MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT
HIKINA WHAKATUTUKI

MBIE Contestable Research Fund

2016 Science Investment Round

December 2015

Outline

A. Vision for the science system
B. Processes and timelines for 2016
C. How to submit a proposal
D. Components of a GOOD proposal
E. Where to go for more information
F. Questions

All figures in this presentation exclude GST

This presentation will be made available online following the roadshow

MBIE's objectives

MBIE's purpose

MBIE's purpose is to grow New Zealand for all, as reflected in the MBIE triangle:

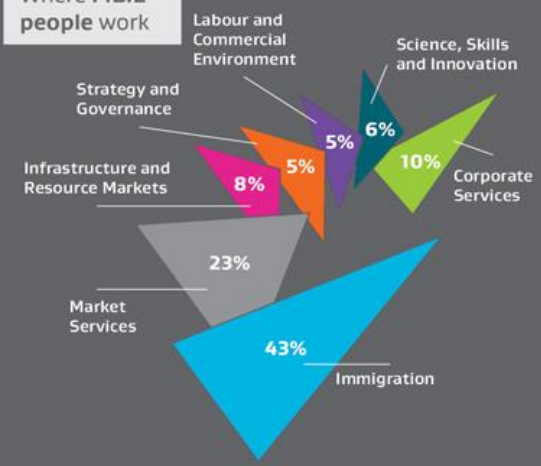
Focus areas

- MBIE's five outcomes correspond to five of the narrative's key focus areas:
  - Dynamic business environment
  - Skilled people and innovative firms
  - The built environment
  - The natural environment
  - Sectors, regions and people
- While not an MBIE outcome, MBIE is also interested in greater levels of **international connections**

3360 MBIE people

about 2940 within New Zealand and 420 offshore

Where MBIE people work



59

Number of **offices** within NZ

24% of our people are based in **Auckland**

51% of our people are based in **Wellington**

13% of us work **overseas**

6% in **Canterbury**

6% in other parts of both the **North** and **South Islands**

SEPTEMBER 2014

21

Locations **overseas**

20 for **Immigration NZ** + 3 **Science, Skills and Innovation** councellors based in Washington D.C, Brussels and Beijing

WE'RE A GLOBAL ORGANISATION

4.553 billion

MBIE's **total budget** for 2013/14, including

3.957b non-departmental

0.596b departmental

105

the number of **properties** we occupy, both here and overseas

3110

Twitter followers and growing!

2800

media enquiries a year

144

number of **Acts** and other pieces of **legislation** that MBIE is responsible for

