



**CATALYST  
FUND**  
STRATEGIC

Catalyst: Strategic

# Call for Proposals

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Soul Machines: Application of A.I. in Health Research  
December 2021 investment

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MINISTRY OF BUSINESS,  
INNOVATION & EMPLOYMENT  
HIKINA WHAKATUTUKI

New Zealand Government

# Foreword

*Kia ora koutou*

*The Ministry of Business, Innovation and Employment (MBIE) and Soul Machines Limited (Soul Machines) are pleased to release this Call for Proposals for an investment in internationally connected projects exploring the application of Artificial Intelligence (A.I) in health research.*

The New Zealand Government is actively seeking to increase the international connectedness of our research and innovation system. Through our research and innovation funding systems, we are working to boost the number of internationally connected firms working in A.I. and other emerging technologies.

While A.I. has been around for decades, it is only in the past few years that interest in this transformative technology has matured and exploded. Across the globe, A.I. is being developed and adopted, and its potential to change health care and its delivery is vast, from diagnosis, treatment and prevention to patient monitoring and care.

Soul Machines is a world-leading autonomous animation company, whose Human OS platform aims to enable researchers and international organisations to leverage the full capabilities of human and machine collaboration. They have partnered with a variety of New Zealand and international customers, including a partnership with the World Health Organisation to tackle COVID-19 misinformation, and to specifically address smoking and its health consequences.

This investment, through MBIE's Catalyst Strategic Fund, aims to build depth and scale in New Zealand's digital health research sector and associated industries. Through support for open and ethical research, we seek to encourage innovative ideas and commercial opportunities, contributing to the creation of a vibrant and internationally connected research environment.

This Call for Proposals document provides you with information about this investment and how to apply. We look forward to receiving your applications.

*9 December 2021*



# What is Catalyst?

## Introduction

The Government's ten-year vision as set out in the National Statement of Science Investments is of a "highly dynamic science system that enriches New Zealand, making a more visible, measurable contribution to our productivity and wellbeing through excellent science".

International science and innovation connectivity is a key contributor to achieving this vision, providing opportunities to drive the increasing excellence and potential impacts of New Zealand science.

International collaboration on science and innovation: improves the quality of research; increases end-user relevancy of research and knowledge exchange; enables firms to increase investment in innovation activities, so increasing their stock of knowledge; and provides access to additional capability and resources, which increases domestic absorptive and delivery capacity.

## The Catalyst Fund

The Catalyst Fund supports activities that initiate, develop and foster collaborations that leverage international science and innovation for New Zealand's benefit. The Catalyst Fund seeks to achieve the following objectives:

- Targeted international partnerships which maximise the impact and quality of New Zealand science and innovation.
- Emerging international science cooperation opportunities are pursued and advanced to deliver benefits to New Zealand.
- International science and innovation is leveraged in key areas, delivering benefit to New Zealand at a faster pace, of better quality, or of greater impact than can otherwise be achieved.

Catalyst funding is delivered through four instruments: Strategic, Seeding, Leaders, and Influence.

- Catalyst: Strategic - funds strategic research partnerships and large-scale international collaborations.
- Catalyst: Seeding - supports small and medium-sized new international partnerships.
- Catalyst: Leaders - supports targeted international fellowships for exceptional individuals.
- Catalyst: Influence - supports New Zealand's involvement in and influence of key international forums.

**This Call for Proposals invites applications for contestable funding under *Catalyst: Strategic*.**

## Catalyst: Strategic

*Catalyst: Strategic* funds strategic research and large-scale pre-research collaborations with priority partners and in targeted areas **that cannot be supported through other means**.

The objectives of *Catalyst: Strategic* are to:

- Leverage international research infrastructure and capabilities in areas posing significant science-based challenges to New Zealand and our international partners.
- Profile New Zealand science and innovation, and our ability to contribute to global science challenges.

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

More information about the Catalyst Fund can be found on [MBIE's website](#).

# This Catalyst: Strategic funding round

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

MBIE is inviting proposals under *Catalyst: Strategic*. Up to \$6 million (GST excluded) in total over three years is available for investment in projects that explore the **use of Soul Machines' 'Digital People' Human OS Platform in an area of healthcare research** and that cannot be supported through existing funding.

This investment is being conducted in partnership with Soul Machines and focuses on the on the priority health research areas of **Mental Health, Metabolic Disease and Medical Triage**. MBIE will fund up to three research projects, each up to a value of \$2 million (GST excluded) over three years. Soul Machines will provide successful applicants with access to a 'Digital People' A.I. Product Environment for the duration of the projects.

Proposals will be assessed against the following Catalyst Strategic **criteria** (refer page 12).

- **Excellence:** Will the activity lead to the creation of new knowledge through high quality research?
- **Connections:** Will the proposed activity establish an enduring collaboration with world-class international collaborators?
- **Impact:** Will the project deliver benefit aligned to the wider strategic economic, social, and environmental goals of New Zealand?
- **Alignment:** How strongly does the project align with the objectives and priorities for this investment?

Proposed projects must align with the objective of developing **enduring science and innovation collaboration partnerships** with world-class counterparts, and successful applications will have identified at least one world-class international research partner. As this *Catalyst: Strategic* funding round is a unilateral initiative, your international partners must be able to secure their own resources for their contributions to the project.

MBIE and Soul Machines have identified **six priority partner countries** for this investment:

- United Kingdom
- United States
- Canada
- Republic of Korea
- Japan
- Germany

## Please note:

**Proposals with world class partners from non-priority countries will be accepted for consideration, as will projects that focus on an area of health research outside the priorities noted above.**

The use of the Alignment criterion (refer page 14) will enable assessors to recommend projects which do not involve a priority partner country or research area, but which score strongly on the other three assessment criteria. Proposals involving private sector partners are also eligible.

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

## Mitigating the impacts of COVID-19

We recognise that the COVID-19 pandemic continues to have a significant impact on the science sector's ability to undertake planned science and research activity, particularly international collaboration. Proposals should outline how the project design will allow flexibility to mitigate potential impacts of COVID-19, particularly in terms of international travel (for example, using virtual technologies to engage with international partners).

## Investment context

Health technologies are poised to revolutionise health systems. Digital health technologies can enable better access to personalised care, encourage healthier behaviour in individuals, and enable remote health support, monitoring, detection, and delivery care at home, improving quality of life for patients and providing significant cost savings to the public health system.

