

## Contestable Fund Round 2

Request for Proposals

## The Deep South Challenge Mission

The mission of The Deep South (Te Kōmata o Te Tonga) National Science Challenge is to enable New Zealanders to adapt, manage risk, and thrive in a changing climate.

Working with communities and industry we will bring together new research approaches to determine the impacts of a changing climate on our climate-sensitive economic sectors, infrastructure and natural resources to guide planning and policy.

This will be underpinned by improved knowledge and observations of climate processes in the Southern Ocean and Antarctica - our Deep South - and will include development of a world-class earth systems model to predict Aotearoa/New Zealand's climate.

## The Deep South Challenge Contestable Funding

The Deep South Challenge has built an effective Mission-centred core research plan centred on five programmes:

1. [Engagement](http://www.deepsouthchallenge.co.nz/programmes/engagement)
2. [Vision Mātauranga](http://www.deepsouthchallenge.co.nz/programmes/vision-matauranga)
3. [Impacts & Implications](http://www.deepsouthchallenge.co.nz/programmes/impacts-and-implications)
4. [Processes & Observations](http://www.deepsouthchallenge.co.nz/programmes/processes-and-observations)
5. [Earth Systems Modelling & Prediction](http://www.deepsouthchallenge.co.nz/programmes/earth-system-modelling-and-prediction)

The Challenge funds research and related activities through both programme specific funds and the Contestable Fund. Projects in the Contestable Fund can be aligned to one or more of the core programmes. This is the second request for Contestable Fund proposals. In our first year, we funded seven projects that will enhance our knowledge of Processes and Observations (P&O), strengthen the development of the Earth System Modelling and Prediction (ESMP), widened our portfolio of Vision Mātauranga (VM) research and initiated our explorations onto the field of climate change Impacts and Implications (I&I) in New Zealand. Information about both Contestable and programme specific funded projects can be found on the Deep South Challenge [website](http://www.deepsouthchallenge.co.nz/deep-south-challenge-funded-projects).

In addition to this contestable funding round, programme specific funding mechanisms exist outside of this RfP. In the near future we will be allocating funding in the [Impacts and Implications](http://www.deepsouthchallenge.co.nz/programmes/impacts-and-implications) (I&I) programme, and will be calling for further [Vision Mātauranga](http://www.deepsouthchallenge.co.nz/programmes/vision-matauranga) (VM) proposals. The [Engagement Programme](http://deepsouthchallenge.co.nz/Engagementprogramme) also has additional, on-going, funding available to support a range of activities that will help improve New Zealanders’ ability and capacity to make decisions informed by climate change science. More information on this process is available on the [website](http://www.deepsouthchallenge.co.nz/programmes/engagement).

**Available Funding and Timing**

The Deep South Challenge Board has allocated up to $3,000,000 (excl. GST) of funding for the Deep South Challenge Contestable Fund over the three-year period from July 2016 to June 2019. The first Contestable Funding Round, in 2016, funded 7 projects to the value of $1,500,000. The second round will fund projects for the remaining $1,500,000 (excl. GST). These funding cycles overlap.

**Funding Cycle 1 (ongoing)** projects commenced on or after **1 July 2016** and are to be completed by **30 June 2019**.

**Funding Cycle 2** projects will commence on **1 July 2017**, and are to be completed by **30 June 2019**.

Applicants may apply for up to $300,000 (excl. GST) per project for up to two years, however, projects of lower value and shorter duration will be considered.

## **Contestable Funding Scope**

The Challenge invites proposals for projects that will help deliver the overall Mission and contribute to the success of the Challenge. It is vital that applicants understand this core requirement when drafting proposals. Applicants are strongly encouraged to contact the relevant Deep South Science Leadership Team (SLT) member to discuss their proposal ideas to ensure that it is Deep South Mission-relevant. Applicants are also able to submit proposals that span more than one programme.

The Challenge will consider funding research that is innovative, cutting edge and more exploratory where it has a potentially high impact for the Challenge, and addresses the Challenge mission. In addition, the Challenge will consider funding research that invests in capability development both in areas important to the Challenge and areas expected to grow in importance and relevance to the Challenge.

