# New Zealand -­ China Strategic Research Alliance 2023 Investment Round Proposal Template

Use this template to complete your proposal for the New Zealand ­- China Strategic Research Alliance 2023 Investment Round. For information about this funding opportunity, see our [web pages](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/catalyst-fund/new-zealand-china-research-alliance-2023-proposals).

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

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

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

### Proposal Completion and Submission Requirements

* Use this template to complete your proposal in MS WORD and then copy the content into our Investment Management System (IMS).
* You will need to [request access to IMS](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/process/ims/) before you can complete your application. Please make sure you request access at least two weeks before you want to submit your application.
* Respond to all questions and use sub-headings if appropriate to improve readability.
* Use pictures, graphs, and hyperlinks sparingly.
* Complete your application before 12 noon, 23 May 2023. Any change to this date will be notified via email and published on the MBIE website. To be added to the email notification list, email [internationalscience@mbie.govt.nz](mailto:internationalscience@mbie.govt.nz).

## Proposal Template

### Section 1: Summary information

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| * 1. **NZBN and company registration numbers**   These will be auto populated. The registration number applies if you are a Trust, Incorporated Society, or Company. If these fields are blank, please email these details to [imssupport@mbie.govt.nz](mailto:imssupport@mbie.govt.nz). NZBN / Registration numbers allow MBIE to check that you are a New Zealand legal entity. |
| * 1. **Total funding requested**   This will be auto populated when you complete your budget section below. The maximum funding available over three years is $300,000 (Excluding GST). |
| * 1. **Project title**   In 12 words or less, provide a meaningful title that identifies the nature of proposal.  Enter your answer here... |
| * 1. **Duration of the project**   Provide the duration of the project, this can be up to three years.  Enter your answer here... |
| * 1. **Start date**   Provide the proposed start date of your project. Contracts are expected to begin in March 2024. Activities outlined in successful proposals should begin shortly afterwards.  Enter your answer here... |
| * 1. **End date**   Provide the proposed end date of your project. This can be a maximum of three years after the start date.  Enter your answer here... |
| * 1. **Research area**   Select the priority area for your proposal – choose EITHER Food Science OR Environmental Science, then select the tick box sub-category. |
| 1.8 **Primary contact**  Provide the name, email address and telephone number of your primary contact person. This contact must have the authority to discuss your proposal with us and will receive our communications and updates.  Enter your answer here... |
| 1.9 **Secondary contact**  Provide the name, email address and telephone number of your secondary contact person. This contact must have the authority to discuss your proposal with us and will receive our communications and updates.  Enter your answer here... |

### Section 2: Eligibility

Confirm that you meet all of the eligibility criteria below by answering Yes/No. If you answer ‘No’ to any questions you are ineligible.

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| 2.1 The applicant of this proposal is a New Zealand-based research organisation or a New Zealand-based legal entity representing a New Zealand- based research organisation.  Answer Yes or No |
| 2.2 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.  Answer Yes or No |
| 2.3 You have you identified suitable research collaborators from a leading Chinese research organisation/s  Answer Yes or No |
| 2.4 You do not represent a department of the public service as listed in Schedule 2 of the Public Service Act 2020.  Answer Yes or No |
| 2.4 Your proposal will 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.  Answer Yes or No |

### Section 3: Proposal

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| 3.1 **Objectives**  In 250 words or less provide a concise, high-level description of what you plan to achieve during the project. The focus should be on how the collaborative activities will support the research project.  Enter your answer here... |
| 3.2 **Keywords**  List up to 15 keywords that describe the nature of your proposal. Keywords will help us to align assessors for your proposal.  Enter your answer here... |
| 3.3 **Executive summary**  In 600 words or less, provide your executive summary. This will introduce your research, its potential impact(s), and your methodology. Summarise the overall objective of your proposal, including:   * + 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.   Do not include references, hyperlinks, images, video, or audio files.  Enter your answer here... |
| 3.4 **Public statement**  In 400 words or less, provide your public statement. Your public statement may be published on MBIE’s website if your proposal is funded. It is not used for assessment purposes.  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.  Enter your answer here... |
| 3.5 **Research plan**  In 400 words or less, provide your Research Plan which should be understandable to Assessors, regardless of their specific field of expertise. Explain:   * + 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 Intellectual Property (IP) and data management.   You may include images but not hyperlinks, video, or audio files.  Enter your answer here... |
| 3.6 **International collaboration**  In 500 words or less, describe your partners and their contribution to the proposed research, including any other resources to be contributed (for example - access to specialised equipment).  Enter your answer here...  Also in the table, list the international organisation(s) you are collaborating with including the name, role, and indicative Full Time Equivalents (FTE’s) of your key contributor(s) at each organisation. You should mention all international partner organisations here.   |  |  |  |  | | --- | --- | --- | --- | | Organisation | Name | Role | Indicative FTE | |  |  |  |  | |  |  |  |  | |

### Section 4: 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. Please see our [webpages](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/investment-funds/catalyst-fund/new-zealand-china-research-alliance-2023-proposals) for more information on assessment and the criteria.