The global health technologies market is huge and is projected to grow even more. Global literature continually identifies A.I. (including virtual assistants and remote monitoring) as one of the top five technologies predicted to change healthcare and its delivery (along with wearable technologies, augmented reality, and robotics).

The New Zealand health research ecosystem has seen rapid growth over the past five years, both in the number of companies working in this space and revenue earned. New Zealand has an emerging reputation in digital health, and our health research sector will increasingly be able to take advantage of its small but globally representative population.

## Investment rationale

The New Zealand Health Research Strategy has an overarching aim to achieve a world leading health research and innovation system that, through excellent research, improves the health and wellbeing of all New Zealanders. In partnership with Soul Machines, we have an opportunity to build health-related A.I. capability within New Zealand and strengthen existing relationships with our largest research and trading partners.

Soul Machines is a world-leading A.I. company, whose Human OS platform aims to enable researchers and international organisations to leverage the full capabilities of human and machine collaboration. Spun out of the Auckland Bioengineering Institute, it has an established international profile, and is well positioned to maximise the opportunities of an investment in health-related A.I. research, including connecting New Zealand researchers with potential international partners.

Successful proposals will require New Zealand research organisations to establish connections with world-class international research partners. The investment programme will build depth and scale in New Zealand's digital health research sector and associated industries, encouraging innovative ideas and commercial opportunities, and contributing to the creation of a vibrant and internationally connected research environment.

## Investment objectives

This investment will contribute to the development of a world-leading health research and innovation system, growing New Zealand's international reputation for the application of A.I. in health research, and showcasing the potential of Soul Machine's 'Digital People' platform.

The investment should (in no particular order):

- Lead to the creation of new and world-class knowledge in the application of A.I. in health research, in areas of particular relevance and importance to New Zealand, considering the impact of the research on health equity.
- Deepen collaborative relationships between New Zealand and international research institutions into enduring partnerships, underpinned by the development and exchange of scientific strengths and capabilities in digital health research.

- Build health-related A.I. capability within New Zealand, creating opportunities for emerging researchers and leaders, and encouraging the cross-institutional sharing of expertise and knowledge.
- Advance the development of a dynamic and internationally connected health research ecosystem, attracting high-calibre researchers and retaining established expertise in the application of A.I. in health research.

## Investment priorities

We have identified three priority research areas for this Call for Proposals – **Mental Health**, **Metabolic Disease**, and **Medical Triage**. Final funding decisions will not necessarily include one proposal from each priority area.

Applications in other areas of health research will be accepted. While they would not score highly on the alignment criteria, they may be recommended for funding if they score highly on the other three criteria.

<b>Mental Health</b>
Including depression, anxiety, and perinatal/postnatal mental health
<b>Metabolic Disease</b>
Including diabetes/pre-diabetes and heart disease
<b>Medical Triage</b>
Including diagnostics and remote triaging

## Key dates

<b>10 January 2022</b>	MBIE Portal opens for proposals
<b>Noon, 3 March 2022</b>	Closing date for proposals
<b>April 2022 (TBC)</b>	Investment funding decisions announced
<b>July 2022 (TBC)</b>	Contracts expected to begin

## Key reference documents

- [National Statement of Science Investment 2015-2025](#)
- [Vision Mātauranga](#): the policy framework that aims to unlock the innovation potential of Māori knowledge, resources and people to assist New Zealanders to create a better future.

## Further information

**Email:** Proposal queries: [internationalscience@mbie.govt.nz](mailto:internationalscience@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) for portal queries

You can also [subscribe](#) to MBIE's Alert e-newsletter.

# The funding opportunity

## What funding is available?

New Zealand research teams can apply for up to \$2 million (excluding GST) of funding over three years. Your budget should generally distribute this funding evenly across those years. The total pool of funding available for New Zealand research teams in this Call for Proposals is up to \$6 million (excluding GST) over three years.

## Who can apply?

This opportunity is open to New Zealand **research organisations**. A research organisation is an organisation that has internal capability for carrying out research, science or technology, or related activities.

## Eligibility Criteria

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

- The proposal must be made by a New Zealand-based research organisation or a New Zealand-based legal entity representing a New Zealand-based research organization.
- The Science Leader must be employed by a New Zealand-based research organisation, or a New Zealand-based legal entity representing a New Zealand-based research organization.
- The proposal must involve collaboration with a leading international research organisation(s). Please refer to page 4 for details on the priority partner countries for this Call. New Zealand applicants must provide a letter of support from partner organisation(s) outlining their contribution to the proposed work programme to satisfy this requirement.
- The proposal must not be made by a department of the public service as listed in Schedule 1 of the Public Service Act 2020.
- Proposals must be uploaded on time via the [MBIE Portal](#) and meet the administrative requirements of MBIE.
- Applicants must not submit multiple applications to this *Catalyst: Strategic* funding round based on the same project, where the only difference is in the duration of the proposed project or the amount of funding sought. Should the same New Zealand research team decide to submit more than one proposal they must demonstrate significant differences between those proposals. If a research team submits multiple proposals based on the same project, all proposals for that project may be deemed ineligible.

### Please note:

Soul Machines will provide the successful research teams with access to an A.I. Product Environment for the duration of the contracted projects. In addition to the above criteria, applicants must

- Confirm that they have read and are prepared to accept Soul Machines' Terms of Use, including the licensing requirements and ethics code (refer to the 'Terms of Use' document on [MBIE's website](#)).

Proposals that MBIE determines do not meet the above criteria will not be assessed. MBIE may, at its discretion, notify applicants of eligibility issues with their applications prior to the full submission of their proposals.

## Expenses

### Allowable expenses

The expenses allowed under *Catalyst: Strategic* include the following, in connection with the project:

Expense	Details
Research activities	Expenses for consumables and other research expenses Expenses for personnel Contributions to pro-rated salaries
Research exchanges	International engagement, including travel, is expected to be an integral part of the project. Flights, accommodation, visas, travel insurance, ground transport, and meal expenses are permitted and should be based on the rules of the organisations with which the individual undertaking the activity is affiliated.

You will be asked to provide a breakdown of your project's budget in your proposal.

Note: Contributions to pro-rated salaries should be listed under salaries, and not personnel expenses, in your budget table.

