

# 2020 Marsden Fund Council Award Proposal Guidelines for Applicants

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## Funding for research excellence

The Marsden Fund is administered by The Royal Society Te Apārangi, PO Box 598, Wellington 6140. Tel: +64 4 470 5799  
Email: marsden@royalsociety.org.nz, <http://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden>

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## Introduction

The Marsden Fund operates a yearly funding cycle and makes an annual call for proposals in December.

## Marsden Fund Council

The Marsden Fund Council, appointed by the Minister of Research, Science and Innovation, makes decisions on Marsden Funding. The Council consists of eleven eminent researchers spanning a range of disciplines.

### Marsden Fund Council Mission Statement

“To drive world-class research in New Zealand by supporting and incentivising excellent researchers to work on their best and boldest ideas and to connect internationally, leading to new knowledge and skills with the potential for significant downstream impact for New Zealand”.

## Award Categories

	Maximum amount per year (ex GST)	Duration	Cycle
<b>Fast-Start</b>	\$100k	Up to 3 years	Two stages: February (EOI) and June (Full)
<b>Standard</b>	Varies by panel - up to \$320k/year	Up to 3 years	Two stages: February (EOI) and June (Full)
<b>Marsden Fund Council</b>	\$1 million	Up to 3 years	One proposal stage ONLY: Full proposal due February. Two stages of assessment by Council.

There are three categories of proposals available for the Marsden Fund:

*Fast-Start:* For emerging researchers, capped at \$100,000 per year for up to three years. Two-stage process, with an Expression of Interest to be submitted by the February deadline. The EOI consists of a one-page abstract of proposed research, CVs plus supporting information. Assessed by discipline-based panels.

*Standard:* Open to all eligible researchers, amount of funding is flexible and is capped. These are larger than Fast-Start proposals. Funding can be sought for up to three years. Two-stage process, with an Expression of Interest to be submitted by the February deadline. The EOI consists of a one-page abstract of proposed research, CVs plus supporting information. Assessed by discipline-based panels.

*Marsden Fund Council Award:* Open to all eligible researchers. Larger than Standard grants, up to \$1 million per year for up to 3 years. One-stage proposal process, with a full proposal to be submitted by the February deadline. Assessed in a two-stage process by the Marsden Fund Council.

**These guidelines pertain to Marsden Fund Council Award proposals ONLY. Applicants wishing to submit a Fast-Start or Standard proposal should consult the separate *2020 Expression of Interest Guidelines for Applicants*.**

## Funding Deadlines

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The deadline for all Marsden Fund Council Award proposals is **12 noon (NZDT) Thursday, 20 February 2020**. Research Offices and private applicants will be advised by 7 May 2020 of the outcome of Marsden Fund Council Award proposals that have been recommended to go forward to Stage 2.

## Proposal Portal

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All Marsden Fund proposals should be submitted on the web-based portal.

Researchers should write their proposals directly into this portal using the forms and templates provided.

Researchers who submit proposals through an institutional co-ordinator should contact their Research Office for log-in details for the portal. Independent researchers and researchers from small institutions should contact the Marsden Fund ([marsden@royalsociety.org.nz](mailto:marsden@royalsociety.org.nz) or 04-470 5799) to obtain their log-in details.

Separate instructions for using the portal are available there. However, the guidelines provided here should also be referred to as they contain background information about the Fund and what information is expected in each section of the proposal.

## Changes for 2020 and beyond – relating to NZRIS

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The Royal Society Te Apārangi is one of the data providers for the upcoming New Zealand Research Information System (NZRIS). We are currently working with MBIE to work out what our obligations are in terms of data provision to NZRIS. This has been flagged now to give the research community a heads up for future rounds.

For 2020, we have introduced several new data elements for each proposal, which will form data to be collected in the future as part of NZRIS.

- Percentage share of Fields of Research (FOR) codes in the proposed research
- Socio-Economic Objectives (SEOs) and associated keywords required – note that these will not be accessible by anyone involved in the assessment of proposals.
- Type of research activity (default set to “basic”, 100%) - will not be accessible by anyone involved in the assessment of proposals
- Share of each Vision Mātauranga theme to proposed research
- On the “Statistical information” page, “Date of Birth” is now requested for each applicant. This is not mandatory. Along with other statistical information such as gender and ethnicity, this will not be accessible by anyone involved in the assessment of proposals.

For more information about NZRIS, please see <https://www.mbie.govt.nz/science-and-technology/science-and-innovation/research-and-data/nzris/>

## Changes for 2020 – relating to Marsden Fund Council Award proposals

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- Submission deadline for 20 February will be 12 noon, instead of 5 pm
- An extra three pages will be provided for Council Award proposals, relating to specific methodology for the proposed research – aimed at experts in the field
- More guidance provided for Vision Mātauranga, along with links to resources

- For Vision Mātauranga: There is a small comment box on the portal to briefly explain your rationale. For 2020 this is required not just for a N/A choice, but for any VM themes chosen
- Follow-on tick box will be on the portal – for any proposal which is continuing from previous Marsden-funded research
- Applicants who progress to Stage 2 should be prepared for the possibility of a video interview with members of Council.

## Information on Applying

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Information on applying is available:

- From your research coordinator if you are at a university, CRI, or TEO
- On the Marsden Fund web site: <https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/application/>
- From the Marsden Fund office (phone 04-470 5799).

## 2020 Marsden Fund Timetable

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Early December 2019	Guidelines available and portal active
<b>February 20, 2020</b>	<b>Closing date for EOIs and Marsden Fund Council Award proposals</b>
April 6-9 and 14-17	Assessment Panel meetings
May 5	Marsden Fund Council meeting
May 7	Invitations for Full Proposals sent to applicants (Fast-Start and Standard); notifications of Stage 1 outcome sent to Marsden Fund Council applicants
June 17	Closing date for Full Proposals ( <i>not relevant to MFCA proposals</i> )
August 5	Marsden Fund Council meeting
August 12	Referee reports available from web portal (for applicants and panellists) (note that inevitably some reports will come in after the deadline)
August 26	Closing date for responses to referee reports (except for reports received late)
Sept 14-25	Assessment Panel meetings ( <i>not relevant to MFCA proposals</i> )
October 8	Marsden Fund Council meeting
TBA: Approximately early November	Results announced

## Marsden Fund Objectives

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The Marsden Fund invests in excellent, investigator-led research aimed at generating new knowledge, with long-term benefit to New Zealand. It supports excellent research projects that advance and expand the

knowledge base and contributes to the development of people with advanced skills in New Zealand. The research is not subject to government's socio-economic priorities.