A SNAPSHOT

MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT
HĪKINA WHAKATUTUKI

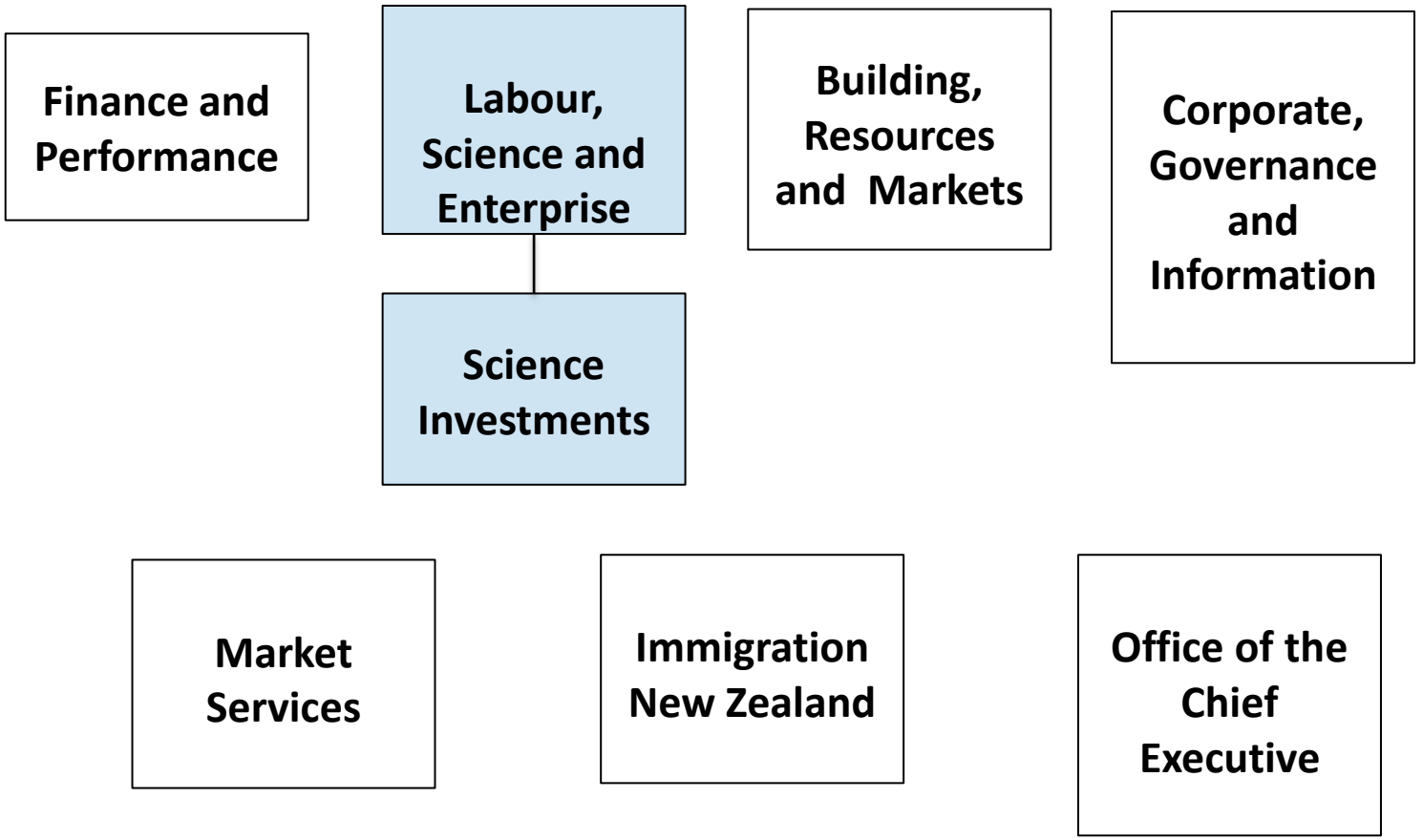
14

our **ministers**

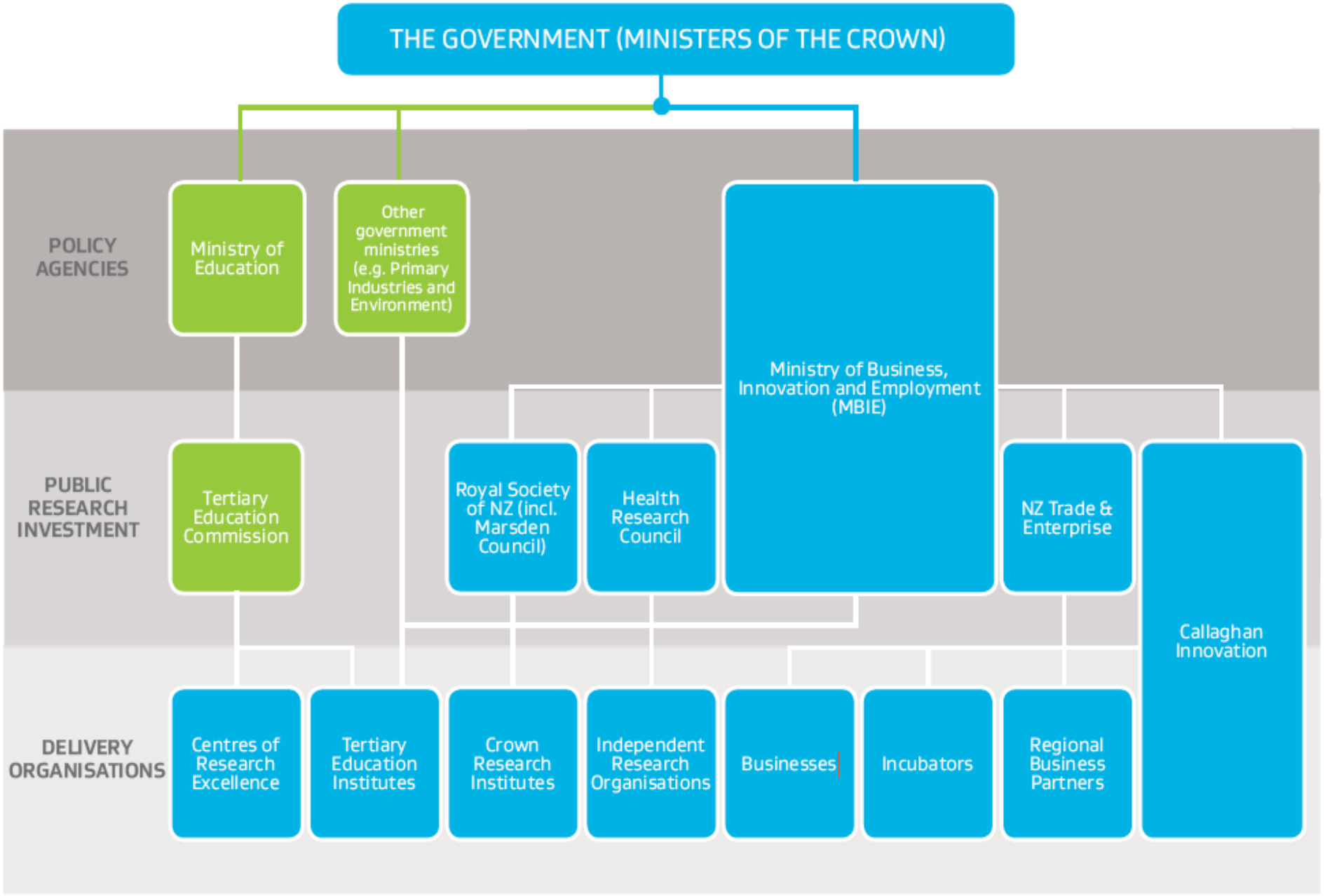
14

Auckland office sites

MBIE Structure – Business Groups



The Government support for the S&I system

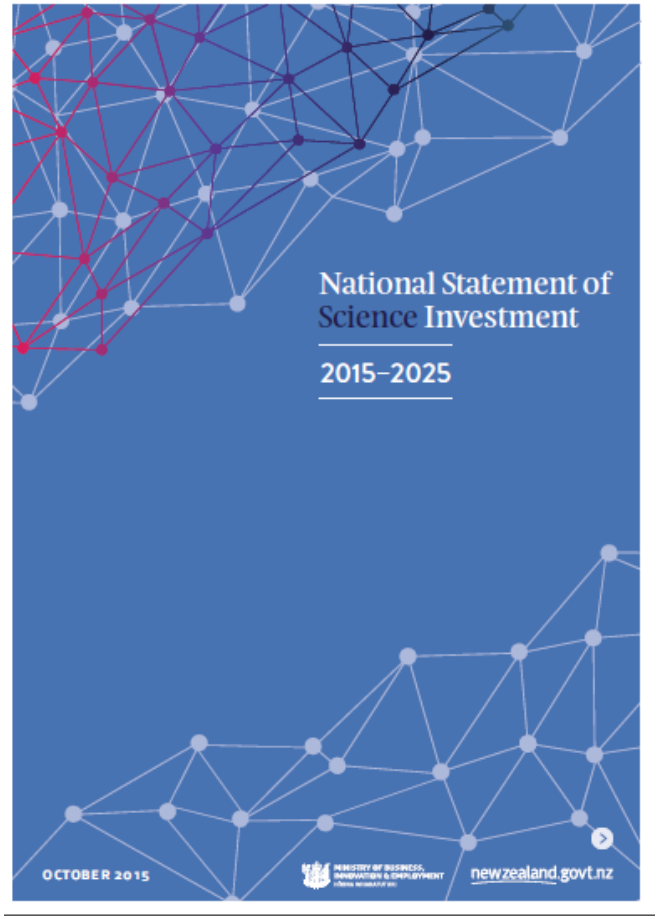


Part A. Vision for the science system

National Statement of Science Investment

- Sets out Government's 10 year strategic direction for New Zealand's science system