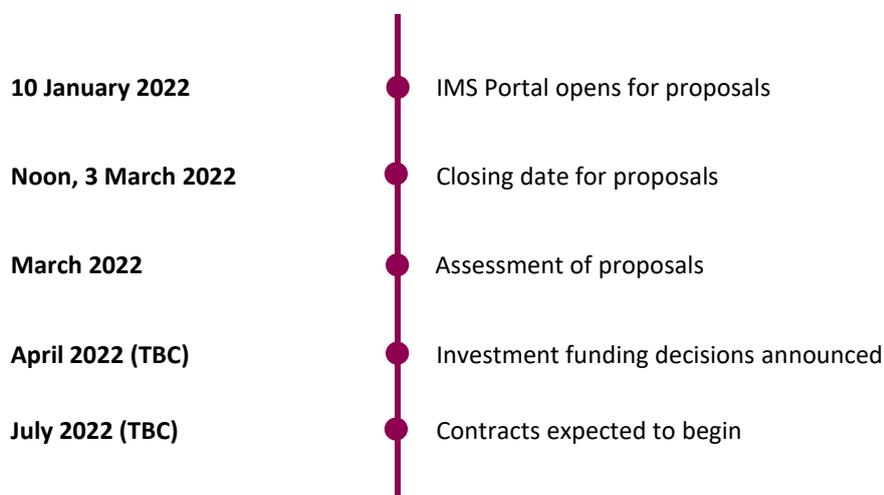
### Expenses not funded

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

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

# The Investment Process

## The application timeline



## Process for applicants

The investment process for the New Zealand research teams consists of three stages:

- 1. Proposal:** Applicants submit a full proposal via MBIE's Investment Management System (IMS). MBIE may identify applicants if there are resolvable eligibility issues in a proposal in progress and may decline applications if there are unresolvable eligibility issues.  
**Note:** Some sections require information from proposed international partners.
- 2. Assessment:** Independent Assessors review the proposals against the *Catalyst: Strategic* assessment criteria and, where relevant, the Vision Mātauranga policy. The Applicants will be notified of the names of assessors prior to assessment.  
Final funding decisions will be made by MBIE in consultation with Soul Machines.
- 3. Contracting:** MBIE will enter into a *Catalyst: Strategic* Contract with successful applicants (subject to any pre- contractual conditions being met). MBIE will only enter into a Science Investment Contract with a New Zealand based legal entity.  
**Note:** MBIE may set pre-contractual conditions that must be met before entering into a contract, set special contract conditions, and/or vary the funding allocated from that requested.

## Preparing and submitting your proposal

Submitting your application for *Catalyst: Strategic* funding is performed in MBIE's IMS, a secure online electronic portal. We recommend you familiarise yourself with the portal before starting your proposal. For information on MBIE's Portal, see 'Submitting your Proposal in MBIE's Portal' on page 22.

The proposal process requires that you provide details about your

- project
- organisation
- research team
- funding

This information must be submitted in the MBIE Portal within the timeframes required. Once submitted, this information is reviewed as part of the assessment process. Please ensure that it is accurate and complete. It will also form the basis of successful applicants' contracts.

We recommend you familiarise yourself with the portal before starting your proposal. We also recommend that you copy and paste from a word editor of your choice rather than typing the information directly into the portal – this will help you keep a back-up of your application.

## ANZSRC codes

An ANZSRC (Australian and New Zealand Standard Research Classification) code is a standard classification that allows research and development activities to be categorised according to their intended purpose or outcome.

You are required to identify:

- Up to two Socio-Economic Objective (SEO) codes and two Field of Research (FOR) codes in your proposal, as we will use these to help select assessors for your proposal.
- Information relating to the ANZSRC Type of Research Activity including the relative proportion of total expenditure attributed to each type (also adding up to 100%)

The ANZSRC classifications used by MBIE can be found in Stats NZ's classification management system Aria as follows:

- [Field of Research 2020](#)
- [Socio-Economic Objective 2020](#)
- [Type of Research Activity 2020](#)

## The application forms

The questions that you are required to answer in your proposal are detailed on pages 17-21. The guidelines on areas to consider and suggested content are provided to assist you when developing your proposal and are not an exhaustive list of information you might want to provide.

**Please note:** There is no specific section or question directly relating to the [Vision Mātauranga policy](#) – this sits across all assessment criteria, and you should explain how your proposed project will give effect to this policy in a practical and meaningful way for Māori in all your responses.

# Tips for writing a good proposal

Before developing your proposal, you must consider the:

- [Eligibility Criteria](#) (page 7), and
- [Appendix 1: Terms and conditions that apply to this Call for Proposals](#).

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

- Government's goals for the Catalyst Fund; and
- Assessment Criteria in the next section.

It is also a good idea to look at the factors that assessors are being asked to consider when assessing proposals, so we also recommend that you consider the *Catalyst: Strategic* scoring system (Appendix 2).

The following are general tips for a focused, well-supported and clear proposal. The assessment panel can only assess what is in the proposal so it is important to ensure that all key information is present. Please note that any text included in external links will not be considered.

## **Be succinct**

Make every sentence count. A small amount of carefully crafted content is much better than a lot of unfocused content.

## **Explain local or specialist language**

Assessors may not know the subject areas or areas of activity in the proposal in detail. If local or specialist terms are being used, they should be sufficiently explained.

## **Provide context for your idea**

Assessors may need to know where and how activity in the proposal fits into the science and innovation landscape, including links or relationships to existing capability building or research projects, nationally and internationally.

## **Personnel and delivery**

Assessors want to know that the proposal utilises experienced, skilled and suitable people. Identify what your organisation and the proposed sub-contractors do, and demonstrate that your team has the skills to deliver the project by providing relevant information on key individuals, including CVs or relevant examples of their experience and skills.

## **Capability development**

Assessors want to know how your proposal builds capability. Be clear about what new skills, relationships and knowledge will be developed in the course of the project. Explain in your proposal how your project will include and upskill post-doctorate and PhD students.

## **Clear and logical**

Make sure the proposal is clear and logical, in particular how any activity will lead to the proposed outcomes. Provide evidence where appropriate to support the proposed activity and outcomes.

## **Evidence of proposed outcomes**

Where relevant, ensure you support your proposed ideas, approaches and outcomes with appropriate evidence.

## **Ethical, data management and regulatory compliance and consent**

As necessary, ensure that any issues of ethical approval and regulatory compliance are addressed. Ensure that any issues around privacy and data sovereignty are addressed.

