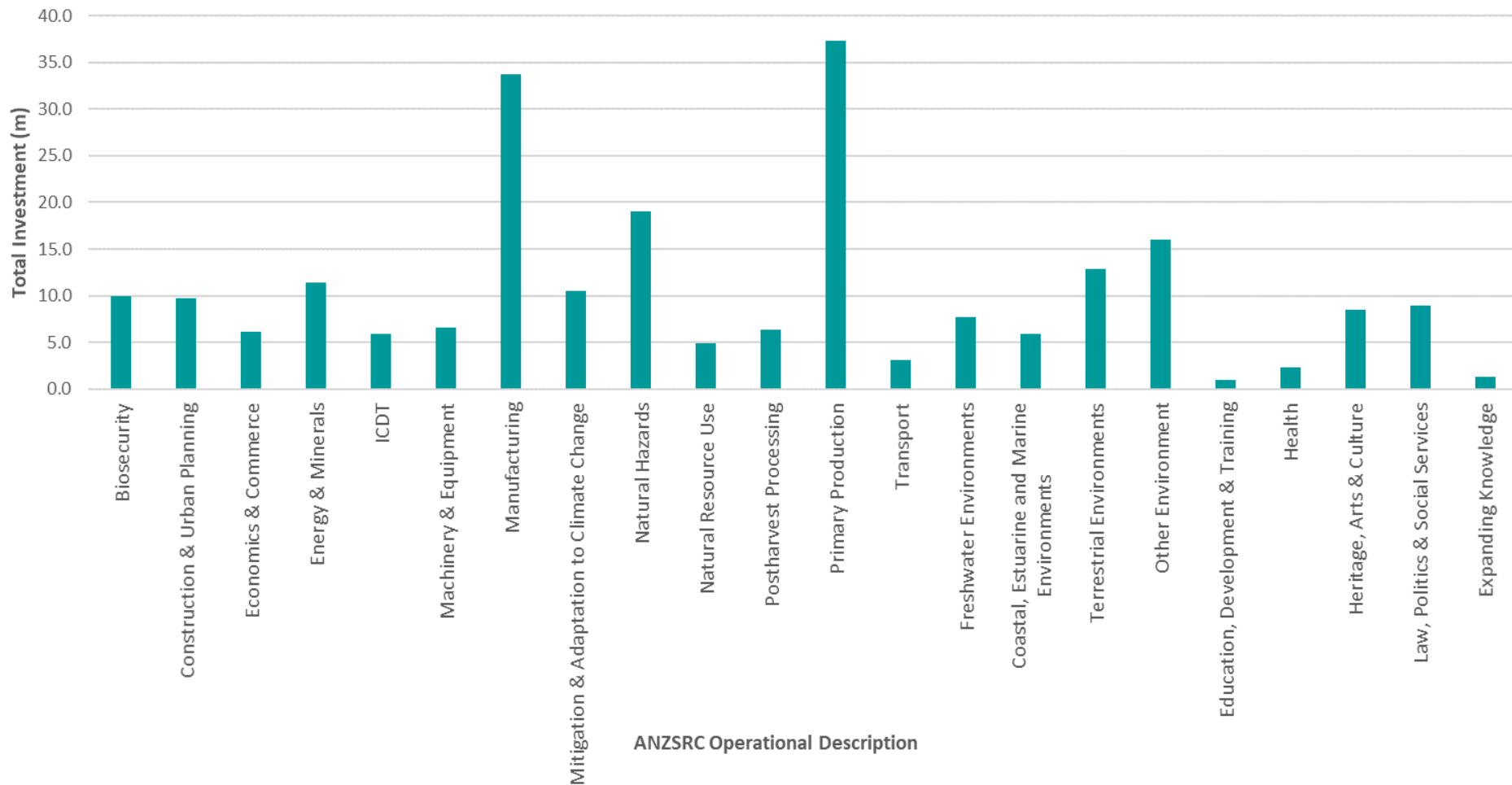
- Sectors of the existing portfolio with high investment (check SEO chart)