While applications will be considered that cover any of our Programmes, we would like to encourage applications that fall into the [Impacts and Implications](http://www.deepsouthchallenge.co.nz/programmes/impacts-and-implications) and [Engagement Programmes](http://www.deepsouthchallenge.co.nz/programmes/engagement). These are areas that are currently under significant development, and are essential to the achievement of our mission.

The Engagement Programme differs from the other four programmes in being strongly, though not exclusively, oriented toward engaging groups of New Zealanders. Applications that focus on engagement or contain substantial components of engagement will be assessed on their ability to deliver on one or more of the following Engagement objectives: 1) ensuring that the DSC responds to New Zealanders’ needs, 2) strengthening channels with key audiences and sectors, 3) establishing broad public communication and two-way engagement about DSC-related research that can inform climate related decisions, and 4) building capacity for engagement about climate change. Please see the [DSC Engagement Programme](http://www.deepsouthchallenge.co.nz/programmes/engagement) page for full details of the Engagement Strategy, objectives and funding priorities and process.

The [Vision Mātauranga Programme](http://www.deepsouthchallenge.co.nz/programmes/vision-matauranga) spans the whole challenge and all projects are encouraged to consider the relevance of their research for Māori, including opportunities to actively engage and exchange knowledge. Clear achievable steps should be provided by those projects that seek to contribute to VM programme objectives.

There is also an opportunity for applicants to request funds that could support Antarctic fieldwork on RV Tangaroa (2017/18 and 2018/19), provided that the research is focussed on achieving the Deep South Challenge mission and the research team have already submitted an EOI to the Tangaroa Antarctica Working Group and had it accepted. Evidence of the EOI should be submitted with the proposal.

Applicants who need logistics support from Antarctica NZ should ensure all logistics information is supplied to Antarctica NZ by their deadlines. For the 2017/18 season, Antarctica NZ’s deadlines have passed. For those needing logistics support in the 2018/19 season, logistics support requests should be submitted to Antarctica NZ for parallel evaluation by 2 March 2017. Evidence of the logistics request should be submitted along with the DSC Contestable Fund proposal.

**Deep South Challenge Science Leadership Team Programme Leaders**

|  |  |  |
| --- | --- | --- |
| Name | Programme | Email |
| Mike Williams | Challenge Director | [mike.williams@niwa.co.nz](file:///C:\Users\ajm226\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\Z8K7J0HQ\mike.williams@niwa.co.nz) |
| Rhian Salmon | Engagement | [rhian.salmon@vuw.ac.nz](file:///C:\Users\ajm226\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\Z8K7J0HQ\rhian.salmon@vuw.ac.nz) |
| Darren Ngaru King | Vision Mātauranga | [darren.king@niwa.co.nz](file:///C:\Users\ajm226\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\Z8K7J0HQ\darren.king@niwa.co.nz) |
| Suzi Kerr | Impacts & Implications | [suzi.kerr@motu.org.nz](file:///C:\Users\ajm226\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\Z8K7J0HQ\suzi.kerr@motu.org.nz) |
| Adrian McDonald | Processes & Observations | [adrian.mcdonald@canterbury.ac.nz](file:///C:\Users\ajm226\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\Z8K7J0HQ\adrian.mcdonald@canterbury.ac.nz) |
| Olaf Morgenstern | Earth System Modelling & Prediction | [olaf.morgenstern@niwa.co.nz](mailto:olaf.morgenstern@niwa.co.nz) |
| Lucy Jacob | Challenge Manager | [lucy.jacob@niwa.co.nz](mailto:lucy.jacob@niwa.co.nz) |

## **Summary of Deep South Challenge Contestable Funding**

## Key Principles

|  |  |
| --- | --- |
| Total Value (Years 3-5) | Up to $3,000,000 (excl. GST) |
| Number of Investment Cycles | 2 overlapping cycles (years 3-4 & 4-5) |
| Investment Cycle Value | Up to $1,500,000 (excl. GST) years 3-4 (already funded)  Up to $1,500,000 (excl. GST) years 4-5 |
| Project Value | Up to $300,000 (excl. GST) total for up to two years |
| Reviewers | Independent Science Panel (ISP), Kāhui Māori, Technical Advisory Committee on Engagement, and Deep South Science Leadership Team (SLT) members |
| Restrictions | Members of Deep South SLT and other review bodies will excuse themselves from assessing any proposal in which they participate or have a conflict of interest. |