# How will your proposal be assessed?

To be assessed, your proposal must meet the eligibility criteria set out on page 6. If it meets these eligibility criteria, it will be assessed against the assessment criteria (detailed below) by independent assessors, who will then provide advice to MBIE.

Pursuant to section 5(2) of the Research, Science and Technology Act 2010, and as set out in the New Zealand *Gazette* Notice Number 3833, 7 July 2016, the Catalyst Fund is subject to a separate decision-making process. For the Catalyst Fund, MBIE determines the decision-making process and makes funding decisions.

The *Catalyst: Strategic* fund will use competition to drive an increasing focus on excellent research with impact in areas of future value, growth and critical need for New Zealand.

## The Assessment Process

1. MBIE reviews applications to ensure they meet the eligibility criteria and assigns proposals to assessment panel members for individual assessment.
2. Each proposal is individually assessed by each of the assigned assessors – scores and assessment comments are entered into the MBIE Portal.
3. Consensus scores are agreed at a Panel meeting, with final scores and comments forming a recommendation to MBIE as to which proposals demonstrate excellence and merit being funded.
4. MBIE will make the final funding decisions in consultation with Soul Machines.

## The Assessment Criteria

The *Catalyst: Strategic* criteria are intended to deliver on the Catalyst Fund outcomes and objectives, and the vision that we should strive for greater excellence and impact in publicly funded research. As much of our science as possible should be of the highest quality by international standards with a clear line of sight to eventual impact. International collaboration can positively impact the excellence and impact of our science.

ASSESSMENT CRITERIA	WEIGHTING
<b>Excellence</b> Will the activity lead to the creation of new knowledge through high quality research?	40%
<b>Connections</b> Will the proposed activity establish an enduring collaboration with world-class international partners?	20%
<b>Impact</b> Will the project deliver benefit aligned to the wider economic, social and environmental goals of New Zealand?	20%
<b>Alignment</b> How strongly does the project align with the objectives and priorities for this investment?	20%

These criteria should be read in concert with objectives for this Call for Proposals. You are expected to outline how your proposal will deliver against these objectives. Please note that the Call for Proposal's objectives are not tied to a specific assessment criteria category and will be assessed against your entire proposal.

When reviewing your proposal under each criterion, the Assessment Panel will consider whether the proposed project plan, including the incorporation of Vision Mātauranga Policy, contains all of the elements that would be expected from a research proposal, giving full confidence that the work will be implemented as indicated.

You may also find it helpful to read the *Catalyst: Strategic Assessment Scoring Guide* found in Appendix 2.

### **Excellence (40%)**

*Key Question: Will the activity lead to the creation of new knowledge through high quality research?*

The Assessors will consider to what extent the proposal

- will lead to the creation of new knowledge which is of the highest calibre, and that will have national and international scientific impact and recognition
- utilises applicable scientific and technological principles, including a well-designed research plan and a credible approach to managing risk, that will enable delivery of the proposed research aims
- is ambitious in terms of scientific risk, novelty and/or innovative approaches, and leverages state-of-the-art knowledge and facilities
- is led by world-class science leaders or potential future leaders, with the skills, knowledge and resources to deliver the proposed activities and to manage risk
- explains the science and innovation opportunities and contributions of Māori knowledge, people and resources for the benefit of all New Zealand

### **Connections (20%)**

*Key Question: Will the proposed activity establish an enduring collaboration with world-class international collaborators?*

The Assessors will consider to what extent

- the New Zealand research team and its proposed international partners have excellent track records of collaborating with other institutions and delivering research results
- the proposed partners offer highly complementary, world-class expertise, knowledge, capabilities and resources, building a high-performing and connected research team
- the research team and its partner have outstanding capabilities and capacity to build and manage a substantive international partnership and fully realise the stated international opportunities
- the research team and its partners have outstanding and comprehensive capabilities including scientific and other resourcing, and supporting infrastructure, to deliver the proposed activities
- the proposed project will give effect to Vision Mātauranga policy, creating connections with and for Māori in a genuine and meaningful way

### **Impact (20%)**

*Key Question: Will the project deliver benefit aligned to the wider economic, social and environmental goals of New Zealand?*

The Assessors will consider to what extent

- the proposal has a strong line of sight to expected benefits that are of national and/or global significance, where the analysis supporting the estimates of benefits and uncertainty is excellent
- the New Zealand and international partners have excellent records of engagement with end-users, with the potential to bring together New Zealand research capabilities
- the proposal identifies opportunities and needs that are important/relevant to New Zealand and connected to multiple end-users or end-user research sectors
- the project has potential to support a pipeline of research/knowledge transfer within the wider science systems to build long-term capability and enable the development of new ideas/applications
- the proposed research gives effect to Vision Mātauranga policy, including benefits to Māori (iwi, communities/groups, and/or businesses)

## Alignment (20%)

*Key Question: How strongly does the project align with the priorities for this investment (outlined on pages 4-6 of this Call for Proposals)?*

The Assessors will consider whether the proposal includes partners from one or more of the listed priority partner countries and to what extent it aligns with one the priority research areas for this investment (Mental Health, Metabolic, and Medical Triage).

\*Note: The Alignment criterion is designed to allow assessors to use the scoring system to explicitly indicate the extent to which a proposal contributes to the priority areas for this Call for Proposals. Proposals outside these areas may score poorly on the alignment criterion but may still be recommended for funding if it scores strongly on the other three criteria (Excellence, Connections, and Impact).

## Other assessment criteria

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

- will ensure that funding is not concurrently provided in respect of any two or more programmes of research, science, technology or related activities that are the same or similar (whether those proposals are part of a new proposal, or are already being funded), and
- will minimise the risk that an applicant will not be able to undertake the relevant programme of research, science or technology, or related activities because the applicant or any person involved in delivering the programme, would concurrently be committed to one or more other programmes (whether those proposals are part of a new proposal, or are already being funded).

## Assessors

Assessors will be selected for their ability to contribute to one or more of the following criteria:

- Scientific knowledge relative to the range of topics covered by the research areas
- Broader international strategic expertise and experience
- Knowledge about complex international research programmes

There will also be a non-scoring chair. The role of the Assessors is to assess and provide advice to MBIE as to what projects are deemed high quality and fundable, and their relative rankings.

## Conflicts of interest

Applicants will be notified of the pool of Assessors, either directly or by publication on MBIE's Catalyst Fund webpage, so you may check for, and advise MBIE of, any direct or indirect conflicts of interest. An MBIE Alert will be issued when Assessor names are posted on the website.

