

Investment Guidelines and Processes

Natural Hazards Research Platform
Contestable Funding 2017

“New Zealand’s Natural Hazards”

Date: 9 June 2017

CONTENTS

Purpose.....	4
Overview	4
Assessment Process.....	5
Annex 1 – Process and Dates	7
Annex 2 – Application Details	8
Annex 3 – Assessment Criteria Overview.....	9
Annex 4 – Scoresheet	10
Annex 5 – Definitions	11
Annex 6 – Scoring Guide for Assessment Criteria	12

PURPOSE

The purpose of this document is to provide clarity about the Natural Hazards Research Platform contestable investment process, the research outcomes sought, and how investment decisions will be made.

OVERVIEW

The Natural Hazards Research Platform has funds to invest in the '*New Zealand's Natural Hazards*' portfolio.

This portfolio contains up to \$3M to invest over 24 months (GST exclusive). Topics addressed in the Natural Hazards Research Platform include geological hazards; weather, flood and coastal hazards; resilient buildings and infrastructure; regional & national risk evaluation models, and societal resilience. In addition to these topics, new or emerging hazards such as exacerbated weather-related hazard due to climate change, compounding risk due to cascading hazards, and economics of disaster risk management will be included. This portfolio will support fundamental, underpinning research that provides greater clarity of natural hazard events in NZ, and addresses mitigation by reduction, readiness, response and recovery.

Proposals will be accepted from NZ-based researchers¹, and are expected to be in the funding range of \$100,000 to \$500,000 (GST excl), in total. The start date for projects is 1 November 2017 and projects will conclude by 31 October 2019. Where appropriate, collaboration between research teams is expected.

Management of the Investment Process

Under the terms of the NHRP's founding documents², the NHRP Management Group (PMG) has the responsibility to manage the contestable process. The NHRP Manager will provide the NHRP's Strategic Advisory Group (SAG) and Technical Advisory Group (TAG) with access to all proposals. The NHRP Manager will assemble a Reference Panel comprising members of the PMG, SAG, TAG, and other experts as required, along with an MBIE observer. The Reference Panel will make recommendations to the PMG who will then seek approval from the Anchor CEO group to make the investments.

Funding will follow a three-tiered payment structure –

- Payment 1 – 35% paid on completion of contracting to cover initial costs. The contract is with the Natural Hazards Research Platform administered by GNS Science.
- Payment 2 – 35% following receipt of mid-contract report;

¹ Both project leader and applicant organisation must be NZ-based. Projects may include overseas collaboration, but must be led by a NZ-based researcher for the duration of the project, with a significant proportion (>75%) of the research conducted in New Zealand. Funding may be used to cover reasonable disbursements for overseas collaborators but not their salaries.

² Platform Partnering Agreement, section 12. Contestable Funds

- Payment 3 – 30% final instalment paid on receipt of an acceptable final report, and completion of project milestones.

Arrangements outside of this structure must be approved by the NHRP Manager.

ASSESSMENT PROCESS

The Assessment Group will comprise members of the PMG, SAG, TAG and other experts seconded as required.

Each proposal will be assigned to three Assessors on the basis of technical expertise and end-user relevance:

- A member of the SAG;
- A topic area specialist member of the TAG or seconded experts;
- A PMG member who is not conflicted by agency involvement in the proposal.

All members of the Assessment Group will have access to all proposals submitted. The Assessment Group will complete the initial assessment and peer review. Raw scores will be submitted via a secure portal for consideration by the Reference Panel.

A subset of the Assessment Group, the Reference Panel will comprise the NHRP Management Group and members from the group of SAG, TAG and seconded experts.

The Reference Panel will meet to discuss the assessment of all the proposals. Final assessment will take into account the scoring guidelines, comments, value for money, and balance of projects across themes. The Reference Panel make recommendations to the PMG who then seek approval from the Anchor CEO group to make the investments.

Expectations Regarding Conflicts of Interest

(For the PMG, TAG, SAG, seconded experts and Reference Panel):

- Declare all possible conflicts of interest as per guidelines below
- Contribute positively to the decision-making processes
- Treat all information received as part of the process in confidence
- Take a strategic and broad view of the investment
- Leave personal, institutional, discipline, and end-user interests to one side when considering how funds should be invested

Conflicts of Interest Management

Conflicts of Interest which arise during the process of assessing proposals will be managed in the following way:

- All assessors will declare all conflicts of interest, and where direct conflict exists will not be involved in the assessment of that particular proposal.
- All conflicts of interest, both direct and indirect, will be recorded.