The Marsden Fund encourages New Zealand's leading researchers to explore new ideas that may not be funded through other funding streams and fosters creativity and innovation within the research, science and technology system.

The primary objectives of the Marsden Fund are to:

- Enhance the quality of research in New Zealand by creating increased opportunity to undertake excellent investigator-initiated research; and
- Support the advancement of knowledge in New Zealand, and contribute to the global knowledge base.

The secondary objectives of the Marsden Fund are to:

- Contribute to the development of advanced skills in New Zealand including support for continuing training of post-doctoral level researchers, and support for the establishment of early careers of new and emerging researchers.
- Contribute in the long-term to economic, social, cultural, environmental, health or other impacts for New Zealand

***Note: Impact will be monitored at the level of the whole Fund over a long timeframe.***

The full Terms of Reference, last updated in 2017, are on the Marsden Fund website:

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/about/tor/>

## Eligibility Criteria

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The Marsden Fund is fully contestable and is open to applicants who meet the Fund's eligibility criteria. The criteria are determined by the Marsden Fund Council. Eligibility to apply for funding as a contact Principal Investigator is restricted to New Zealand-based researchers. The research should be carried out in New Zealand, except in cases where its nature demands that it be carried out elsewhere.

For Marsden Fund Council Award proposals, "New Zealand-based," for researchers who have overseas appointments, has been defined by the Marsden Fund Council as being employed in New Zealand for 0.5 FTE (or more) per year.

## Definition of Principal and Associate Investigators

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Principal Investigators (PIs) are researchers who lead the research, contribute the main ideas and are responsible for the achievements of the objectives and the management of the contract.

Associate Investigators (AIs) are researchers who play a lesser role than Principal Investigators and may only be involved with limited aspects of the work. These can include, for example, cultural advisors.

Collaborators providing a service may be named in the Roles and Resources section; no CV is required for them.

## Number of Proposals per Person

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For each annual funding cycle, eligible applicants must:

- Be involved in no more than ONE proposal as a Principal Investigator per funding round (assuming no exclusion – see below)
- Be involved in no more than TWO proposals in total per funding round; either as a Principal Investigator on one and an Associate Investigator on another, or as an Associate Investigator on two proposals.

This applies across **all** categories of grants; for example, if an applicant is a Principal Investigator on a Marsden Fund Council Award proposal, they cannot be a Principal Investigator on a Standard proposal in the same funding round.

## Principal Investigator Exclusion Rule

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Researchers cannot be a Principal Investigator on more than one Marsden Fund grant at a time. If successful as a Principal Investigator in a particular funding year, the researcher will be excluded from applying for another Marsden Fund grant as a Principal Investigator for the next two funding years. The exclusion period is not affected by any approved contract time extensions. **This applies across all grant categories, and applies to all Principal Investigators, whether they are contact PIs or co-PIs.**

For example:

A Principal Investigator who was awarded a Marsden Fund grant in 2018 will not be permitted to apply as a Principal Investigator to the Fund in 2020, but will be permitted to apply in the 2021 round.

A Principal Investigator who was awarded a Marsden Fund grant in 2019 will not be eligible to apply as a Principal Investigator in 2020 or 2021, but will be permitted to apply in 2022.

A Principal Investigator who was awarded a Marsden Fund grant in 2017 is eligible to apply in 2020, even if the 2017 contract has been extended past its original completion date.

Any Principal Investigator who is excluded by this rule in any particular funding round may still apply as an Associate Investigator on a maximum of two proposals, for up to 0.05 FTE per year on each. For Standard proposals, the maximum FTE is 0.05 per year; for **Marsden Fund Council Award proposals, this restriction on AI FTE time does not apply.**

## Assessment Criteria

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The key assessment criteria are:

- **Proposals must use an interdisciplinary approach to significantly expand research possibilities and ambition through new researcher and institutional links.**
- Proposals must have the potential for significant scholarly impact\* because of the proposal's novelty, originality, insight and ambition
- Proposals must be rigorous, and should have a basis in prior research and use a sound research method
- The research team must have the ability and capacity to deliver
- Proposals should develop research skills in New Zealand, particularly those at the post-doctoral level and emerging researchers

Where relevant to the proposal:

- Proposals should consider the relation of the research to the themes of Vision Mātauranga and, where relevant, how the project will engage with Māori.



***\*Scholarly impact*** is a demonstrable contribution to shifting understanding and advancing methods, theory and application across and within disciplines.

The cost of the project is not considered until the second assessment stage. Once the overall grades and rankings have been determined, the cost of each proposal is then considered with a view to the Council funding the top ranked proposals up to the overall level of funds available.

All proposals funded must:

- Comply with the terms and process of any government policy or directive; and
- Be consistent with the nature and objectives of the Marsden Fund and the criteria set out above.

## How the criteria will be assessed

- Proposals to the Fund must meet each individual criterion to the satisfaction of the Marsden Fund Council to be considered for funding.
- Once Council are satisfied that a proposal meets each criterion individually, they will score the proposal based on a holistic assessment across all relevant criteria and relative to other proposals being considered. Proposals with an inspirational, exciting and compelling research goal that transcends the sum of the individual assessment criteria are likely to score more highly in this process.
- The 'ability and capacity to deliver' criterion will be judged relative to opportunity, with career achievements assessed in the context of career history, allowing for breaks for family or other responsibilities. Where applicants already hold a Marsden contract in a related area, performance on this will also be considered as evidence of ability, but existing award holders will not be privileged versus new applicants because of this.