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

## What is considered a conflict of interest?

Conflicts of interest for Assessors may occur on two different levels:

A **direct conflict of interest** is where an Assessor:

- is directly involved with a Proposal (as a participant, manager, mentor, or partner) or has a close personal relationship with the applicant, for example, family members, or
- is a collaborator or in some other way involved with an applicant's Proposal.

An **indirect conflict of interest** is where an Assessor:

- is employed by an organisation involved in a Proposal but is not part of the applicant's Proposal
- has a personal and/or professional relationship with one of the applicants (for example an acquaintance), or
- is assessing a Proposal under discussion that may compete with their business interests.

## The decision process

MBIE will make final funding decisions in consultation with Soul Machines. MBIE and Soul Machines will take into account the assessment panel recommendations as well as overall portfolio balance, the proposals' compatibility with Soul Machines' Human OS Platform A.I. technology, and Soul Machine's capacity to provide technical support to the projects.

Accordingly, MBIE may decide to either:

- approve your Proposal
- decline your Proposal
- approve your Proposal with conditions that may need to be met before or during the contract, or
- approve your Proposal, but for an adjusted amount of funding.

In making its investment decisions, MBIE may also:

- set pre-contract conditions which must be met before the investment is contracted
- set special conditions in addition to the general terms and conditions set out in the Catalyst Fund Contract, which is available on MBIE's website
- assess the appropriateness of the budget submitted with the Proposal
- vary the proposed term of a Proposal, either by setting a different term to that proposed or by stage-gating the investment, i.e. by requiring certain conditions to be met at a point in the term, before the Proposal is funded for the full term, or
- vary the funding allocated from what is proposed and require critical performance indicators to be renegotiated to MBIE's satisfaction to reflect the changed funding.

Please note:

- Proposals **MUST** demonstrate excellent science. MBIE will not fund research that does not demonstrate sufficient excellence.
- MBIE may choose not to fund any applications if they do not sufficiently address the criteria, and issues with proposals cannot be rectified to MBIE's satisfaction during the assessment process.
- Participation in the investment process does not guarantee funding.

## Notifying you of the outcome

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

Following notification, MBIE will publish its decisions and may announce these with a press release. The details MBIE or the Research, Science and Innovation Minister may make public are the:

- name of the applicant organisation and any other parties participating in the project
- name of any applicant
- short title of your project
- description and public statement of the proposed project
- total amount of funding applied for and awarded
- duration of your project, and
- fact that the project has been funded from the Catalyst Fund.

## Meeting the New Zealand Government's data requirements

MBIE is committed to ensuring that all science data generated through its investments meets minimum expectations of good data management and public availability. If you receive funding, MBIE expects you to comply with the New Zealand Government Open Access and Licensing Framework. This framework advocates the use of creative commons licences.

## The contracting process

If there are any pre-contract conditions, these must be completed to the satisfaction of MBIE before MBIE will prepare and send you a contract. If you are unable to meet any pre-contract condition by the due date, you need to inform us as soon as possible before that due date. We will discuss and may renegotiate the conditions and/or extend the due date.

Subject to completion of any pre-contract conditions, contracts will be sent to your organisation for signing shortly after notification. You will be required to return the signed contract by a date to be advised by MBIE. If you are unable to do so, you will need to inform us as soon as possible.

The terms and conditions of the Catalyst Fund Contract will apply to the provision of funding agreed between MBIE and the contracting organisation. By submitting a proposal, you are agreeing to accede to the terms and conditions of the Catalyst Fund Contract, which is available on MBIE's website. We advise that you seek any required legal advice or review as early as possible regarding the acceptance of standard terms and conditions so as not to delay contract signing.

# Developing your proposal

There are eight sections to complete: *Summary, Eligibility, Proposal, Excellence and Impact, Key Performance Indicators, Team, Budget, and Other information*. The following table summarises the information required. We recommend that you familiarise yourself with the IMS Portal well before the deadline for submitting your proposal. Please note that some sections require your partner organisations information.

PROPOSAL TEMPLATE		
INFORMATION REQUIRED		WORD LIMIT (if applicable)
This is a guide and is not intended to constrain the information you provide. An asterisk (*) indicates mandatory information.		
<b>SUMMARY</b>		
<b>*NZBN Number</b>	The NZBN will populate automatically. The registration number applies if you are an incorporated society, charitable trust or company. If this field is blank email <a href="mailto:imssupport@mbie.govt.nz">imssupport@mbie.govt.nz</a> for assistance.	
<b>*Total Funding Requested</b>	Provide the total funding you are requesting. This can be up to \$2 million (excluding GST).	
<b>*Project title</b>	Provide a meaningful title that identifies the nature of proposal.	<b>15 Words</b>
<b>*Duration of Project</b>	Provide the duration of the project. This can be up to three years.	
<b>*Start Date</b>	Provide the proposed start date of your project. Contracts are expected to begin in July 2022. Activities outlined in proposals should begin shortly afterwards.	
<b>*End Date</b>	Provide the proposed end date of your project. This can be a maximum of three years after proposal begins.	
<b>*Research Area</b>	Select the priority area for your proposal – choose EITHER Mental Health OR Metabolic Disease OR Medical Triage OR Other. If selecting Other, please specify.	
<b>*Primary Contact Person</b>	Provide the name, contact phone number and e-mail address for the primary contact person for the project. This contact must have the mandate to discuss the proposal with MBIE officials.	
<b>*Secondary Contact Person</b>	Provide the name, phone number and e-mail address for a secondary contact person. They must have the mandate to discuss the proposal with MBIE.	
<b>ELIGIBILITY</b>		
<b>*NZ-based Entity</b>	Confirm that the applicant of this proposal is a New Zealand-based research organisation or a New Zealand-based entity representing a New Zealand-based research organisation.	
<b>* Science Leader (Employed by NZ-based Entity)</b>	Confirm that your Science Leader is employed by a New Zealand-based research organisation, or a New Zealand-based legal entity representing a New Zealand-based research organisation.	
<b>*International Collaboration</b>	Confirm that you have identified suitable research collaborator(s) from a leading research organisation(s). Select which of the priority partner countries you have partnered with or, if other, specify the country.  If a letter of support is not available before applications close, you may submit your application without it. However, if your application is successful you will need to provide a letter of support as a pre-contract condition.	