A direct conflict means that the member is involved in the proposal or stands to gain if the proposal is funded.

An indirect conflict means that the member is affiliated with the organisation that will gain should the proposal be funded.

Contacts and Enquiries

Please email enquiries to the NHRP office (NHRP@gns.cri.nz) and check the website (www.naturalhazards.org.nz) for any information updates.

Annex 1 – Process and Dates

Natural Hazards Platform Investment Process 2017: 'New Zealand Natural Hazards'	
RfP, Investment Guidelines and Application form available on NHRP website.	9 June 2017
Applications submitted to NHRP@gns.cri.nz Proposals received by NHRP and checked for eligibility	31 July 2017 at noon
Proposals assigned to assessors and sent out to the Assessment Group	By 21 August 2017*
Assessment scores back to NHRP	25 September 2017*
Reference Panel Meeting to discuss all proposals and to agree on final recommendations	2 October 2017*
Anchor CEO Group endorsement	9 October 2017*
Results released	23 October 2017*
Contracts begin	1 November 2017

*Dates are indicative only.

Annex 2 – Application Details

The application is to be submitted by e-mail to NHRP@gns.cri.nz.

The application requires the following:

1. A signed, formal declaration is required. Proposals should be submitted by an organisation's research office and/or designated research manager.
2. Applicant identifies Theme and Topic Area.
3. Develop a Research Overview that details:
 - A research summary including Impact Statement(s) & Research Aims
 - Outcome benefits to New Zealand
 - Implementation Pathway. Project map may be included.
 - Benefits to New Zealand of RS&T or related activities
 - Ability of the team to deliver results (outputs) from RS&T or related activities
 - References
4. If relevant to the research, applicant should incorporate Vision Mātauranga within the research overview. Brief explanation is required if research is not applicable to Vision Mātauranga.
5. Research Summary Table
6. Impact Statement & Research Aim descriptions
7. Provide a brief list of relevant past/current research contracts (No more than three, if applicable)
8. Budget. All dollar amounts should be GST exclusive.
9. List the Project Team members and FTEs
10. Subcontracting
11. Additional Support, if any
12. List primary end-users
13. Provide CVs for Project leader and up to two key personnel

Annex 3 – Assessment Criteria Overview

The proposals will be assessed using MBIE criteria (see table below). **In your application, please address the Assessment Criteria shown below.**

<i>Benefits to New Zealand</i>	<i>Risk Management or Success Factors</i>
1. Outcome benefits to New Zealand <i>Key Question:</i> <i>To what extent would the proposed research, science or technology, or related activities create benefits for New Zealand?</i>	2. Implementation Pathway <i>Key Question:</i> <i>To what extent does the proposal have a credible pathway to implementation?</i>
3. Benefits to New Zealand of research, science, or technology or related activities <i>Key questions:</i> <i>What is the quality of the proposed research, science, or technology, or related activities? To what extent would the proposed research, science, or technology, or related activities generate new knowledge?</i>	4. Ability to deliver results (outputs) from research, science, or technology, or related activities <i>Key question:</i> <i>What is the likelihood that the proposed outputs of the research, science, or technology, or related activities will be achieved?</i>

Annex 4 – Scoresheet

Assessment Panel members will receive a scoresheet (shown below) to enter their scores and return prior to the meeting. The form will be sent electronically. The scoring system is derived from that utilised by MBIE in reviewing their contestable investment programmes.

Short Title	Lead Org	Science Leader	Outcome benefits to NZ 1-7	Implementation pathway 1-7	Benefits to NZ 1-7	Ability to deliver results 1-7	Comments