- Aims to maximise the contribution of science to economic growth and environmental, health and social outcomes

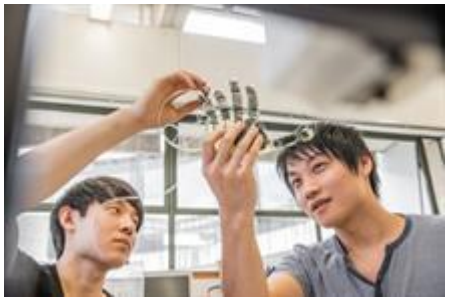


http://www.mbie.govt.nz/info-services/science-innovation/national-statement-science-investment

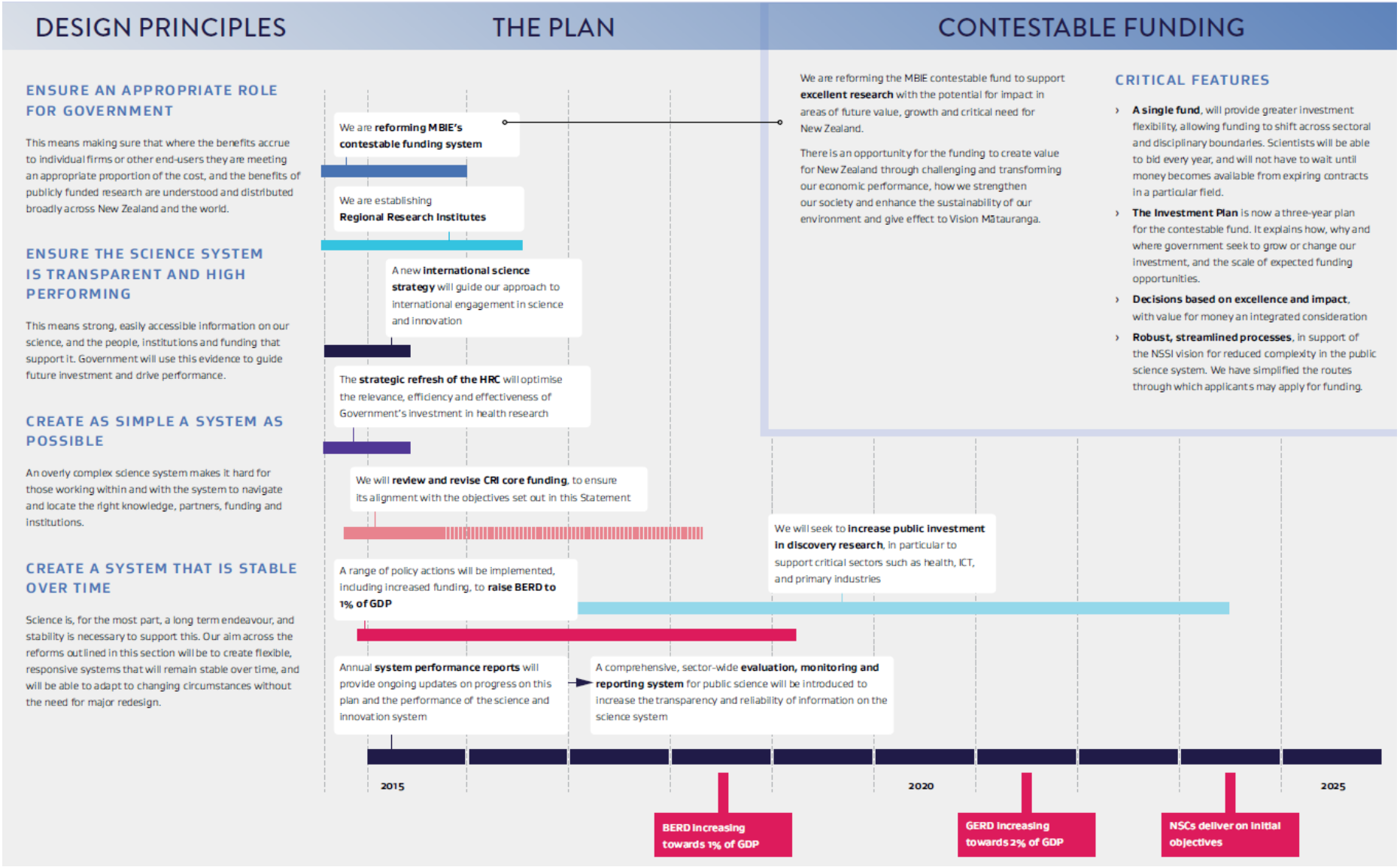
Provides a vision for New Zealand science

- A highly dynamic system that enriches New Zealand, making a more visible, measureable contribution to our productivity and wellbeing through excellent science