## PROPOSAL TEMPLATE

### INFORMATION REQUIRED

This is a guide and is not intended to constrain the information you provide. An asterisk (\*) indicates mandatory information.

**WORD LIMIT  
(if applicable)**

**\*Public Service Department** Confirm that you do not represent a department of the public service, as listed in Schedule 1 of the Public Service Act 2020. Please note that departments of the public service are ineligible for this Call for Proposals.

**Soul Machines Terms of Use** Confirm that you have read and are prepared to accept Soul Machines' Terms of Use if your proposal is successful.

### PROPOSAL

**\*Executive Summary** Summarise the overall objective of your proposal, including: **600 Words**

- > why your research is needed (the issue or problem you are addressing)
- > what you are aiming to achieve
- > what you propose to do (hypothesis and scientific approach)
- > the results, impacts and outcomes you expect, how they will be achieved, and who will use or benefit from them

This will introduce your research, its potential impact(s), and your methodology. Do not include references, hyperlinks, images, video, or audio files.

**\*Public Statement** The public statement may be published on MBIE's website if your proposal is funded. It is not used for assessment purposes. **300 Words**

It is important to capture the essence of your research in a way that can be understood by a wider audience and can be used for media purposes. You may include, if required, publishable contact details that can be used by members of the public or the media.

Do not include confidential information or references, hyperlinks, images, video, or audio files.

**\*Research Plan** Explain: **1000 Words**

- > your chosen approach and how it will achieve your objectives
- > the technical risks you have identified and the steps you have taken or will take to mitigate or manage them
- > your proposed approach to manage IP and data management

Your Research Plan should be understandable to Assessors, regardless of their specific field of expertise. You may include images but not hyperlinks, video, or audio files.

**Please note:** The Soul Machines Terms of Use (available on the MBIE website for this Call for Proposals) and Digital DNS Studio outlines what the A.I. Product Environment Research covers. Please make sure you have read these carefully, and that your proposed research plan is designed accordingly.

**\*International Collaboration** In the table, list the international organisation(s) you are collaborating with including the name, role, and indicative Full Time Equivalents (FTES) of your key contributor(s) at each organisation.

You should mention all international partner organisations here.

<i>ORGANISATION</i>	<i>NAME</i>	<i>ROLE</i>	<i>INDICATIVE FTE</i>
---------------------	-------------	-------------	-----------------------

Describe your partnerships and their contribution to the proposed research, including any other resources to be contributed (for example, access to specialised equipment).

**500 words**

## PROPOSAL TEMPLATE

### INFORMATION REQUIRED

This is a guide and is not intended to constrain the information you provide. An asterisk (\*) indicates mandatory information.

**WORD LIMIT  
(if applicable)**

### CASE FOR SUPPORT

**\*Assessment  
Criteria**

For each criterion, describe the excellence, connections and impact of your research, ensuring that it contains all of the elements that would be expected to give full confidence that the work will be implemented as indicated.

Refer to the assessment criteria information at p12-14 and the Scoring Guide in Appendix 2 of this Call for Proposals document.

*Word limits below include tables, references and citations*

**\*Excellence (40%)**

*Key Question:* Will the activity lead to the creation of new knowledge through high quality research?

**650 Words**

**\*Connections (20%)**

*Key Question:* Will the proposed activity establish an enduring collaboration with world class international collaborators?

**650 Words**

**\*Impact (20%)**

*Key Question:* Will the project deliver benefit aligned to wider economic, social and environmental goals of New Zealand and international partners?

**650 Words**

**\*Alignment (20%)**

*Key Question:* How strongly does the project align with the priorities for this investment?

**100 Words**

### KEY PERFORMANCE INDICATORS

**\*Key  
Performance  
Indicators**

Detail how the Project will measure its performance throughout the life of the Project through Key Performance Indicators (KPIs).

The KPIs should show how progress towards delivery of the Project's objective and post-contract outcomes will be measured with targets to be achieved during the life of the contract. They should include the following six performance areas:

- > Capability
- > International collaboration
- > Governance and management
- > Vision Mātauranga
- > Delivery of objective
- > Sustainability

MBIE will confer with you on KPIs based on these drafts during the contracting process.

Enter a schedule for each of the above KPIs, using the table below as an example. Please include a target for June each year to be reviewed as part of your Project's annual progress.

PERFORMANCE AREA	SUMMARY	TARGET	TARGET DATE
<i>e.g. Delivery of the Objective</i>	<i>e.g. No. technologies developed through the Partnership</i>	<i>2 to x stage</i>	<i>30 June 2023</i>
		<i>4 to x stage</i>	<i>30 June 2024</i>

## PROPOSAL TEMPLATE

### INFORMATION REQUIRED

This is a guide and is not intended to constrain the information you provide. An asterisk (\*) indicates mandatory information.

**WORD LIMIT  
(if applicable)**

### BUDGET

**\*Work Programme** You only need to add one Milestone.  
Title the Milestone **MBIE-Soul Machines**. No further text required in this section  
*A Milestone is required before information can be entered into the Budget section*

**\*Funding** Enter the required funding per year for the proposed project. This can be up to a total of \$2 million (excluding GST) and should be evenly allocated across the three project years.

**\*Budget** For each year of the project, provide a budget for the project using the following headings:

- > Personnel cost
- > Travel
- > Consumables
- > Overheads

Travel costs should not exceed 25% of the budget. Total income must equal expenditure and all values should exclude GST.  
Funding does not allow for annual inflation adjustments over the contract term

### TEAM

**\* Project Team** Using the following table as a guide, detail the key New Zealand project team personnel that will be involved in each year of funding, and provide Full Time Equivalents (FTEs) and supporting CVs.

#### Sample Team Table

Role	Full Name	CV	FTE	Email address	Invited to register for and/or enter ORCID ID	<sup>1</sup> Invited to register and enter Diversity data
<b>*Contract Manager</b>	<i>Mandatory</i>	<i>No</i>	<i>Not Applicable</i>	<i>Mandatory</i>	<i>Not Required</i>	<i>Not Required</i>
<b>*Science Leader</b>	<i>Mandatory</i>	<i>Yes</i>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>*Key researcher</b>	<i>Mandatory</i>	<i>Yes</i>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>Key individual</b>	<i>Mandatory</i>	<i>Yes</i>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Yes</i>	<i>Yes</i>
<b>Post-doc</b>	<i>Mandatory</i>	<i>No</i>	<i>Mandatory</i>	<i>Not Required</i>	<i>Not Required</i>	<i>Not Required</i>
<b>Student</b>	<i>Mandatory</i>	<i>No</i>	<i>Mandatory</i>	<i>Not Required</i>	<i>Not Required</i>	<i>Not Required</i>
<b>Other</b>	<i>Mandatory</i>	<i>No</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 a registration invitation to be sent to your team members when entering your project team information during the application phase. Once registered they will receive an email with information on how to then enter and manage their profile. For more information, refer to a [one page guide](#) which is also available on our [IMS portal webpage](#).