Annex 5 – Definitions

Anchor CEO Group	Comprised of the Deputy Chief Executive - Science, Skills & Innovation of MBIE and the Chief Executives of GNS Science and NIWA.
Assessment Group	Comprised of members of the PMG, TAG, SAG and seconded experts. Role is to provide peer review of proposals.
Natural Hazards Research Platform	The NHRP or 'Platform' is comprised of GNS Science as host organisation, NIWA as co-anchor organisation, and Partners – University of Auckland, University of Canterbury, Massey University and Opus Research.
NHRP Management Group (PMG)	Also known as the Platform Management Group (PMG). A group of representatives from each of the represented parties in the NHRP – GNS Science, NIWA, University of Auckland, University of Canterbury, Massey University and Opus Research.
Reference Panel	Provides the balance of technical expertise (TAG) with end-user requirements (SAG). The Reference Panel comprises the NHRP Manager, and members of the SAG, TAG, and the PMG. The Reference Panel gives consideration to the final raw scores and makes recommendations to the PMG who then seek approval from the Anchor CEO Group to make the investment.
Strategic Advisory Group (SAG)	A group of research users (end-users) appointed to provide strategic advice to the NHRP, in accordance with the Platform Partnering Agreement.
Technical Advisory Group (TAG)	The TAG provides advice on technical excellence of NHRP research, international connectedness and relevance.

Annex 6 – Scoring Guide for Assessment Criteria

Score	Key words	Outcome benefits to New Zealand	Implementation pathway	Benefits to New Zealand of RS&T or related activities	Ability to deliver results (outputs) from RS&T and related activities
1	<p>Negligible</p> <p>Not plausible</p> <p>Little or no information</p> <p>Very limited or no recognition or incorporation of Vision Mātauranga</p> <p>No meaningful analysis</p>	<p>The estimated benefits are negligible.</p> <p>Where the estimated benefits are better than negligible, the methods of estimation and/or the associated sensitivity analysis give no confidence that they are realistic estimates.</p> <p>Vision Mātauranga elements are not incorporated or, if incorporated, have a negligible impact.</p>	<p>The proposed implementation pathway contains few if any of the elements that would be expected and the supporting information is either non-existent or completely unsatisfactory.</p> <p>The research team or host organisation has a negative track record in engaging with users, that is it has been ineffective with little successes to report.</p> <p>There are no significant measures proposed for engaging with end users including relevant Māori business, organisations or individuals, and/or the level of end user commitment, and the level of uptake that could be expected from those end users is negligible.</p>	<p>The research aims and the methodology proposed are inadequate or lack sufficient detail.</p> <p>Vision Mātauranga elements are not incorporated.</p> <p>The proposal is not linked to any applicable scientific and technological principles or to relevant state-of-the-art knowledge.</p>	<p>The research team has little or no capabilities, collaboration, international linkages, scientific and other resourcing, and supporting infrastructure.</p> <p>Vision Mātauranga elements are not incorporated.</p> <p>The project plan does not contain the expected elements.</p>
2	<p>Poorly justified</p> <p>Insufficient information or analysis</p> <p>Limited recognition or incorporation of Vision Mātauranga</p> <p>Vision Mātauranga largely based on individual contacts/researchers</p> <p>Doubtful</p>	<p>The estimated benefits - including the incorporation of Vision Mātauranga elements if relevant, the cost of the research and the extent to which the benefits go beyond those from “business as usual” investment in research – are better than negligible but even at this level there are significant unknowns or risks.</p> <p>The benefits are not likely to have significant application across a sector and there are only a few, relatively small end users and/or any links to end users and end-use sectors are not substantiated.</p> <p>The analysis that supports the estimates of benefit and uncertainty is poor and contains little or no external input.</p>	<p>The proposed implementation pathway contains only a few of the elements that would be expected and supporting detail is either lacking or of poor quality.</p> <p>The research team or host organisation has a poor track record in engaging with users including relevant Māori business, organisations or individuals, with limited effectiveness and results.</p> <p>There are a few measures proposed for engaging with end users, but with limited end user commitment and little confidence in achieving effective uptake from those end users.</p>	<p>The research aims and the methodology proposed are barely adequate and/or are poorly considered.</p> <p>The proposal appears to be linked with applicable scientific and technological principles and with relevant state of the art knowledge including applicable Vision Mātauranga themes but this link does not appear strong and/or there is insufficient information about this link.</p>	<p>The research team substantially lacks sufficient capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure.</p> <p>The incorporation of Vision Mātauranga elements is not adequate or appropriate.</p> <p>The project plan contains the expected elements, but the information provided is inadequate for the plan to be plausible.</p>