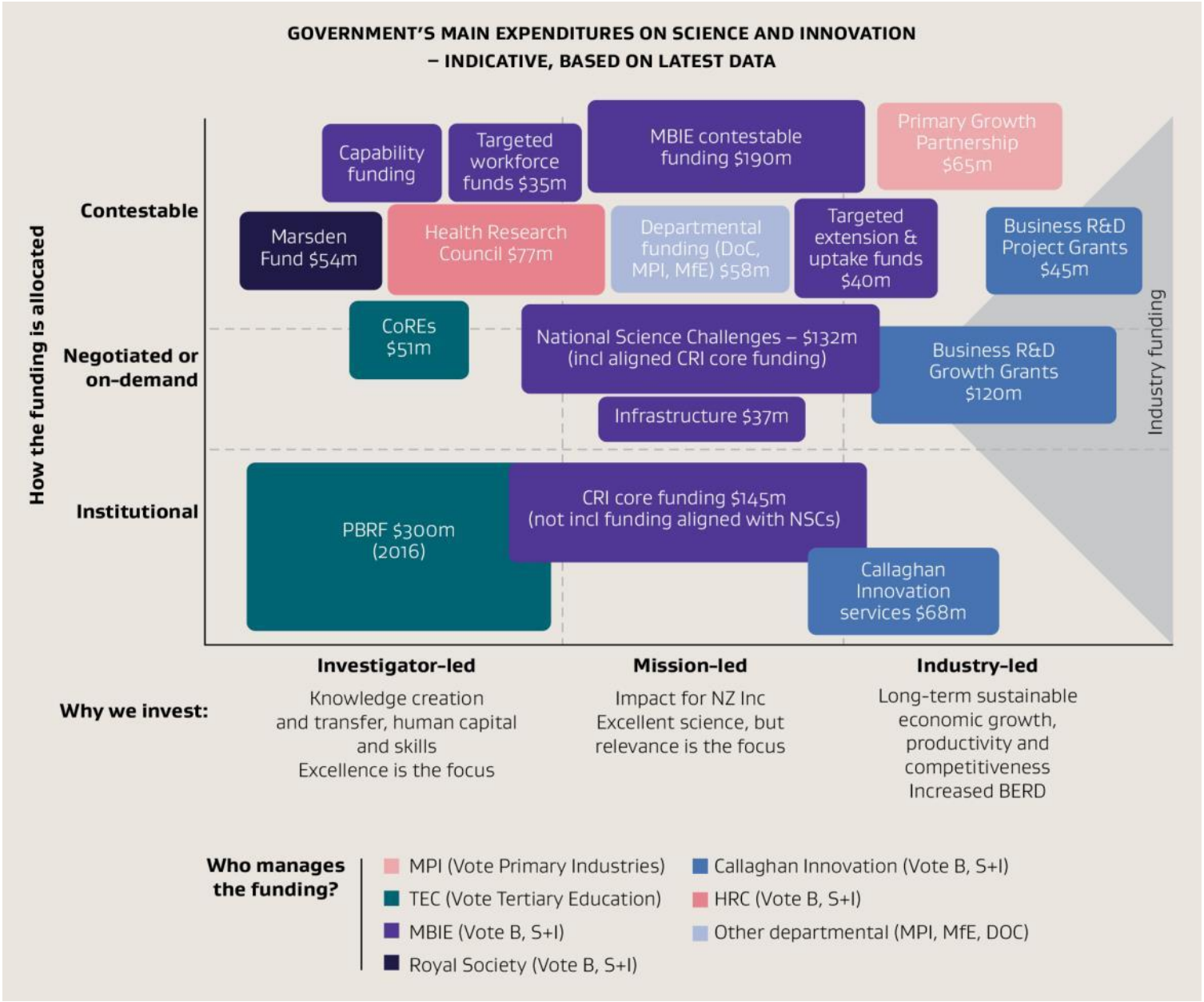
- Focus on two pillars
  - Excellence
  - Impact - economic, environmental and social



A number of initiatives underway



Science funding landscape



Contestable Research Fund

Focus on excellence, higher risk research with potential for long-term, transformational impact =

- NZ's economic performance
- The sustainability and integrity of our environment
- Help strengthen our society
- Give effect to the Vision Mātauranga Policy

What this means:

- Reduce the current 6 funds to a single fund covering economic, environmental and social objectives
- Greater flexibility so more opportunities to apply
- Decisions based on excellence and potential for impact in areas of future value, growth and critical need for NZ
- 3 year investment plan updated annually

2016 Call for Proposals – high level

- Process leads on from journey started in 2015
- Mission-led, complements: CRI core funding, NSCs, HRC, wider central or local government initiatives
- Single investment fund with wide scope for excellent research that has clear economic, environmental or social impacts
- Two investment mechanisms