- > The time commitment for each team member is entered as FTEs. For example, 1 FTE is the hours worked by an employee on a full-time basis.
- > CVs do not have to comply with the standard New Zealand Research, Science and Innovation (RS&I) CV template.

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

**Please note:** This section is for the New Zealand project team. Do not include your international partners here. These should be named at 'International Collaboration'.

## PROPOSAL TEMPLATE

### INFORMATION REQUIRED

This is a guide and is not intended to constrain the information you provide. An asterisk (\*) indicates mandatory information.

WORD LIMIT  
(if applicable)

### OTHER INFORMATION

#### \*ANZSRC Codes

Specify **no more than two**:

- > Field of Research (FOR) ANZSRC codes
- > Socio-economic Objective (SEO) ANZSRC codes
- > Information relating to the ANZSRC Type of Research Activity

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 Stats NZ's classification management system Aria as follows:

- [Field of Research 2020](#)
- [Socio-Economic Objective 2020](#)
- [Type of Research Activity 2020](#)

#### \*Conflicts of Interest

Declare any potential conflicts of interest and say why. This may include possible conflicts with Assessors or a part of MBIE you are engaged with.

#### \*Special ethical and regulatory requirements

Describe any ethical and regulatory requirements and approvals needed to conduct the 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".

You are responsible for meeting all ethical and regulatory requirements relating to your proposed research. Any costs associated with fulfilling these requirements should be included in your budget (as "Other expenditure"). If delays occur due to failure to gain or initiate the necessary approvals, funding may be withheld, withdrawn or renegotiated.

# Submitting your Proposal in MBIE’s Portal

Proposals are entered and submitted using MBIE’s Investment Management System (IMS) – a secure, online portal. See the Proposal template on pages 17-21 for the information required to be entered in IMS.

## Accessing MBIE’s IMS Portal

Access the IMS portal using either Chrome or Firefox.

### For first time users:

If you have not used the IMS portal before, complete and email an [IMS access request 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:

Log in using your existing username and password. If you have 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.

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

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

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

## IMS Portal icons

In the IMS Portal, mandatory fields are denoted by an asterisk (either red or black).

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

We recommend that you regularly click the Save button to save work as you are going. Symbols alongside each section in the navigation panel allow you to easily check the completeness of your submission.

The symbol...	Indicates that the section...
	has not started
	is in progress
	contains invalid or incomplete fields
	is complete and is valid

## Submitting a Funding Application

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



3. On the resulting screen, select **2021 Catalyst Strategic – 2021 Catalyst Strategic - Soul Machines: Application of A.I. in Health Research** from the **Investment Process** field.
4. Select the 'Proposal' phase and click the Create button. The first section you need to complete displays.
5. The IMS portal will guide you through the completion of the required fields. When complete, click the Save & next section button to move to the next section. We recommend that you familiarise yourself with the portal well before the deadline.

You can copy and paste your prepared information directly into the IMS portal fields. Where directed upload documents containing your references/citations. All forms of documents (e.g., Excel, Word and PDF) can be uploaded. If uploading 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.

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 Save & next section

Note: In the field called 'Work Programme':

- Click "add a milestone". You only need to add one – enter **MBIE-Soul Machines** as milestone title.
- No further text is required under "Work Programme." This enables you to use the Budget section.

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

If they are already in IMS with an email address:

- a. Click the Invite for ORCID Integration button - 
- b. Click the **Send** button.
- c. Click the **Save** button.

If they are not already in IMS or don't have an email address already loaded:

- a. Enter the persons email address in the field.
- b. Highlight and copy the email address.
- c. Click the Invite for ORCID Integration button - 
- d. Paste the email address into the pop up window and click the **Send** button.
- e. Click the **Save** button.

6. When all sections are complete, scroll to the top of navigation panel and click the **Manage and Submit** link.
7. 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.

**Proposal** Project status: In progress

**Manage this application**

- Print and manage

**Summary**

- Summary
- Contact Person Details

**Eligibility**

- Eligibility

**Proposal**

- Proposal Summary

**Excellence and Impact**

- Excellence and Impact

**Key Performance Indicators**

- Key Performance Indicators

**Budget**

- Work Programme
- Funding requested
- Budget

**Team**

- Key Researchers and Individuals

**Other Information**

- ANZSRC
- Conflicts of Interest

**Print and manage**

**Proposal validation result: Unsuccessful**

Please correct the errors below.

**Team**

**Key Researchers and Individuals**

The application requires at least 1 Contract manager  
The application requires at least 1 Key individual  
The application requires at least 1 Key researcher  
The application requires at least 1 Science leader  
You must have at least one FTE for project year 1  
You must have at least one FTE for project year 2  
You must have at least one FTE for project year 3

**Back**

**Notes:** If the validation is successful, every section in the navigation panel is marked with the symbol . If errors and/or incomplete fields are detected, these will display as:

- light blue error message hyperlinks in the proposal validation result section
- a or beside the relevant sections.

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

# Appendix 1: Terms and conditions that apply to this Call

The terms applying to the *Catalyst: Strategic* Fund are set out below. The terms and conditions are non- negotiable and do not require a response. Each applicant that submits a proposal will be deemed to have agreed to these terms and conditions without reservation or variation.

## INVESTIGATIONS AND RELIANCE ON INFORMATION

Applicants must examine this document and any reference documents and carry out all necessary investigations before submitting a proposal. If in doubt as to the meaning of any part of these guidelines, applicants must set out in their proposal their interpretation and assumptions.

## RELIANCE BY APPLICANTS

All information contained in this document or given to any applicant by MBIE is for the purpose of allowing that applicant to prepare its proposal. MBIE has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be updated.

## RELIANCE BY MBIE

MBIE may rely upon all statements made by any applicant in its proposal and in correspondence or negotiations with MBIE or its representatives. If an applicant's proposal is approved by MBIE, any such statements may be included in the contract.