## Timeline

|  |  |
| --- | --- |
| Early notice of pending Contestable Round | 23rd November 2016 |
| RfP released | 19th December 2016 |
| RfP close\* | 2nd March 2017 |
| Review by SLT and recommendations to the ISP # | 2nd March – 22nd March 2017 |
| ISP review and recommendations | 22 March – 24th April 2017 |
| Board approve recommended projects | 4th May 2017 |
| Disseminate results and set up subcontracts | 4th May – 30th June 2017 |
| Projects commence | 1 July 2017 |
| Projects completed | 30 June 2019 |

\* Projects can apply for a maximum of $300,000 (excl. GST) for up to two years.

# The review could result in some projects being recommended for funding subject to reviewer feedback being addressed in an updated proposal. Where this is the case (and subject to budget allowance) a recommendation would be put to the Board that these projects re-submit their proposal to account for the feedback. Such projects would then be re-reviewed with a final recommendation to the Board being made for its 9th August 2017 meeting (or earlier via email). Funding would commence for these projects on 1 November 2017 or earlier and would still need to be completed by 30th June 2019.

## **Assessing Proposals**

Once proposals have been received, the Science leadership Team (SLT) will determine which programme each of the proposals falls into. Engagement proposals will be reviewed by the Technical Advisory Committee on Engagement (TACE) and Vision Mātauranga (VM) proposals will be reviewed by the Kāhui Māori. A full review of each proposal will follow by the SLT, taking into account the input from the TACE and the Kāhui. Recommendations for funding will be sent to the Independent Science Panel (ISP) for their review. Recommendations from the ISP will be addressed prior to the proposals being presented to the Deep South Governance Board for approval in May 2017.

The Deep South Challenge has a range of criteria to meet in order to deliver its Mission. The two primary criteria are **‘fit to the challenge mission’** and ‘**project or research excellence’**;both must be met before other criteria are assessed. Please see our [Research and Business Plan](http://deepsouthchallenge.co.nz/sites/default/files/2016-07/Deep%20South%20NSC_Final%2019%20Dec%202014.pdf) for more information on the scope of each Programme, and our [website](http://www.deepsouthchallenge.co.nz/deep-south-challenge-funded-projects) for details of existing research projects. We also strongly encourage you to contact the relevant SLT member to discuss your proposal. Given the centrality of these criteria to a successful Challenge, failure to meet these criteria will disqualify a project from further consideration. Secondary criteria (see below) will be scored, and the aggregated scores for each proposal will be ranked. For more information on these criteria, see the separate PDF document *DSC Contestable Review Criteria.*

* Best team expertise
* Additionality
* Consideration/observance of Vision Mātauranga (VM)
* Feasibility of proposed work and value for money
* Engagement
* Capacity building
* Collaboration
* Co-funding and aligned funding
* Risk management and ethical implications

During the review of the proposals, consideration will be given to the overall suite of projects that are selected for funding. We are seeking a balance of research projects that collectively address the Deep South Challenge Mission, complement other Deep South Challenge research and provide collaborative opportunities within relevant communities, including other National Science Challenges. Collectively and in conjunction with our other Deep South Challenge research, these research projects should be sufficient to achieve our overall Mission.

### Participation in Evaluation of Engagement.

All projects with engagement activities are expected to participate in the Engagement Programme’s evaluation research. This could include: discussing the design of your project with DSC Engagement evaluators to ensure it incorporates evaluation; administering a survey designed by DSC Engagement evaluators to your project’s participants, project organisers or selected participants; taking part in interviews with DSC Engagement evaluators.



# **The Deep South Challenge Contestable Fund Project Proposal Template**

Please delete all instructions in italics.