## Marsden Fund Council Award

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The Marsden Fund Council Award was introduced by the Marsden Fund Council in 2018. The expectation is that Marsden Fund Council Awards will enable teams of researchers to come together to engage in collaborative projects that might have difficulty being assessed by a single panel due to their interdisciplinary nature. This will expand the opportunities for interdisciplinary researcher-led projects of the highest ambition, and encourage creativity and innovation through greater connections between specialists across disciplines with larger teams.

The assessment criteria for the Marsden Fund Council Award are those outlined in the Terms of Reference and are the same as for all other Marsden proposals, with an extra criterion:

*Proposals must use an interdisciplinary approach to significantly expand research possibilities and ambition through new researcher and institutional links.*

Proposals should clearly demonstrate the potential for significant scholarly impact due to novelty, originality, insight and ambition that characterises Marsden Fund research, plus the potential for fostering new and sustainable linkages between researchers and between institutions beyond the period of the award.

Marsden Fund Council Awards will be particularly suited to projects where the expertise and skills required for the project could not be supported by a Marsden Fund Standard grant. Proposals that require multiple skill sets, incorporate more than one post-doctoral fellow across different research areas, or develop

research infrastructure and co-operation across disciplines are encouraged. While joint proposals from multiple institutions are encouraged, only one institution will be the contractor.

The Marsden Fund Council will set aside \$6 million per year for projects up to three years in duration, to cover proposals in this category of grant. The Council expects to fund up to 2 grants in this category, dependent upon proposal budgets. The Awards are up to 3 years.

The Council reserves the right to not grant any Marsden Fund Council Awards if they are of the opinion that the purpose of the fund would be better served by allocating the money to the general pool of Marsden Fund Fast-Start and Standard proposals.

For each Council Award proposal, the Council expects a minimum of two Principal Investigators to be involved, each representing separate discipline areas (two or more) that are fundamental to the proposal.

Council will accept proposals where Associate Investigators provide major additional input, where these individuals are constrained to act as PIs by the PI exclusion rule (see page 8). In this case, the normal FTE restriction of 0.05 per year **does not apply to AIs on a Council Award proposal**. Applicants should discuss this in the 'Roles and Resources' section.

## **Marsden Fund Council Award: Assessment process (*Updated for 2020*)**

There are two main points of difference to the Fast-Start and Standard schemes:

1. Marsden Fund Council Award proposals will be assessed by the members of the Marsden Fund Council, rather than by disciplinary panels. The Marsden Fund Council is composed of top researchers from all ten of the Marsden panels, and as such the Council is well placed to assess interdisciplinary proposals.
2. There is a one-stage proposal process. Applicants for this award are required to submit a Full Proposal at the February deadline.

Proposals to this category will be assessed in two stages. In Stage 1, they will be triaged by the Marsden Fund Council. In May, Council will select a number of proposals to go forward to Stage 2. These will be assessed by international referees. Applicants will have the opportunity to respond to referee reports.

**NEW for 2020:** Following submission of applicant responses, the Council may have specific questions about various aspects of the research. If so, there is a possibility that some of the Council representatives may wish to conduct a brief video interview with one or more of the PIs on the proposal, to address any questions that Council may have. If this is the case, the Marsden Fund administration will contact applicants to arrange a convenient time. The timeframe for this is likely to be early October.

A final decision will then be made in October by the Marsden Fund Council.

## **How to Apply**

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Applicants should register their intent to submit a Marsden Fund Council Award on the portal. Please enter the name of the contact Principal Investigator (with all initials) and select "Marsden Fund Council Award" as the grant category.

The final date for registration of intent will be determined by Research Offices in each institution. Note that the Marsden Fund does not have a deadline for registration, and does not require Research Offices to notify the Fund of registrations. Institutional applicants will be registered by their co-ordinator, or, if there is no co-ordinator, by the Marsden Fund administration.

The strict deadline for submission of proposals is 12 noon (NZDT) Thursday, 20 February 2020.

After the Council has considered all proposals (Stage 1), a number will be selected for peer review by expert referees, and reviewed again by the Council at Stage 2. Another proposal will not be required. The results of the final allocation process will be announced in early November 2020.

It is not intended that any pre-selection of proposals should occur within proposers' institutions but researchers must ensure that any proposal they submit has the approval of their research institute or other employing agency, where appropriate.

## Vision Mātauranga (Updated for 2020)

### I. Background

Vision Mātauranga is a policy about innovation, opportunity and the creation of knowledge that highlights the potential contribution of Māori knowledge, resources and people.

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/application/submitting-a-proposal/vision-matauranga/>

<http://www.mbie.govt.nz/info-services/science-innovation/agencies-policies-budget-initiatives/vision-matauranga-policy/?searchterm=vision%20matauranga%2A>

There are four themes:

- **Indigenous Innovation**, which involves contributing to economic growth through *distinctive research and development*;
- **Taiao**, which is concerned with achieving *environmental sustainability* through iwi and hapū relationships with land and sea;
- **Hauora/Oranga**, which centres around improving *health and social wellbeing*; and
- **Mātauranga**, which involves exploring *indigenous knowledge*.

### II. Vision Mātauranga and the Marsden Fund

Please note that Vision Mātauranga is now included as an assessment criterion:

*Proposals should consider the relation of the research to the themes of Vision Mātauranga and, **where relevant**, how the project will engage with Māori.*

**For the Marsden Fund Council Award**, applicants indicate using a tick box whether or not Vision Mātauranga is relevant and, if so, which of the four themes apply – please refer to instructions for Section 3.

Up to one additional page will be available for statements on Vision Mātauranga immediately following the description of research in Sections 2a-2c. This is to enable Vision Mātauranga to be more easily integrated into the conceptual framework and/or research design. Where Vision Mātauranga is appropriate to a proposal, it can contribute to the assessment of its overall excellence.