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| 4.1 **Excellence (40% weighting)**  In 650 words or less answer the key question: Will the activity lead to the creation of new knowledge through high quality research?  Enter your answer here... |
| 4.2 **Connections (30% weighting)**  **In 650 words or less answer the key question: Will the proposed activity establish an enduring collaboration with world class international collaborators?**  Enter your answer here... |
| 4.3 **Impact (30% weighting)**  In 650 words or less answer the key question: Will the project deliver benefit aligned to wider economic, social and environmental goals of New Zealand?  Enter your answer here... |

### Section 5: Key Performance Indicators

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| 5.1 **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:   * + Delivery of objective   + Sustainability   + International collaboration   + Vision Mātauranga   + Governance and management   + Capability   MBIE may discuss 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 | | Example: Delivery of the objective | Example: number of technologies developed through the Partnership | 2 to x stage  4 to x stage | 30 June 2024  30 June 2024 | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |

### Section 6: Budget

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| 6.1 Project  You only need to add one Milestone.  Title the Milestone **NZ-China SRA**. No further text is required in this section.  A Milestone is required before information can be entered into the Budget section |
| 6.2 **Funding**  **Enter the required funding per year for the proposed project. This can be up to**  **$100,000 per year to a project total of $300,000 (excluding GST) and should be evenly allocated across the project years.**  Enter your answer here... |
| 6.3 **Budget**  Using the table below, provide a budget for each year of the project using the following headings:   |  |  |  |  | | --- | --- | --- | --- | |  | Year one | Year two | Year three | | Personnel cost |  |  |  | | Travel |  |  |  | | Overheads |  |  |  | | Consumables |  |  |  | | Subcontracting |  |  |  | | Other Expenditure |  |  |  |   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 term of the contract. |

### Section 7: Project team

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| 7.1 **Project Team**  Using the following table as a guide, detail the key personnel that will be involved in each year of funding, and provide Full Time Equivalents (FTEs) and supporting CVs.   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | Role | Full Name | CV | FTE | Email address | Invited to register for and/or enter ORCID iDs | Invited to register and enter Diversity data | | \*Contract Manager | Mandatory | No | Not Applicable | Mandatory | Not Required | Not Required | | \*Science Leader | Mandatory | Yes | Mandatory | Mandatory | Yes | Yes | | \*Key researcher | Mandatory | Yes | Mandatory | Mandatory | Yes | Yes | | Key individual | Mandatory | Yes | Mandatory | Mandatory | Yes | Yes | | Post-doc | Mandatory | No | Mandatory | Not Required | Not Required | Not Required | | Student | Mandatory | No | Mandatory | Not Required | Not Required | Not Required | | Other | Mandatory | No | Not Required | Not Required | Not Required | Not Required |   **\*** Roles with an asterisk are mandatory to complete  **Invited to register and enter Diversity data** - 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](https://www.mbie.govt.nz/dmsdocument/2032-collecting-diversity-information-pdf) which is also available on our [IMS portal webpage.](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/funding-information-and-opportunities/process/ims/)   * + The time commitment for each team member is entered as FTEs. For example, a full-time team member is ‘1’ FTE. A team member who works about 20 hours a week is a 0.5 FTE.   + CVs do not have to comply with the standard New Zealand Research, Science and Innovation (RS&I) CV template. Narrative CVs may be provided.   MBIE will not fund salaries of individuals employed by local or central government but may fund other costs associated with their involvement. |

### Section 8: Other information

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| 8.1 **ANZSRC Codes**  Specify no more than two:   * + Field of Research (FOR) ANZSRC codes   + Socio-economic Objective (SEO) ANZSRC codes   For each code, specify a percentage of relevance totalling 100% under each category. The codes selected will be used to select Assessors for your Proposal.  **Type of Research Activity**  Indicate the proportion (percentage) using the categories in IMS, of the proposed research that is relevant to each category listed. Totals must equal 100%  An [ANZSRC code](https://www.mbie.govt.nz/science-and-technology/science-and-innovation/research-and-data/anzsrc/) 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](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d3TYSTsmz2uc8CY1)   + [Socio-Economic Objective 2020](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d1iJyaEzjWHJiRej)   + [Type of Research Activity 2020](https://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/Wg615FKY3OhnyOzL)   Enter your codes here…. |
| 8.2 **Conflict 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.**  Enter your answer here... |
| 8.3 **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.  Enter your answer here... |

## MBIE’s funding policies, terms and conditions

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

### Funding policies

Our funding polices show our commitment to:

* everyone having a fair and equal opportunity to participate in the science system to their fullest potential, and
* ensuring that all science data generated through its investments meets minimum expectations of good data management and public availability

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

### Funding terms and conditions

1. General

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

1. Investigations and reliance on information

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

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

1. Reliance by applicants

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

1. Reliance by MBIE

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

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

1. Inducements

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

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

1. Ownership and intellectual property

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

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

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

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

1. Confidentiality

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

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

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

1. The proposal process

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

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

1. No contractual obligations created

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

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

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

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

1. No process contract

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

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

1. Exclusion of liability

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

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

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

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

1. Costs and expenses

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

1. Governing law and jurisdiction

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

1. Disclosure of information

14.1 MBIE may make public the following information:

* The proposal title
* The name of the successful Host (the Contracting organisation)
* The names of all Partner organisations
* The public statement (as provided in the proposal)
* The public statements in the Progress report(s) and/or Final report (if funded)
* The total amount of funding provided
* The contract number (if funded)
* The contract start and end dates (if funded)
* The contract status (if funded)
* ANZSRC information provided in your application (if funded)

14.2 You must not release any media statement or other information relating to the process outlined in this Call for Proposals, or the submission or approval of any proposal to any public medium without providing sufficient advance Notice to MBIE.