**Sections 5 to 16 have a limit of 5 pages**.

Please submit to: [**lucy.jacob@niwa.co.nz**](mailto:deepsouth@niwa.co.nz)

## TITLE OF PROJECT

*Insert Title*

## KEY PERSONNEL AND BEST TEAM

**Project Leader:**

*Name, Institution*

*Postal Address*

*Email Address*

*Telephone*

**Other Project Leaders**

*Name, Institution, Country*

**Team Members**

*Name, Institution, Country*

**Administrative Contact**

*Name, Institution*

*Email Address*

*Telephone*

1. TOTAL BUDGET AND DURATION

*Include the total budget in NZ dollars (excluding GST) and the duration (between 1st July 2017 and 30th June 2019). Please state the totals for:*

1. *Research (NZ dollars, excluding GST)\**
2. *Engagement (NZ dollars, excluding GST)\**

*\*If your proposal is requesting funds for research into engagement, this should be recorded as research funding.*

*The total funding applied for must not exceed $300k (excluding GST).*

## ABSTRACT

*Provide a summary of the project in no more than 200 words.*

## INTRODUCTION

*Provide the background and motivation for the research or engagement project, including the published literature and existing technological capacity.*

## AIM OF THE RESEARCH or ENGAGEMENT PROJECT AND RELEVANCE TO THE DEEP SOUTH CHALLENGE MISSION

***RESEARCH COMPONENT****: Outline the aim of the research and explain how this project will contribute to, complement, or extend one or more of the Challenge* [*research programmes*](http://www.deepsouthchallenge.co.nz/programmes)*. If possible, identify how the proposed research advances knowledge and how this will contribute to the Deep South Challenge Mission.*

## ***ENGAGEMENT COMPONENT****: Please outline each specific Engagement Programme Objective that your project contributes to, followed by an explanation of how you intend to deliver on each listed objective. The completeness and plausibility of your explanation(s) will be an important basis for assessing your application. Prioritise these according to your “target” objectives, from 1 being the highest (and first listed). It is not expected that all objectives will be addressed by any given project.*

## PROPOSED RESEARCH OR ENGAGEMENT ACTIVITY

*Describe the planned research programme or engagement activity. This should include the need for the work, its demographic and geographic focus (if applicable), research/engagement methods, and how the knowledge gained from the proposed project will be communicated and documented. Include a statement about your capability to under­take the work and any other key issues that should be highlighted. Please also identify your team and their roles in this research project.*

## RELEVANCE TO VISION MATAURANGA

*Explain how this project will contribute to the Deep South’s Vision Mātauranga programme, ideally through one or more of the four established research science themes and/or one or more of the strategic elements of this programme. For details please visit our* [*website*](http://deepsouthchallenge.co.nz/programmes/vision-matauranga)*.*

## ENGAGEMENT

*What engagement opportunities will this project provide - include connections with government, other stakeholders and general public? Include any existing activities or connections that the Challenge could build on, or support. Note any potential mentoring or educational opportunities that will result from the project. Please indicate any willingness or commitment to collaborate with opportunities developed by the Deep South Engagement programme, e.g., through a commitment of time in participating, or upskilling, in engagement activities and mechanisms.*

***RESEARCH PROJECTS:*** *Highlight (if possible) how/where this project will contribute to the goal and objectives of the Engagement programme.*

***ENGAGEMENT PROJECTS:*** *In what ways will your project draw upon, profile or in other ways utilise Challenge research, scientists, expertise, or outputs?*

1. CAPACITY BUILDING

*Will the proposed work increase capacity or capability that might not otherwise occur. This may include opportunities to increase specific research capability at all career levels.* *We especially encourage activities that build capacity in the translation of knowledge and integration across programmes.*

1. COLLABORATIONS

*Describe linkages to any research programmes or collaborations that this project will establish, build on or upon which this project is dependent. This should include linkages with other Deep South Challenge projects and other National Science Challenges.*

1. CO-FUNDING and ALIGNED FUNDING

*If this project is dependent on co funding, describe the amount ($NZ) of co-funding (including in-kind) and its source that will be contributed to this project.  Co-funding will be viewed positively in project assessments. Please identify any aligned funding, resources or activities that can clearly be attributed to this project, including the amount ($NZ).*

## OUPUTS AND OUTCOMES

*What specific outputs are expected from the proposed research? What key outcomes are expected from the proposed project? How will the knowledge be transferred?*