#### How do I decide whether to include a Vision Mātauranga statement in my proposal?

A Vision Mātauranga statement must be included for all research that has relevance for Māori. The research category descriptions outlined in the next section may help you decide if this applies to your

project. Please note, however, that those categories are fluid, there may well be overlap between them, and not every point in each category need apply.

### **III. Categories of Research**

The five categories identified below have been adapted from those on the National Science Challenge, Biological Heritage website <https://bioheritage.nz/about-us/vision-matauranga/> hosted by Manaaki Whenua Landcare Research. Please note that there may well be overlap between categories as in categories 2 and 3 in terms of the nature and degree of relevance to Māori.

The original categories were set out by MBIE in information for the Endeavour Fund c. 2015.

#### **1. Research with no specific Māori component**

- No mātauranga Māori (Māori knowledge) is used.
- Māori are not associated with the research process (e.g. not on any research management / advisory / governance panels, it is not inclusive of Māori land or institutions, nor the subject of any component of the research).
- Work is not likely to be of greater direct relevance to Māori than members of any other group.

#### **2. Research specifically relevant to Māori**

This category includes research projects where:

- There is specific relevance to Māori.
- Mātauranga Māori may be used in a minor way to guide the work and its relevance to Māori.
- It includes work that contributes to Māori aspirations and outcomes.

#### **3. Research involving Māori**

This category includes research projects where:

- Mātauranga Māori may be incorporated in the project, but is not central to the project.
- Research is specifically and directly relevant to Māori and Māori are involved in the design and/or undertaking of the research.
- The work typically contributes to Māori (e.g., iwi / hapū, organisations) aspirations and outcomes.

#### **4. Māori-centred research**

This category includes research projects where:

- The project is Māori led, and where Mātauranga Māori is used alongside other knowledges (e.g. through frameworks, models, methods, tools, etc.).
- Kaupapa Māori research is a key focus of the project.
- Research is typically collaborative or consultative, with direct input from Māori groups, commonly including Māori researchers or a collaboration with Māori researchers or researchers under the guidance/mentoring of Māori.
- There is alignment with and contribution to Māori (e.g., iwi / hapū, organisations) aspirations.

#### **5. Kaupapa Māori research**

This category includes research projects where:

- Mātauranga Māori is incorporated, used and understood, as a central focus of project and its findings.
- Research is grounded in te ao Māori and connected to Māori philosophies and principles.

- Research typically uses kaupapa Māori research methodologies.
- Te reo Māori may be a central feature to this kaupapa or research activity, and key researchers have medium to high cultural fluency or knowledge of tikanga and reo.
- The research is generally led by a Māori researcher; non-Indigenous researchers may carry out research under the guidance/mentoring of a Māori researcher.
- Māori participation (iwi/hapū/marae/individual) is high.
- The work contributes strongly to Māori (e.g., iwi/hapū, organisations) aspirations and outcomes and is mana enhancing.

#### **IV. Developing a Vision Mātauranga statement**

It is important to keep in mind that there is no single approach or prescription for Vision Mātauranga: one size does not fit all and there are many possible ways of addressing Vision Mātauranga. Vision Mātauranga should not, however, be seen as an add-on, nor should it be treated as separate from the research, methods or people involved in the project. A holistic approach that considers reciprocity and relationships is therefore desirable.

Vision Mātauranga does not begin and end with your Vision Mātauranga statement. You should document how you have considered Vision Mātauranga and demonstrate applicable actions and relationships throughout the research. The following questions may be useful to consider when conceptualising and writing your project:

- Have you co-created the research topic/issue with an iwi or Māori organisation?
- What does working in partnership with iwi mean to you as researchers?
- To what extent have you discussed the research with Māori partners and agreed on the methodology you will use?
- Was there full disclosure and informed consent to the proposed research with Māori partners? How has that agreement/informed consent been agreed to?
- Has budget been disclosed and agreed to with Māori partners? Is there provision in that budget for Māori involvement, capability development and consultation?
- Is there appropriate Māori researcher involvement in the project, both in terms of PI/AIs and capability development?
- What provisions have you made to ensure there is advice from appropriate Māori organisations throughout the life of the research project? If there are concerns or disagreements with Māori partners, how are these to be resolved?
- What provisions have you made to ensure there is appropriate technology transfer to Māori partners as the research proceeds and as findings become available towards the end of the project?
- Are there benefits to Māori? What are they? And how have these been agreed with Māori partners?
- How is the project an opportunity to build the capacity of Māori researchers or students in your discipline?
- How will you share the research outcomes with Māori?
- Has there been agreement about the intellectual property ownership of research findings with Māori partners? What is the nature of that agreement?
- Is there a need for members of the research team to be proficient in te reo? How has this aspect been addressed?
- Is there a Tiriti o Waitangi component or requirement in your research?
- Is the research mana enhancing?

## V. Vision Mātauranga Resources

Below you will find a non-exhaustive list of published resources that describe, discuss, and talk about how researchers have engaged with Vision Mātauranga and kaupapa Māori research. These range from early conceptions of Vision Mātauranga to more recent frameworks. The resources underscore the diverse ways Vision Mātauranga may be approached across disciplines and methodologies.

Allen, W., Jamie M. Ataria, J. M., Apgar, J. M., Harmsworth, G., and Tremblay, L. A. (2009). Kia pono te mahi putaiao—doing science in the right spirit. *Journal of the Royal Society of New Zealand*, 39:4, 239-242.

DOI: [10.1080/03014220909510588](https://doi.org/10.1080/03014220909510588)

Crawford, S. (2009). Mātauranga Maori and western science: The importance of hypotheses, predictions and protocols, *Journal of the Royal Society of New Zealand*, 39:4, 163-166.

DOI: [10.1080/03014220909510571](https://doi.org/10.1080/03014220909510571)

Broughton, D. (Te Aitanga-a-Hauiti, Taranaki, Ngāti Porou, Ngāpuhi), and McBreen, K. (Waitaha, Kāti Māmoe, Ngāi Tahu). (2015). Mātauranga Māori, tino rangatiratanga and the future of New Zealand science. *Journal of the Royal Society of New Zealand*, 45:2, 83-88.