Excellence = Science + Team

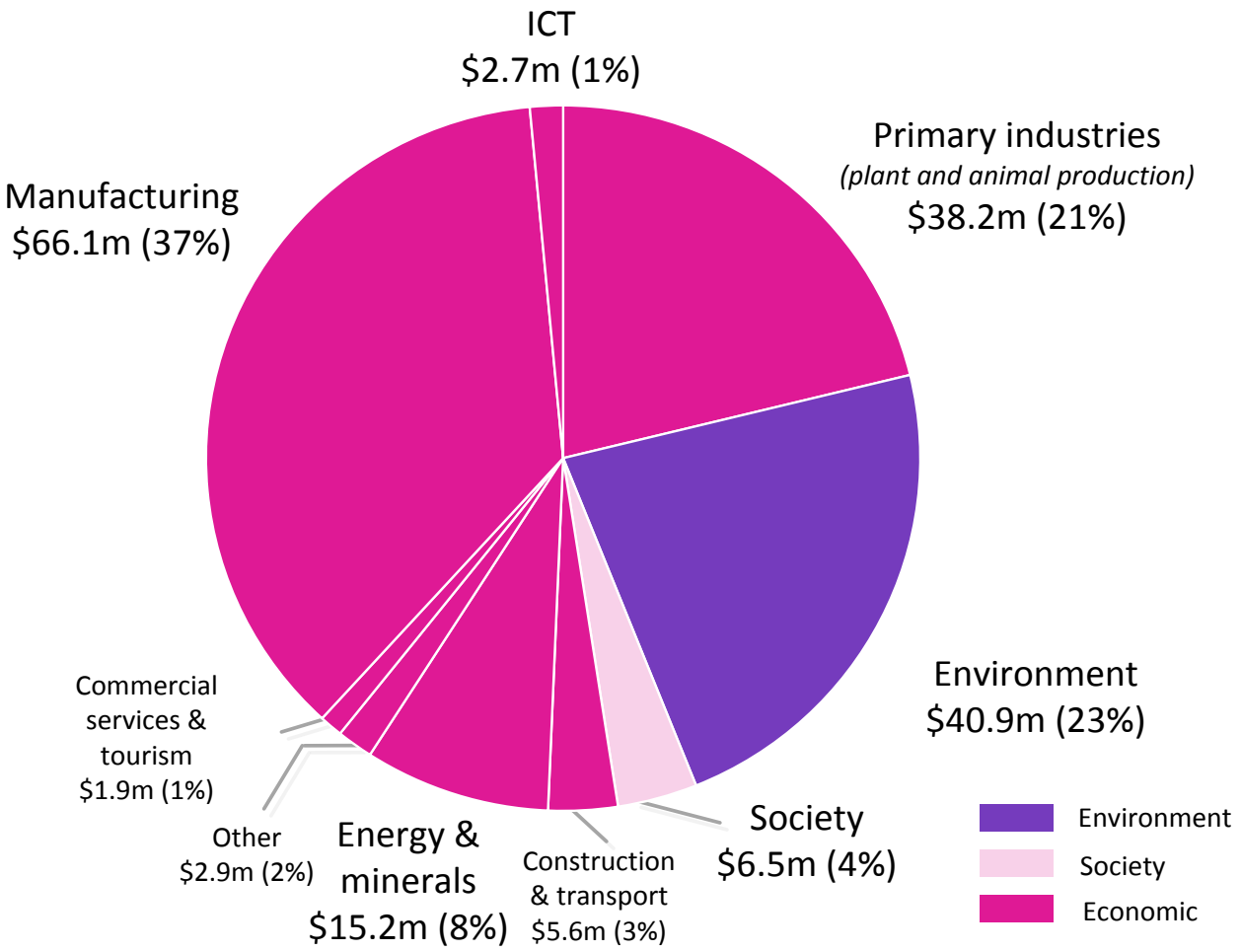
Impact = Implementation pathway + Benefits to NZ

Two mechanisms for investment

- Smart Ideas*
  - intended to catalyse and rapidly test promising, innovative research ideas with the high potential for benefit for New Zealand, to enable refresh and diversity in the science portfolio.

- Research Programmes
  - intended to support ambitious, excellent and well-defined research ideas which, collectively, have credible and high potential to positively transform New Zealand's future in areas of future value, growth or critical need.

Current Portfolio of Economic, Environmental, Social Outcomes



Similar to last year's round

- An annual call for proposals in both investment mechanisms
- Excellence and impact is sought in all proposals
- Consideration of Vision Mātauranga is required in all proposals
- Assessment of proposals by external, independent science and impact experts from New Zealand and overseas
- Assessors funding recommendations inform the Science Board
- Funding decisions are made by the Science Board
- Two stage process for Smart Ideas - concept followed by invitation to submit a full proposal
- Need to align with relevant strategies and needs
- Don't invest where health is the primary outcome

New in 2016

- **Open contest across science contributing to the economic, environmental or social objectives in the Investment Plan**
- **Proposals for funding in all areas covered by the fund can be submitted every year**
- **Two new investment mechanisms replace previous three**
- **Smart Ideas Full Proposals and Research Programmes – excellence and impact will be assessed separately**
- **Research Programme assessment - excellence assessed first then those of sufficient science quality will progress for impact assessment**
- **Registration is mandatory for all concepts and proposals**
- **Research applicants are expected to seek out and consider government priorities and strategies relevant to their research**
- **Co-funding not required but is still a useful indicator of commitment**
- **Requires applicants to identify ANZSRC codes**

Part B: Processes and timelines for 2016

Available Funding

Investment mechanism	Indicative funding ($ M per annum ex GST)	Duration (years)	Funding per contract ($ ex GST)
Smart ideas*	10.0	2 to 3	Total for a contract 0.4 - 1M
Research Programmes	25.0	3 to 5	> 0.5 M per year
Total	**35.0**		

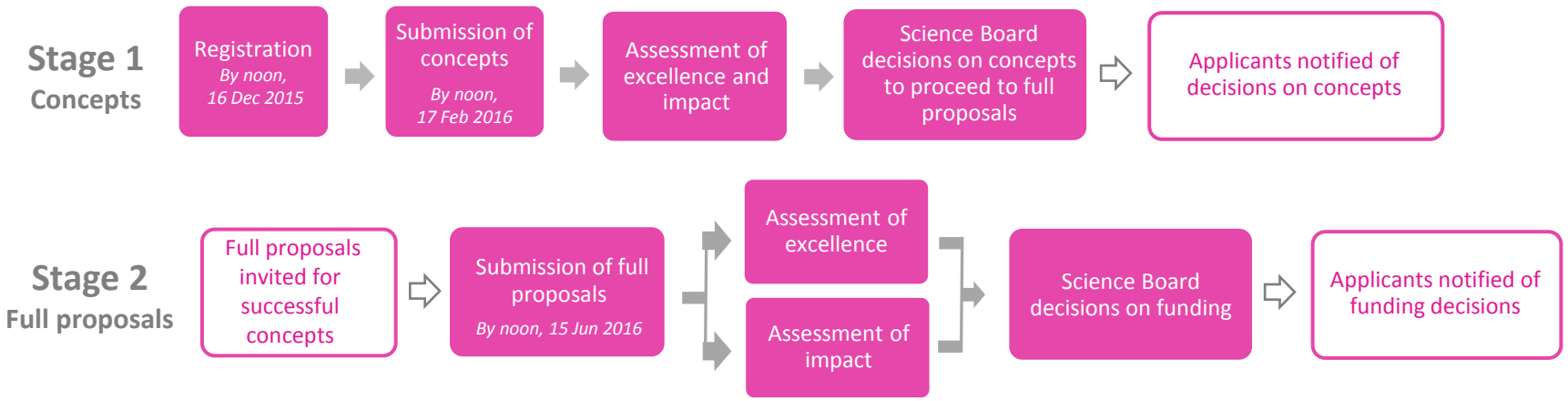
Decisions may result in funds moving between:

- investment mechanisms
- between or within economic, environmental, social outcome areas

2016 Call for Proposals – Critical Information

- If you want to submit a proposal you **must** register via the MBIE portal
- High level information in registration
- Registration helps us manage the process including identifying suitable potential assessors for proposals
- Registrations close:
  - Smart Ideas noon 16 December 2015
  - Research Programmes noon 4 February 2016

Smart ideas* - Process



Dates	Smart ideas* milestones
Dec 2015	**Portal opens, other relevant material published (eg Assessment Guidelines)**
Mid Dec 2015 (noon)	Registrations close
17 Feb 2016 (noon)	Applications close for Smart Ideas – Concepts
Early April 2016	Excellence & Impact Assessment completed for Smart Ideas – Concepts
April 2016	**Science Board decision: Smart Ideas – Concepts**
May 2016	Applicants notified of decisions – Smart Ideas Concepts
June 2016	Applications close for Smart Ideas – Full applications
Aug 2016	Excellence & Impact Assessment completed – Full applications
Aug 2016	**Science Board decision: Smart Ideas – Full applications**
Mid Sep 2016	Applicants notified of decisions
Oct 2016	**Contracts start**

Smart ideas* - Assessment Criteria

Excellence

- Science (weighted 50%)
  - progress and disseminate new knowledge
  - possess high scientific or technical risk, novelty or innovative approaches
  - well-positioned in the domestic and international research context
  - well-managed research plan and credible approach to risk management
- Team (weighted 15%)
  - mix of complementary skills, knowledge and resources to deliver proposed work and manage risk

The specific policy objectives and Vision Mātauranga are also taken into account

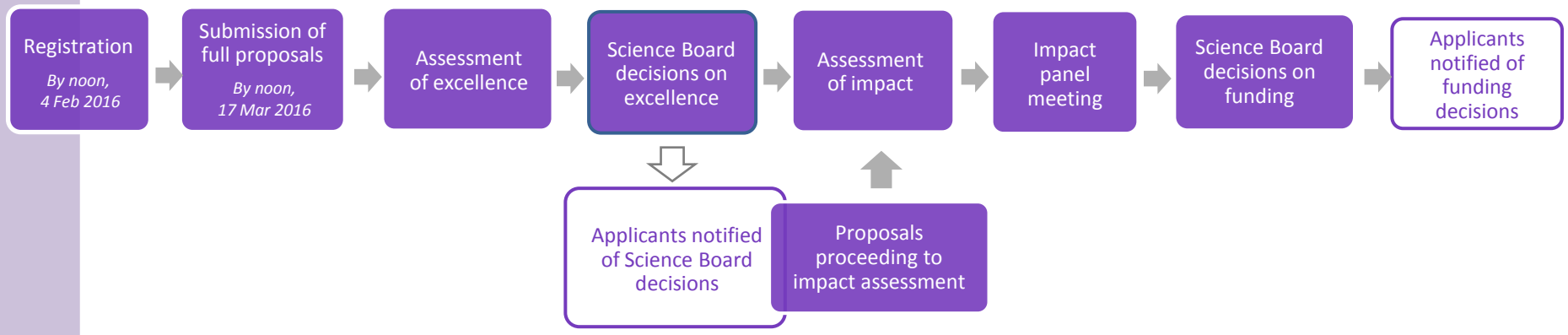
Smart ideas* - Assessment Criteria

Impact

- Benefit to New Zealand (weighted 25%)
  - credibility of the need for, scale and extent of potential benefits from proposed work
  - relevance and additional value work delivers to New Zealand
- Implementation Pathway(s) (weighted 10%)
  - credibility of indicative implementation pathway(s) to deliver public benefit to NZ (not limited to a single firm or end user) and which may be uncertain in nature

The specific policy objectives and Vision Mātauranga are also taken into account

Research Programmes - Process



Dates	Research Programme milestones
Dec 2015	**Portal opens**
4 Feb 2016 (noon)	Registrations close
17 Mar 2016 (noon)	Applications close
May 2016	Excellence Assessment completed
May 2016	**Science Board decisions: Research Programmes – Excellence**
July 2016	Impact Assessment completed
Aug 2016	**Science Board decision: Research Programmes – Impact**
Mid Sep 2016	Applicants notified of decisions
Oct 2016	**Contracts start**

Research Programmes - Assessment Criteria

Excellence

- Science (weighted 25%)
  - progress and disseminate new knowledge
  - possess scientific or technical risk, or innovative approaches
  - is well-positioned in the domestic and international research context
  - has well managed research plan and credible approach to risk management
- Team (weighted 25%)
  - demonstrated mix of complementary skills, knowledge and resources to deliver proposed work and manage risk

The general & specific policy objectives, including Vision Mātauranga, are also taken into account

Research Programmes - Assessment Criteria

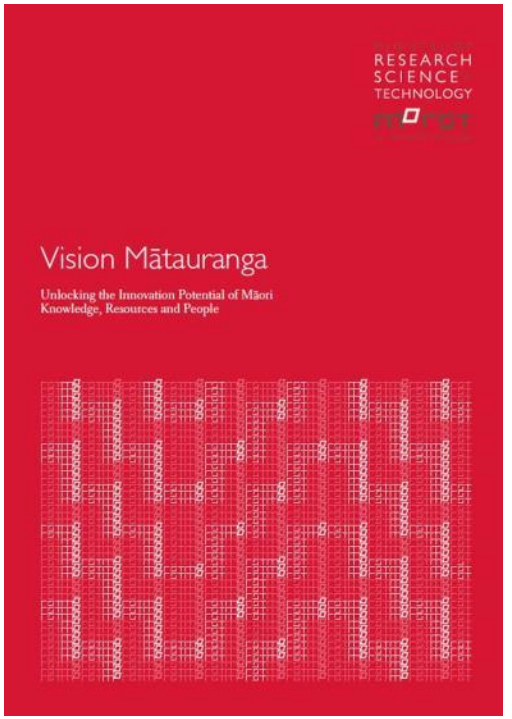
Impact

- **Benefit to New Zealand (weighted 25%)**
  - credibility of the need for, scale and extent of potential benefits from proposed work
  - relevance and additional value work delivers to New Zealand
- **Implementation Pathway(s) (weighted 25%)**
  - credibility of implementation pathway(s) to achieve the proposed benefits to NZ not limited to single firm or end-use
  - strength of relationships with relevant end users, beneficiaries or stakeholders