3	<p>Significant but with risks and unknowns</p> <p>Some analysis and evidence</p> <p>Some areas doubtful or inadequate</p> <p>Some detail lacking or missing</p> <p>Not fully convincing</p> <p>Conceptual more than actual Vision Mātauranga-integration/knowledge.</p>	<p>The estimated benefits - including the incorporation of Vision Mātauranga elements if relevant, the cost of the research and the extent to which the benefits go beyond those from “business as usual” investment research – are significant but at a level where there are still significant unknowns or risks.</p> <p>The benefits are likely to have some degree of application across a sector or multiple end users including relevant Māori business, organisations or individuals, or the end users are significant in size, but any links to end users and end-use sectors are not well supported.</p> <p>The analysis that supports the estimates of benefit and uncertainty is not convincing and contains limited external input.</p>	<p>The proposed implementation pathway contains many of the elements that would be expected but with significant gaps and at a poor level of detail.</p> <p>The research team or host organisation has some track record in engaging with end users including relevant Māori business, organisations or individuals but with mixed effectiveness and results, that is, engagement is relatively weak and unconvincing.</p> <p>Some measures are proposed for engaging with end users but the level of end user commitment and the level of uptake that could be expected from those end users is limited and/or unconvincing.</p>	<p>The research aims and the methodology proposed are reasonable but lack detail.</p> <p>The proposal is linked with applicable scientific and technological principles and with relevant state-of-the-art knowledge but the links are not well explained and not fully convincing.</p>	<p>The research team has capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure, appropriate to carrying out the work, including the incorporation of Vision Mātauranga elements if appropriate. These are largely adequate but critical or significant expertise needed for the programme is missing even after taking into account the New Zealand and international linkages.</p> <p>The project plan contains most of the expected elements, but the details are limited and some elements are inadequately developed.</p>
4	<p>Adequate</p> <p>Sufficient</p> <p>As expected</p> <p>Balanced – some good areas, but also some areas of concern/doubt</p> <p>Vision Mātauranga- integration/ knowledge apparent</p>	<p>The estimated benefits - including the incorporation of Vision Mātauranga elements if relevant, the cost of the research and the extent to which the benefits go beyond those from “business as usual” investment in research – are significant at a reasonable level of confidence, that is uncertainties are described and taken into account to some degree.</p> <p>The benefits are likely to have a significant degree of application across a sector or multiple end users including relevant Māori business, organisations or individuals, or the end users are substantial in size, and there is some justification provided for links to end users and end-use sectors.</p> <p>The analysis that supports the estimates of benefit and uncertainty is solid, but with some gaps and uncertainties. There is a reasonable degree of external input.</p>	<p>The proposed implementation pathway contains most of the important elements that would be expected and with a reasonable level of supporting detail.</p> <p>The research team or host organisation has a solid track record in engaging with users including relevant Māori business, organisations or individuals with effective outcomes in some but not all cases.</p> <p>The measures proposed for engaging with end users, the level of end user commitment, and the level of uptake that could be expected from those end users is significant and moderately convincing.</p>	<p>The research aims and the methodology proposed are reasonable and described in sufficient detail.</p> <p>The proposal's links with applicable scientific and technological principles and with relevant state-of-the-art knowledge are sufficient and adequately explained.</p>	<p>The research team has adequate capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure, appropriate to carrying out the work.</p> <p>Vision Mātauranga elements are adequately incorporated.</p> <p>The project plan contains all expected elements, with an adequate level of detail.</p>