DOI: [10.1080/03036758.2015.1011171](https://doi.org/10.1080/03036758.2015.1011171)

Kana, F. and Tamatea, K. (2006). Sharing, listening, learning and developing understandings of Kaupapa Māori research by engaging with two Māori communities involved in education. *Waikato Journal of Education*, 12, 9-20.

<https://researchcommons.waikato.ac.nz/bitstream/handle/10289/6198/Kana%20Sharing.pdf?sequence=3&isAllowed=y>

Macfarlane, S., Macfarlane, A. and Gillon, G. (2015) Sharing the food baskets of knowledge: Creating space for a blending of streams. In A. Macfarlane, S. Macfarlane, M. Webber, (eds.), *Sociocultural realities: Exploring new horizons*. Christchurch: Canterbury University Press, 52-67.

Moewaka Barnes, H. (2006). Transforming Science: How our Structures Limit Innovation. *Social Policy Journal of New Zealand Te Puna Whakaaro*, 29, 1-16. <https://www.msd.govt.nz/documents/about-msd-and-our-work/publications-resources/journals-and-magazines/social-policy-journal/spj29/29-pages-1-16.pdf>

Pihama, L., Tiakiwai, S.-J., and Southey, K. (eds.). (2015). *Kaupapa rangahau: A reader. A collection of readings from the Kaupapa Rangahau workshops series*. (2nd ed.). Hamilton, New Zealand: Te Kotahi Research Institute.

[https://researchcommons.waikato.ac.nz/bitstream/handle/10289/11738/Kaupapa%20Rangahau%20-%20A%20Reader\\_2nd%20Edition.pdf?sequence=7&isAllowed=y](https://researchcommons.waikato.ac.nz/bitstream/handle/10289/11738/Kaupapa%20Rangahau%20-%20A%20Reader_2nd%20Edition.pdf?sequence=7&isAllowed=y)

Smith, L. T., Maxwell, T. K., Puke, H., and Temara, P. (2016). Indigenous knowledge, methodology and mayhem: What is the role of methodology in producing indigenous insights? A discussion from Mātauranga Māori. *Knowledge Cultures*, 4(3), 131–156.

## Other Funding

Applicants are asked to provide details of funding sought or received for the Marsden-proposed research, or for research relating to the proposal. This is consistent with information asked for at the Standard and Fast-Start Full Proposal stage.

## Format of Proposals

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All proposals should be submitted via the portal using the prescribed document templates. These can be downloaded from the portal with the original format retained from the templates. The layout of the entire proposal is automatic on the portal (seen via the “Print Preview” function). The limit on space in all sections of the templates should be adhered to. The typeface should be 12 point, Times or of similar size font, single spacing (12 point), with margins of 2 cm on the left and 2 cm on the right side of the page. Instructions may be removed, but not the margins. No additional pages or attachments will be accepted other than where requested.

A hard copy of the last page of the proposal that contains the declaration page is not required. Instead, all contact Principal Investigators are required to tick a box on the portal to indicate their acceptance of the proposal declaration. The declaration is the same as that for Standard and Fast-Start proposals. For institutional sign-off, a single signature covering all submitted proposals is all that is required, and a form for this is available on the portal for Research Offices. For private individuals, the tick-box alone is sufficient.

**IMPORTANT:** Coloured images or text should only be included in the Background / Overall Aims/ Proposed Research section ONLY. Images are not permitted in CVs and the Roles and Resources sections. The guidelines on formatting must be followed. Failure to do so may result in the proposal not being considered.

## Proposal Numbers

When you register your proposal on the portal, a unique proposal number will automatically be generated.

- This consists of: 20-(Institution)-(Number).
- The first two numbers refer to the year of application (2020). The institution is a three-letter abbreviation.
- For example: LCR – Manaaki Whenua Landcare Research, UOW – University of Waikato.
- The numbers are consecutive 3-digit numbers. Your number can be obtained from your institution’s Research Office.
- Private individuals or researchers need to contact the Marsden Fund for their proposal number.

You will need to select the category of proposal: Fast-Start, Standard, or Marsden Fund Council Award.

As proposals will be assessed by the Marsden Fund Council, no panel choice is necessary.

The information entered will appear automatically at the top of each page of the proposal form, along with the name and initials of the contact Principal Investigator (see notes on “*Contact Person and Principal Investigators*” below).

Example for Dr A.B. Jones:

Proposal:	Contact PI’s surname	Initials	Application Number
Council Award	Jones	AB	20-UOA-001

## Audiences

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Different parts of the proposal should be addressed to the appropriate audiences.



**Public:** The Title and Summary sections should be in plain language, without compromising accuracy. These will be made publicly available if the proposal is funded.

**Marsden Fund Council:** The Background, Overall Aims and Proposed Research sections should address the Marsden Fund Council as its audience (i.e. research literate but not necessarily specialists in the fields covered in the proposal).

**Expert Referees:** The new section, “Specific Methodologies required for the Proposed Research”, should address specialists in the field. Here the intended audience are expert referees. It is anticipated that expert commentary on this section will provide confidence to the Marsden Fund Council that the proposals are rigorous, and have a basis in prior research using a sound research methodology.

It is important to support the Background, Overall Aims, Proposed Research, Assessment Criteria and Specific Methodology sections by the use of references. Please ensure that these are not only to the applicants’ own work.

## Contacts and Contracting Organisation

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The host organisation of the contact person will be responsible for signing off all Council award proposals. Administration contact on the research proposal is through the institution’s research office. Private applicants may sign off as their own host.

The host organisation of the Principal Investigator will be responsible for fulfilment of the contract, and is required to guarantee that resources and research time are available.

Any funding awarded is GST inclusive. Successful private applicants will have to register for GST.