The general & specific policy objectives, including Vision Mātauranga, are also taken into account

Vision Mātauranga policy

- Your proposal **must** address Vision Mātauranga
- At the **start** of proposal planning, identify:
  - opportunities, needs, requirements, contributions or innovations from Māori knowledge, people or resources
  - relevant, specific Māori interests (collectives, businesses and communities)
  - line of sight from research design to delivery of outcomes
- Appropriate and relevant elements should be integrated throughout your proposal



http://www.mbie.govt.nz/info-services/science-innovation/unlocking-maori-potential

VM - What's Convincing and Credible

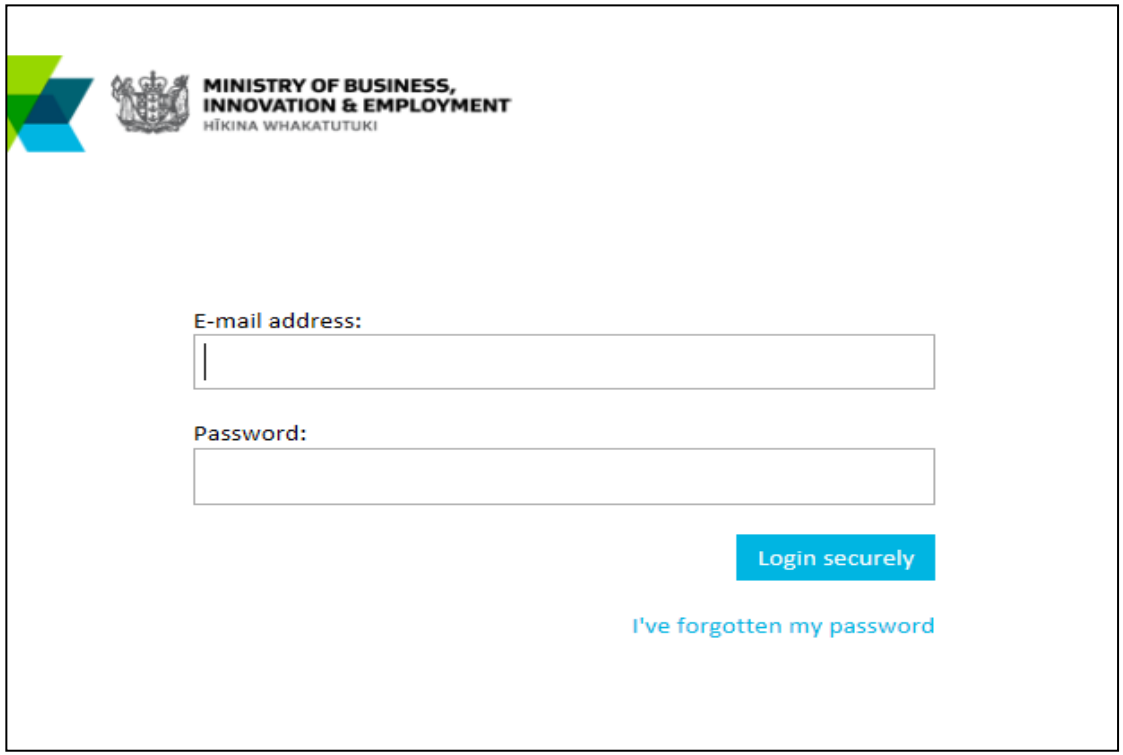
- Your analysis of needs, opportunities, requirements etc **is specific** to your research proposal, including
  - who, what, where, when, how, why
  - links to relevant national and Māori strategies
  - identifies contributions or innovations you will use
- Responds to
  - relevant values, histories, relationships, rights, aspirations, and interests held by related Māori interests
  - one or more four VM outcome benefits
- Contains appropriate use of Māori characterisation
- Shows your processes, tools etc are relevant to Māori world views, knowledge and context

VM - What's Convincing and Credible

- Clear identification, inclusion and evidence of
  - appropriate Māori voices and expertise
  - where your approach is generic, Māori -centric, or involves kaupapa Māori research & the rationale for this
  - agreed engagement methods or principles especially if working at the interface between knowledge systems
  - specific and agreed Māori roles and responsibilities
  - specific commitments eg decision-making, ownership of IP
- Resourcing and support
- Identifies risks & how they will be managed and mitigated

Test your assumptions & provide evidence if you think Vision Mātauranga isn't relevant

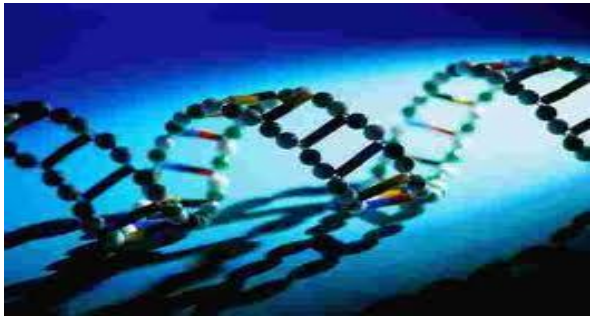
Part C: How to submit a proposal



Submitting Proposals

- All applications need to be submitted through the MBIE Portal
- New Portal users need to register online to receive a username and password
- Your research office is the first point of contact
- Only Super Users are able to ‘submit’ proposals to MBIE