## Duplication

- Several proposals seeking funding for the same research

# SEO Operational categories (2020 ANZSRC)

Endeavour Fund Entire portfolio by Socio Economic Outcome for the 2022/23 Financial Year





# Things for applicants to consider

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# General

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- This is a mission-led fund, ‘Transforming New Zealand’s future’
- Start early and co-design with end-users – get everyone in the room
- Design your project with the end in mind, work backwards from the desired impact
  - e.g., develop a programme logic
- Consider investment signals and priorities signalled in Government strategies
- Describe **how** you align to Government strategies - name them

Contd.

# General

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- Study the Gazette Notice and Assessment Guidelines carefully
- Spend time on the registration process
- Think early about how to position the proposal – which industry, sector and which ANZSRC codes best characterise your proposal
- Think about the extent to which you are giving effect to Vision Mātauranga – some areas have more potential than others
- Ensure your Executive Summary contains the key points

# What is the science?

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Excellence is always assessed first, so:

- describe your science clearly
- give sufficient detail so Assessors can understand your thinking
  - evidence your arguments, avoid empty sentences
- be specific to show which part of the proposal is ambitious
- manage risk with a suitable plan
- build the best team with the right mix of skills, researchers and end-users
  - up to 50% of funding can be used to fund offshore collaborators to achieve New Zealand impact
- consider diversity and capability development

# Describing impact

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- Consider which impact category is most appropriate (Protect and Add Value or Transform)
- Describe Benefit to New Zealand broadly, considering spill-over benefits
- Ensure Work Programme includes activities that allow impact to be delivered
- Ensure your proposal describes how you meet the investment signals
  - The key government signals are to reduce emissions and address climate resilience, and build knowledge intensive industries
- Co-funding is not mandatory, but potentially useful the nearer you are to market

# ANZSRC codes

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- The Australian and New Zealand Standard Research Classification (ANZSRC) is the collective name for a set of three related classifications developed for use in the measurement and analysis of research and experimental development undertaken in Australia and New Zealand
- There are three classifications:
  - Fields of Research (FoR, defined at registration)
  - Socio-economic Objective (SEO, defined at registration)
  - Type of Activity (ToA, profiling question)

# FoR codes

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- MBIE uses FOR codes to help assign Assessors to your proposals
- Ensure the codes accurately match the programme content
- Please keep these to a minimum, and use no more than three

# SEO codes

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- Science Board uses SEO codes to balance the mix of investments
- Ensure the codes accurately match the programme content
- Please keep these to a minimum, and use no more than three

# Final points

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- Knowledge intensive (specific investment signal) applies to the target industry, not the science
- Answer Vision Mātauranga profiling with care
  - Helps with Assessor selection, portfolio approach
- Smart Ideas and PhD students
  - Students should input into the programme, rather than the programme being designed around them
- Be specific in identifying conflicts of interest

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# Final points

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- Right size your work programme – think about whether your Critical Steps are “critical”
  - Rule of thumb – one Critical Step per Research Aim per year
- Please ensure your Public Statements accurately reflect your programme and please ensure that no confidential information is included

# Want to know more about Endeavour?

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## We can

- explain the process
- help with use of the portal and resolve portal problems

## We cannot

- interpret the Call for Proposals
- provide specific advice about your proposal



# Contact us

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## Questions on the process, CfP or content

Email [endeavour@mbie.govt.nz](mailto:endeavour@mbie.govt.nz)

## Questions on the portal or proposal submission

Email [IMSsupport@mbie.govt.nz](mailto:IMSsupport@mbie.govt.nz)

Call 0800 693 778 (8:30 am – 4:30 pm)

Web See MBIE's Endeavour Fund webpage:  
<https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/endeavour-fund/>

# Questions?

Use Q+A function, not Chat