Contracts will be based on the information contained in the proposal. If the applicant is offered the full amount requested, the proposal will be the basis for the contract. If the funding awarded is less than that requested, then the contract will be negotiated to reflect this.

Although a contract is with a host organisation for administrative purposes, if there is significant change in personnel on a project, the Marsden Fund can either transfer the contract to a new institution to which a key person has shifted, or terminate the project. Other changes to the contract need to be notified to the Marsden Fund and a variation approved. A successful private applicant can also act as the contractor.

The submission of progress reports to the Marsden Fund is a contractual requirement. A written report describing in a prescribed format the progress of the year’s research is required at the end of years one and two (if any preliminary work has been described in the proposed research, you will be asked to describe what has happened to this work in the first progress report). A full report, following a prescribed format, must be provided at the completion of the funding period.

## Proposal Section by Section

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Instructions how to use the portal, along with FAQs, are available at:

<https://www.royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/application-process/submitting-a-proposal/the-marsden-application-portal/>

Most sections of the Council Award proposal have brief explanatory statements about what is required.



## Follow-on Funding tick box (NEW for 2020)

Please tick this box if this proposal is following on in any way, or arising from previous Marsden funding. If so, please note in the text box the Marsden contract(s) which the proposed research follows on from. The tick box and previous contract information provided here will be used for monitoring and evaluation purposes only and will not be accessible by anyone involved in the assessment of proposals. For this reason, any relationship to previous Marsden funding should be described in the proposed research.

### Section 1a. Title

The title of your proposal should be descriptive, in plain language, and no more than 25 words in length.

### Section 1b. Contact Person, and Principal and Associate Investigators

For each Council Award proposal, the Council expects a minimum of two Principal Investigators to be involved. However, one should be nominated as the contact person for the proposal and all correspondence between the Marsden Fund and the proposers must be directed through the contact person. Administrative contact on the research proposal is through the institution's Research Office. Private applicants may sign as their own host.

**Please note that all PIs and AIs on each proposal will need to confirm their own contact details via an individual URL, which will be emailed to each person after their email address has been entered into the portal by the contact PI. Each individual person will therefore be able to provide their own fields of research (FOR) codes, contact details and statistical information, and give consent for their involvement in each proposal that they are involved in, without a requirement for the contact PI to provide details.**

**ORCID:** There is a facility in the "People" section of the portal for each named investigator to add or create an ORCID ID. An ORCID ID is preferred for all named investigators, but is not mandatory. Please click on the "Create or Connect your ORCID ID" button on the top right of the "Contact Details" section and follow instructions.

All named PIs and AIs are requested to provide up to five Fields of Research (FOR) codes about their own research interests and expertise. A list of codes will be available on the portal, and can also be referred to at:

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/application/submitting-a-proposal/fields-of-research-calculator/>

Each person named in the proposal needs to tick their acceptance of the personal Agreement / Terms and Conditions page. They will also be able to see a list of proposals that they are named on, and will also need to click the "I Agree" box next to each proposal to indicate their agreement.

### Section 1b and Use of Personal Information

The Royal Society Te Apārangī maintains a database of researchers. This information is used for such purposes as finding experts in particular fields and advising people of upcoming events relating to specialist fields of interest. The database is not available to people outside the Royal Society Te Apārangī. Please signify your permission to be included in this database by ticking the "Allow RSNZ to use Contact details" box under the contact details in section 1b of the proposal.

To monitor the profile of different groups within Marsden funding and identify funding trends and gaps, the Royal Society Te Apārangī collects statistical Information relating to each applicant. Statistical information

(for example, gender, ethnicity, years since PhD, date of birth) is used for statistical purposes only. It is not accessible by anyone involved in the assessment of proposals.

Section 1b should contain the title, first name, first and middle initials, and last name of all Principal and Associate Investigators, and also the contact email address for all investigators. Please note that although contact details of all investigators are required, only the contact details of the contact Principal Investigator and names of all other investigators will be displayed when previewed as a document on the portal. **It is important to list all Principal and Associate Investigators, including those based overseas, as new Principal and Associate Investigators cannot be added later except in extraordinary circumstances.**

## Section 1c. Fields of Research, SEOs, Type of Research Activity

### *Fields of Research Codes*

Please enter up to FIVE 6-digit codes, using codes that are as specific as possible. For a list of codes, please refer to the Field of Research Calculator at:

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/application/submitting-a-proposal/fields-of-research-calculator/>

**NEW:** As part of our NZRIS obligations (see “Changes” earlier), we will be required to report the share of each FOR code to the proposed research. Please indicate the % share of each FOR code to the proposed research. The shares should add up to 100%.

Please also give key words or key phrases of no more than 255 characters in total, in a single list (separated by commas or semi-colons; please avoid using the return key). This information will be used to assist the process of finding referees and also to provide data for a strategic report on funding.

### *Socio-Economic Objectives (SEOs) – NEW for 2020*

Collection of SEO data for Marsden proposals will form part of our reporting obligations for NZRIS (see “Changes” earlier). It is expected that the vast majority of Marsden proposals will be covered under “Expanding Knowledge” codes beginning with 97.

Please choose up to three codes from the drop-down field. Please also indicate the % share of each SEO code to the proposed research. The shares should add up to 100%.

For a list of codes, please refer to the Socio-Economic Objectives Calculator at:

<https://www.royalsociety.org.nz/what-we-do/research-practice/socio-economic-objectives-calculator/>

Please also give key words or key phrases associated with the chosen SEOs, of no more than 255 characters in total, in a single list (separated by commas or semi-colons; please avoid using the return key).

This information will not be accessible by anyone involved in the assessment of proposals.

### *Type of Research Activity – NEW for 2020*

Collection of research activity data for Marsden proposals will form part of our reporting obligations for NZRIS (see “Changes” earlier). The default setting on the portal for each proposal is “Basic” and set to 100%. This can be changed if required. If no change is required, no action is needed.