Each applicant must ensure all information provided to MBIE is complete and accurate. MBIE is under no obligation to check any proposal for errors, omissions, or inaccuracies. Each applicant must notify MBIE promptly upon becoming aware of any errors, omissions, or inaccuracies in its proposal or in any additional information provided by the applicant.

## INDUCEMENTS

Applicants must not directly or indirectly provide any form of inducement or reward to any assessment panel member, officer, employee, advisor, or other representative of MBIE in connection with this funding process.

Business-as-usual communications (relating to any existing funding between MBIE and the applicant) will be maintained with the usual contacts. However, during the funding process, applicants

must not use business-as-usual contacts to solicit or discuss details of this Fund with any person at MBIE or its agents, including the assessment panel members.

## OWNERSHIP AND INTELLECTUAL PROPERTY

This document and any other documents supplied by MBIE to any applicant remain the property of MBIE. All copyright and other intellectual property rights in this document and any documentation and other information provided to any applicant or any other person by or on behalf of MBIE in connection with this Fund will remain with, and belong at all times to, MBIE or its licensors. MBIE may request the immediate return of all documents supplied and any copies made of them at any time. Applicants must comply with any such request in a timely manner.

Any proposals or information supplied by applicants to MBIE will become the property of MBIE and may not be returned to applicants. Ownership of the intellectual property rights in a proposal does not pass to MBIE. However, in submitting a proposal, applicants grant MBIE a non-exclusive, non-transferable, perpetual licence to use, disclose, and copy their Proposal for any purpose related to this funding process.

By submitting a proposal, applicants warrant that the provision of that information to MBIE, and the use of it by MBIE for the evaluation of their proposal and for any resulting negotiation, will not breach any third-party intellectual property rights.

## CONFIDENTIALITY

MBIE will treat proposals as confidential, but applicants should be aware that MBIE is subject to the Official Information Act 1982 and may be required to release information supplied in proposals in accordance with that Act, or as otherwise required by law.

## THE PROPOSAL PROCESS

The following rights are reserved.

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

## NO CONTRACTUAL OBLIGATIONS CREATED

No contract or other legal obligations arise between MBIE and any applicant out of, or in relation to, this Fund or funding process, until a formal written contract (if any) is signed by both MBIE and the successful applicant.

This document does not constitute an offer by MBIE to provide funding or enter into any contract with any applicant. The request for and receipt of proposals does not imply any obligation on MBIE to contract for any funding requested in any proposal. MBIE will not be bound in any way until a formal written contract (if any) is signed by both MBIE and the successful applicant. Any verbal communications made during the funding process will not be binding on MBIE and are subject to the terms of this document.

## NO PROCESS CONTRACT

This document does not give rise to a process contract.

## EXCLUSION OF LIABILITY

Neither MBIE, nor any assessment panel members, officers, employees, advisers or other representatives will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by any applicant, its affiliates, or other person in connection with this document or the funding process. To the extent that legal relations between MBIE and any applicant cannot be excluded as a matter of law, the liability of MBIE is limited to \$1.

## COSTS AND EXPENSES

MBIE is not responsible for any costs or expenses incurred by applicants in the preparation of a proposal.

## GOVERNING LAW AND JURISDICTION

This document will be construed according to, and governed by, New Zealand law and applicants agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning this document.

## PUBLIC STATEMENTS

MBIE may make public the following information: the name of any applicant; the name of the organisation and any other parties participating in the project; the title, description and public statement of the proposed project; the total amount of funding applied for and awarded; the period of time for which funding has been requested; and the fact that the project has been funded from the Fund. Please note that any information you provide may be published on the MBIE website.

Applicants are requested not to release any media statement or other information relating to the process outlined in this document and the submission or approval of any proposal in any public medium without providing reasonable advance notice to MBIE.

## Appendix 2: The *Catalyst*: Strategic Assessment Scoring Guide

Score	1 (Poor)	2	3	4	5	6	7 (Excellent)
Key Words	Missing Irrelevant No potential No credibility	Minimal Low relevance Little potential Little credibility	Some Partially relevant Some potential Some credibility	Most Generally relevant General potential Generally credible	Substantial Relevant Good potential Credible	Comprehensive Very relevant Strong potential Very credible	Complete Highly relevant Excellent potential Highly credible
High Level Description	Content is missing, irrelevant or has no potential to deliver a high quality research programme	Many aspects are missing, have low relevance, or have little potential	Many aspects are adequately met, but some gaps or deficiencies	All aspects are met to a generally adequate level	All aspects are effectively met, some strongly met	All aspects are strongly met, with some met at an excellent level.	All aspects are convincingly met in an innovative, relevant, and highly credible manner

## Appendix 3: ANZSRC Codes

### What are ANZSRC codes?

An ANZSRC (Australian and New Zealand Standard Research Classification) code is a standard classification that allows research and development activities to be categorised according to their intended purpose, outcome and/or discipline.

The ANZSRC classifications used by MBIE can be found in Statistics NZ's classification management system Aria as follows:

- [Field of Research 2020](#)
- [Socio-Economic Objective 2020](#)
- [Type of Research Activity 2020](#)

ANZSRC is a hierarchical classification, with 2, 4, and 6 digit codes representing increasing specificity. For example:

82 Plant Production and Plant Primary Products  
8201 Forestry  
810104 Native Forests

### Entering ANZSRC Codes

ANZSRC codes are categorised under two research classifications;

- **Field of Research (FOR)** - this is the discipline and/or the process or techniques used in the research.
- **Socio-Economic Objectives (SEO)** - this describes the intended purpose or outcome of the research undertaken.

Under each classification, **no more than two** ANZSRC codes must be specified and the allocated percentage of relevance against each code, must total 100%.

You also need to provide Information relating to the ANZSRC **Type of Research Activity** including the relative proportion of total expenditure attributed to each type (also adding up to 100%)

## Further Information

**Email:** Proposal queries: [internationalscience@mbie.govt.nz](mailto:internationalscience@mbie.govt.nz)  
Portal queries: [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz)

**Phone:** Portal queries: 0800 693 778 (Monday to Friday, 8.30am-4.30pm)

You can also [subscribe](#) to MBIE's Alert e-newsletter.

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

MBIE reserves the right to withdraw or amend, at any time, this Call for Proposals or any part of it.

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