## PROJECT EXCELLENCE

***RESEARCH COMPONENT****: Identify what steps you will take to ensure that your research is carried out to the highest scientific standards. Include information on how research quality will be recognised and what reputational gains will be afforded from the research? What is the publication plan?*

***ENGAGEMENT COMPONENT:*** *Identify what steps you will take to ensure that your project is carried out to the highest standards. What would constitute “success” in this project and how do you intend to determine whether the project has been successful?*

## BEST TEAM EXPERTISE

*Explain which team members will undertake the different components of the project and highlight any particular experience or skill-sets of relevance.* *Lead researchers should be recognised for expertise in their area; collaborations of experts will score highly. This should include international collaborators that are part of the project team.*

## RISK MANAGEMENT AND RESEARCH ETHICS

*Identify key risks. What could prevent your project from accomplishing its goals? Outline how these risks are to be managed, and who has responsibility for their management.*

*Consider any ethical implications of the proposed research or engagement activity. Describe how you will ensure the project is conducted in an ethical and professional manner. Is ethics approval required for this project, and if so, do you have a mechanism for obtaining this approval?*

## TIMETABLE

*Please provide a detailed plan or timeline of the proposed project with key milestone dates and project deadlines, being mindful of the key dates specified in the Request for Proposal.*

## BUDGET

*Please complete the budget using the file: DSC\_Budget\_Template\_Contestable R2.xlsx and insert into the document as an object. All figures in the table must be GST exclusive. Full time equivalent (FTE) figures should be listed for all project members. The budget should align with the detailed plan. It should also include detailed costings such as travel costs, consumables, engagement activities etc.*

## REFERENCES

*List here any relevant research literature, reports, websites, etc., that illustrate or substantiate your project description above. This section has a* ***three****-page limit. Please ensure references are relevant to this proposal. Use consistent formatting with numbered references.*

## CURRICULA VITAE

*Please include in this document Curricula Vitae for project leaders/team members using the template below (pages 8-9). Please ‘copy and paste’ the template for each project member.*



# Curriculum Vitae

*Page limit: Two pages each for Parts 1 and 2. Rows and columns may be expanded or reduced. Use Calibri 11-point font. Do not alter page margins. Delete instructions in italics.*

## PART 1 – Personal and professional details

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1a. Personal details** | | | | | | | | | |
| **Name** | Title | First name | | | Second name(s) | | | Family name | |
| **Present position** | | | |  | | | | | |
| **Organisation/employer** | | | |  | | | | | |
| **Contact address** | | |  | | | | | | |
|  | | | | | | |
|  | | | | **Post code** | |  |
| **Work telephone** | | |  | | | **Mobile** |  | | |
| **E-mail** | | |  | | | | | | |
| **Personal website** (if applicable) | | |  | | | | | | |

|  |
| --- |
| **1b. Academic qualifications** |

*List in reverse date order. Start each qualification on a new line, i.e. year conferred, qualification, discipline and university/institute.*

|  |
| --- |
| **1c. Professional positions held** |

*List in reverse date order. Start each position on a new line, i.e. year-year, job title, organisation.*

|  |
| --- |
| **1d. Present position/professional speciality** |

|  |  |
| --- | --- |
| **1e. Years of research experience, if applicable** (exclude periods away from research) | years |

|  |
| --- |
| **1f. Professional distinctions and memberships** (e.g. honours, prizes, scholarships, governance roles etc) |

*List in reverse date order. Start each item on a new line, i.e. year / year-year, distinction.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1g. Number of peer- reviewed publications and patents** | Journal articles | Books, book chapters, books edited | Conference proceedings | Patents |
|  |  |  |  |

## **PART 2 – Information relevant to this proposal**

|  |
| --- |
| **2a. Relevant publications and dissemination** |

*List in reverse date order.*

|  |
| --- |
| **2b. Previous work relevant to this proposal** |

*Repeat and expand box below as necessary.*

|  |
| --- |
| **Project/Research title:**  **Principal outcome:**  **Principal end user(s):** |

|  |
| --- |
| **2c. Describe the commercial, social, or environmental impact of your previous work** |

*Provide no more than five examples relevant to this proposal.*

|  |
| --- |
| **2d. Demonstrate your relationships with end users** |

*Provide no more than five examples relevant to this proposal.*