The four activities are:

- **Pure basic research (Default setting for Marsden):** is experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge.
- **Strategic basic research:** is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of practical discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems.
- **Applied research:** is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.
- **Experimental development** is systematic work, using existing knowledge gained from research or practical experience, which is directed to producing new materials, products, devices, policies, behaviours or outlooks; to installing new processes, systems and services; or to improving substantially those already produced or installed.

This information will not be accessible by anyone involved in the assessment of proposals.

Fields of Research codes, SEOs and Type of Activity are all part of the Australian and New Zealand Standard Research Classification (ANZSRC), 2008. For more information and background, please refer to:

<http://www.abs.gov.au/ausstats/abs@.nsf/Latestproducts/1297.0Main%20Features52008?opendocument&tabname=Summary&prodno=1297.0&issue=2008&num=&view=>

## Section 1d: Summary

Please describe in up to 200 words the nature of the proposed research. This should be in plain language and should cover the following items: What is the state of the field? What does the applicant want to do? How will the applicant do it? What is the broad outcome expected to be?

Note that this will be made publicly available should the proposal be successful, and may be published as part of the Marsden Fund's publicity.

If the summary contains confidential or sensitive material, please indicate this at the summary start: "This summary contains sensitive or confidential information and will be released when the contract is completed".

## Sections 2a – 2d: Background, Overall Aim, Proposed Research

*Please address section 3 (Vision Mātauranga theme tick boxes) before completing this section, to ensure that the correct page limits are applied:*

- If no Vision Mātauranga theme is identified in Section 3, the total page limit for this section is **five pages**, with no set limit for each section within this.
- If one or more Vision Mātauranga theme is identified in Section 3, the total page limit for this section is **six pages**, with no set limit for each section within this.

Please read the definitions of these sections clearly, and avoid repetition.

### Section 2a: Background

Use this section to give a context for the proposal by summarising in plain language the state of knowledge in the field.

## ***Section 2b: Overall Aim of the Research***

Use this section to state the general goals and specific objectives of the research proposal. Outline the potential for significant scholarly impact of your proposal (incorporating novelty, originality, insight and ambition). Applicants should also use this section to explain the interdisciplinary nature of the proposal, and how it will significantly expand research possibilities and ambition through new researcher and institutional links.

## ***Section 2c: Proposed Research***

This section should cover, where appropriate, the hypotheses being tested, the general or brief methodologies to be used, sampling design, and methods of data analysis. Please ensure that your description covers the period of funding sought (up to three years), and that it includes contributions by collaborators and any postgraduate students. This section is intended for a general research literate audience, i.e. the Marsden Fund Council, who will not necessarily be specialists in the fields of research covered in the proposal.

If you identify one or more Vision Mātauranga themes in Section 3, please elaborate here how this fits in with your proposed research. For example, you may wish to discuss consultations and linkages, relevance, conceptual framework and/or proposal design, and outcomes (in addition to statements in Section 2d).

As signalled in the past few years, the Council has recommended an increased emphasis on ethical considerations of the proposed research, particularly in the social sciences disciplines.

- If the proposed research requires ethics approval, please use this section to show that you have considered all of the ethics issues associated with your research. Your discussion should satisfy the Council that your processes are meaningful, and for social science disciplines in particular, that you have fully considered how your methods will affect the communities you are working with. It is important that you do not concentrate solely on your theoretical argument at the neglect of methodology, implementation, and community safety.
- Compliance information (e.g. permit numbers, details of ethics approvals gained) should be detailed in Section 2j (Ethical or Regulatory Obligations).

## ***Section 2d: Vision Mātauranga***

If you identify one or more Vision Mātauranga themes in Section 3, please include discussion of this within Section 2d, for example, on consultation and linkages, relevance, conceptual framework and/or proposal design, and outcomes.

Where research projects are of relevance to Māori or involve Māori, the Marsden Fund Council expects that applicants are in consultation with Māori at the planning stage, so as to achieve the best possible outcomes. Please refer to the earlier section in these guidelines for more guidance and resources on Vision Mātauranga.

If unsure or in doubt about the relevance of the proposal for Māori, researchers should consult their institutional advisor. For the guidance of applicants, the relevance does vary according to research discipline. Examples of relevance could include proposals that involve biomedical research of significance to Māori health, social research, educational research, entrepreneurship, indigenous research, natural hazards, native flora and fauna, anthropology, the environment, sporting and cultural activities, literature, and language (even if the approach to these topics is seemingly irrelevant, such as algorithm development, biochemical pathways or mechanical properties).

Statements on Vision Mātauranga should be contained within Section 2d, following the description of research (Sections 2a-2c). This is to enable Vision Mātauranga to be more easily integrated into the conceptual framework and/or research design. Where Vision Mātauranga is appropriate to a proposal, it can contribute to the overall excellence.

Compliance aspects, such as access to culturally sensitive material and knowledge, should be covered in Section 2i, “Ethical or Regulatory Obligations”.

Aspects of Vision Mātauranga relating to relevant experience can be included in the “Roles and Resources” section (2i) and can also be incorporated into sections 2a-2c.

## **Section 2e: Specific Methodologies for the Proposed Research (NEW for 2020)**

This section should expand on the areas covered in the “Proposed Research” section and go into much more detail. It should cover, where appropriate, the **specific** methodologies to be used, sampling design, and methods of data analysis. This section is intended for a specialist audience, i.e. expert referees in the fields of research covered in the proposal.

This section should not exceed **three** pages in length.

## **Section 2f: Assessment Criteria**

This section is for applicants to state explicitly how their proposed research relates to each Council Award assessment criterion. Applicants should address each individual criterion. These are listed on the template.

This section should not exceed **two pages** in length.

## **Section 2g: References**

This section is for references associated with the Background, Overall Aims, Proposed Research, Vision Mātauranga, Assessment Criteria and Specific Methodologies sections (2a-2f). It is important to support the proposal by means of references. Please ensure that these are not restricted or limited to the applicants’ own work. Applicants are also requested to:

- Ensure that the references have been published, so that they are readily accessible when the proposal is being assessed.
- Bold any applicants’ names if they appear in the reference list.
- Include titles of each reference.