5	<p>Substantial scale and scope</p> <p>Satisfactory</p> <p>Noticeable impact</p> <p>Good supporting information and analysis</p> <p>Appropriate</p> <p>Overall good, but some areas of doubt/concern</p>	<p>The estimated benefits from implementing the proposed idea, - including the incorporation of Vision Mātauranga elements if appropriate, the costs of the research and the extent to which the benefits go beyond those from “business as usual” investment in research - are of substantial scale and breadth of scope.</p> <p>There is likely to be a noticeable impact in a sector or for multiple users, or the end users including relevant Māori business, organisations or individuals are very substantial in size.</p> <p>The estimate of benefits is based on a satisfactory level of analysis and external references or sources of advice.</p>	<p>The proposed implementation pathway contains all of the important elements that would be expected and with a moderately comprehensive and competent level of supporting detail.</p> <p>The research team or host organisation has a good and consistent track record in engaging with users including relevant Māori business, organisations or individuals with effective outcomes in most cases.</p> <p>The measures proposed for engaging with end users, the level of end user commitment, and the level of uptake that could be expected from those end users is comprehensive and convincing.</p>	<p>The research aims and the methodology proposed are comprehensive and competent.</p> <p>The proposal is effectively linked with applicable scientific and technological principles and with relevant state-of-the-art knowledge.</p> <p>Vision Mātauranga is well supported, integrated and provides value.</p>	<p>The research team has capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure, appropriate to carrying out the work, including the incorporation of Vision Mātauranga elements if appropriate. These are comprehensive and at an excellent level of content and detail for carrying out the work.</p> <p>The project plan contains all of the expected elements, with a very good level of detail.</p>
6	<p>Very substantial</p> <p>Few areas of doubt</p> <p>Sound analysis</p> <p>Extensive supporting information</p> <p>Effective</p> <p>Superior</p>	<p>The estimated benefits from implementing the proposed idea - including the incorporation of Vision Mātauranga elements if appropriate, and taking account of the cost of the research and the extent to which the benefits go beyond those from “business as usual” investment in research are very substantial in scale and breadth of scope.</p> <p>There is likely to be a significant impact in a sector or for multiple users, or the end users are very substantial in size and/or represent a substantial part of the sector.</p> <p>Strategic leveraging points are utilised across relevant key stakeholders including Māori business, organisations, or individuals.</p> <p>Realisation of Vision Mātauranga benefits is substantive.</p> <p>The estimate of benefits is based on sound and full analysis, and external references or sources of advice.</p>	<p>The proposed implementation pathway contains all of the elements that would normally be expected and the supporting information is credible and competent.</p> <p>The research team or host organisation has an excellent and very consistent track record in engaging with users including relevant Māori business, organisations or individuals with effective outcomes. Elements of co-design or partnering feature at the front end of process development.</p> <p>The measures proposed for engaging with end users, the level of end user commitment, and the level of uptake that could be expected from those end users are of good quality and are credible and convincing.</p>	<p>The applicant has gone to significant effort to develop and communicate clearly the proposed research aims and the methodology.</p> <p>The proposal is effectively linked with applicable scientific and technological principles and with relevant state-of-the-art knowledge.</p> <p>Vision Mātauranga is well supported integrated and adds significant value.</p>	<p>The research team has superior capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure.</p> <p>The applicant has gone to additional effort to explore and to incorporate Vision Mātauranga elements.</p> <p>The project plan is comprehensive, clear, and well explained and contains all of the expected elements, with an excellent level of detail.</p>

7	<p>Very well justified</p> <p>Very substantial</p> <p>No concerns</p> <p>Comprehensive</p> <p>Outstanding</p> <p>State of the art</p> <p>Best practice or model proposal</p> <p>Vision Mātauranga is embedded seamlessly</p>	<p>The possible benefits from implementing the proposed idea - including the incorporation of Vision Mātauranga elements if appropriate, and taking account of the cost of the research and the extent to which the benefits go beyond those from “business as usual” investment in research - are well justified and of very large scale and breadth of scope.</p> <p>The benefits are likely to have a very substantial impact in a sector or for multiple users, or the end users are very substantial in size and/or are a dominant part of the sector.</p> <p>Strategic leveraging points are utilised across relevant key stakeholders including Māori business, organisations or individuals.</p> <p>Realisation of Vision Mātauranga benefits is substantive and the project provides an exemplar of what is expected.</p> <p>The estimate of benefits is based on a sophisticated and very comprehensive level of analysis supported by extensive external references and sources of advice.</p>	<p>The proposed implementation pathway contains all of the elements that would be expected and may exceed best practice expectations. The supporting information is highly credible and convincing.</p> <p>The research team or host organisation has an outstanding track record in engaging with users including relevant Māori business, organisations or individuals with highly effective outcomes.</p> <p>Co-design or partnering feature strongly at the front end of process development.</p> <p>The measures proposed for engaging with end users, the level of end user commitment, and the level of uptake that could be expected from those end users is of outstanding quality and highly credible and convincing.</p>	<p>The research aims and the methodology proposed are fully comprehensive and of outstanding quality.</p> <p>The proposal contains links with applicable scientific and technological principles and with relevant state-of-the-art knowledge.</p> <p>Vision Mātauranga is well supported, integrated, and is convincing and effective.</p>	<p>The research team has outstanding and comprehensive capabilities including collaboration, international linkages, scientific and other resourcing, and supporting infrastructure, appropriate to carrying out the work.</p> <p>The detail is exemplary and gives full confidence that the work will be implemented as indicated.</p> <p>The project advances and models delivery across Vision Mātauranga and science.</p>
---	--	---	---	---	---