Part D. Components of a GOOD proposal



Fit to Context

- Informed
  - meets requirements of key documents
  - considers the guidance provided
  - reflects the domestic and international research landscape and the proposal's niche
  - reflects strategic and specific opportunities or needs
  - distinguishes itself from other research including NSCs
  - shows the literature base it builds from

Fit to Context

- Relevant & achievable
  - team composition, skills, experience and resources fit the research being done
  - can be delivered in the time allowed
  - has the right individual not just a representative

- Clear line of sight from start to finish
  - designed with the end in mind

Easily Comprehended

- Accessible
  - understandable by excellence and impact assessors
- Clear
  - avoids getting bogged down in jargon
  - avoids convoluted rationale and logic leaps
- Readable
  - written for the audience
  - tells the story as a whole across the parts
  - presents one voice in a consistent style
  - concise writing *that doesn't get trapped by repeating over and over again that there is a need to be tightly written and punchy because telling it once is never enough and it's a really important point. And then adding more sentences to emphasise it need to be short. Like this.*

Specific

- Explains: Who, what, when, where, how, why
- Avoids generalities
  - describes the nature of each relationship
  - defines which stakeholders, where
  - describes new initiatives or what this proposal will bring to existing initiatives
- Team presents as more than a set of CVs
  - roles and responsibilities of each member including PhDs are clear
  - shows how the team will be built if it's a new group
  - contains the right mix that might include non-researchers
- Self contained
  - doesn't assume the reader knows anything about a previous project, technology, or specific NZ component & provides appropriate references

Realistic & Evidenced

- Ambitious but not hyperbolised
  - lists relevant, not all, stakeholders
- Show if you can't tell
  - let the evidence show how good the proposal is or what the size of the benefit might be
  - provide evidence of past success, parallel examples, case studies
- Round off any questions
  - describe **the solution** you will create, not just the problem
  - describe what **you will do** not what could be done
- Spell out
  - any assumptions and the basis for your claims
  - what commitments have been made to, or from, your proposal

A GREAT proposal

- Sings with
  - energy and excitement
  - integrity and commitment of relationships
  - delivers specific outcomes including Vision Mātauranga

- Stands out as
  - credible and convincing
  - levers the best from appropriate people and resources
  - develops great science and delivers significant outcomes

With more opportunity, more people will apply.
If you aren't ready, wait until you are.

Part E. Where to go for more information

Key Documents – read them

- National Statement of Science Investment
- Gazette Notice
- Science Investment Plan
- Vision Mātauranga Policy
- Call for Proposals - guidelines for applicants
- Portal guidelines
- Assessment guidelines
- Science Investment Contract

Want to know more from MBIE?

We can explain the:

- process
- use of the Portal and resolve Portal problems

We cannot:

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

Further questions on the process, CfP or content?	
Email	investmentround@mbie.govt.nz
Further questions on the portal or submitting applications?	
Email	IMSsupport@mbie.govt.nz
Call	0800 693 778 8.30am – 4.30pm
Web	http://www.mbie.govt.nz/info-services/science-innovation/investment-funding/current-funding

Other MBIE funding opportunities

- Funding for international linkages – Catalyst Fund
- Vision Mātauranga Capability Fund
- Pre-Seed Accelerator Fund
- Regional Research Institutes
- Unlocking Curious Minds

Go to the MBIE website for more information

http://www.mbie.govt.nz/info-services/science-innovation/investment-funding/current-funding

TOI MOANA BAY OF PLENTY

Economic Action Plan Summary

BAY OF CONNECTIONS

ONE REGION . ONE GOAL . ONE FUTURE

New Zealand Government

GEOTHERMAL

Geothermal energy is one of the largest sectors in the wider Bay of Plenty region and with careful management has significant capacity for growth in some areas, in addition to its existing role in electricity generation.

In recent years, opportunities to use geothermal resources as a source of thermal energy have been identified for a wide range of direct and cascading uses. These include industrial timber and food processing, agriculture, aquaculture, tourism, balneology (medical bathing), and commercial and domestic heating.

Using geothermal energy provides financial benefits, and also reinforces New Zealand's 'clean, green' brand, as it is a low-carbon, renewable energy. The purpose of developing this sector is to increase the speed and capability of our region to best leverage the opportunities for growth. How best to utilise this resource and attract large-scale industries to the region will be determined by partnering with international expertise and using their market access.

In recent years, Māori have built their kaitiakitanga role in the intergenerational development and sustainable use of New Zealand's geothermal resources, and it is important this is recognised.

This Action Plan aligns with a national geoheat strategy being developed by the New Zealand Geothermal Association, NZ geothermal research programmes, the potential development of a Geothermal Regional Research Institute, and the Bay of Connections Energy Strategy.

Opportunity	Recommended actions	Lead	Key Partners	Estimated Timeframes
Business investment targets	Identify and prioritise 10 geothermal-symbiotic industries, with 5 companies (50 in total) targeted for investment and action plan developed.	BOC Energy Sector Group	MBIE, Industry co-funding	12 months
	Document business model for distribution and attract businesses to geothermal use, eg. the 'Kissing Frogs Model'.	BOC Energy Sector Group		3 months
Increase Māori knowledge of direct use opportunities	Develop Geothermal 101 (Start to Steam), including governance training for Māori trusts.	BOC Energy Sector Group	MBIE, TPK, HMO	9-12 months
Mineral extraction and product recovery from geothermal fluids and gases	Research commercial feasibility of recovering products from geothermal brines and other elements, including economics of plant design and integration. Develop report on the top 10 targets.	GNS Science	MBIE	2016-2018
	Develop and operate NZ centre for direct use research and communication.	GNS Science	MBIE, University of Auckland, Industry, Iwi, International Geothermal Assoc, research agencies	2016-2019

Part F: Questions?