There is a limit of **three pages** for this section when previewed as a document on the portal. This section does not include the use of footnotes; it should contain a list of references only, rather than further explanation of ideas covered in sections 2a-2f.

## **Sections 2h – 2j: Timetable, Roles and Resources, and Ethical or Regulatory Obligations**

The assessment criterion includes the ability of the researchers to carry out the research. Sections 2h, 2i and 2j are an opportunity to demonstrate that the research is feasible, and that the researchers have a clear plan. Researchers should indicate how they intend to use their time, what the roles of various personnel will be, any anticipated ethical or regulatory obligations, and any potential administrative hurdles (such as permits, access or approvals) that they will need to deal with.

**The total page limit for Sections 2h to 2j is two pages**, with no set limit for each section within this. Please read the definitions of these sections clearly and avoid repetition. Where practical, utilise paragraph breaks, subheadings or bold fonts to clearly signpost your proposal.

### ***Section 2h: Timetable***

Describe in general terms the advances you hope to make in each year. It is acknowledged that this timetable may be revised as the research progresses.

### ***Section 2i: Roles and Resources***

In this section, please explain briefly:

**Roles:** The contribution that each named team member will make to the proposed research. This should clearly explain the FTE requests. If un-named personnel are included in the proposal (e.g. technicians, students, post-doctoral fellows, etc.) please indicate role, what skills are being sought, and what steps will need to be taken to fill these positions. This section should additionally include a description of the role of team members for which no FTEs are being sought.

If AIs are named on the proposal and are constrained from being PIs due to the PI exclusion rule, please address this here.

**Resources:** Clearly state the resources required for the proposed research that the team will have access to. This is an opportunity to discuss the practical requirements of your proposed research. For example: Access to libraries/collections/archives; access to required instruments/equipment/techniques/materials; ability to do fieldwork (e.g. site access, assistance, etc.); access to pools of participants.

If there are any special requirements for the proposed research, please explain how these will be met.

Please note that if applicants will require logistical support from Antarctica New Zealand, this should be signalled here. If logistical support will be required, applicants on any Council Award proposal that is selected to go to Stage 2 will then need to engage with Antarctica New Zealand.

### ***Section 2j: Ethical or Regulatory Obligations***

Any permissions, approvals, etc., should be listed in this section.

It is your responsibility to ensure that all ethical or regulatory obligations are met (for example, from ERMA, MPI, Animal Ethics, Human Ethics). It is also your responsibility to organise access to facilities, fieldwork sites, archives, materials etc. This section should make clear that you have anticipated or gained the necessary formal approvals for your intended research, for instance, Department of Conservation permits, ERMA permits, and so forth.

Researchers should plan the necessary approvals well in advance, to ensure no delays on the project should it be funded. Researchers should contact their institutional ethics committee and research offices for further information. Researchers will need to provide information on the current state of their ethics approval.

Note that only compliance aspects related to ethical or regulatory considerations should be covered here. Ethical considerations in the context of the research methodology should be discussed in detail in the Proposed Research section (2c), as mentioned previously.

### ***Social Research***

Researchers collecting personal information should be aware of their obligations around obtaining consents, data security, maintaining the anonymity of individuals, sensitivity around cultural issues and all

other ethical considerations as appropriate. If there is any uncertainty, researchers should consult their institutional ethics committee.

Please note that there is now a requirement that any researchers working with children follow the guidelines of their host institution's child protection policy, in accord with section 19 of the Vulnerable Children's Act 2014. Should the host institution not have a child protection policy, researchers should comply with the Society's guidelines:

<https://royalsociety.org.nz/who-we-are/our-rules-and-codes/policy-on-child-protection/child-protection-policy/>

### *Research Using Animals*

Research using animals is covered by the Animal Welfare Act 1999, which is administered by the National Animal Ethics Advisory Committee (NAEAC)

The Act encourages researchers to consider the Three Rs:

- Replacement: Replacing animals with non-animal alternatives. Computer models can sometimes be used for teaching instead of live animals.
- Reduction: Using as few animals as necessary.
- Refinement: Pain or suffering must be reduced as much as possible, for example, by using painkillers.

For further information on NAEAC and your obligations as a researcher, you should contact your institutional ethics committee well in advance of your proposal. More information on research involving animals is available at <http://www.mpi.govt.nz/protection-and-response/animal-welfare/overview/national-animal-ethics-advisory-committee/>

Please note that animal welfare legislation requires animal ethics committees to **explicitly** consider whether a research proposal has assessed the "replacement" option.

**Details of ethical approval for social science research or animal research, or regulatory approval (e.g. ERMA approval for use of GMOs) need to be received before any grant is paid.**

## **Section 3: Vision Mātauranga**

*Please address this section before completing sections 2a-2d, to ensure that the correct page limits for 2a-2d are applied.*

Proposals should consider the relation of the research to the themes of Vision Mātauranga and, where relevant, how the project will engage with Māori.

Where research projects are of relevance to Māori or involve Māori, the Marsden Fund Council expects that applicants are in consultation with Māori at the planning stage, so as to achieve the best possible outcomes. Please refer to the Vision Mātauranga section earlier in this document for more guidance. If unsure about the relevance of the proposed study for Māori, researchers should consult their institutional advisor.

Principal Investigators should identify which, if any, of the four Vision Mātauranga themes, can be associated with the proposed research. Please note that more than one box may be ticked. If none apply, please tick N/A. The themes are:



Indigenous innovation: Research that utilises distinctive products, processes, systems and services from Māori knowledge.

Taiao: Research that furthers environmental sustainability by engaging with local hapū and iwi and their researchers and initiatives.

Hauora/Oranga: Improving Health and Social Wellbeing.

Mātauranga: Exploring Indigenous Knowledge.

If one or more themes do apply, up to one additional page will be available for statements on Vision Mātauranga immediately following the description of research in Sections 2a-2c. This is to enable Vision Mātauranga to be more easily integrated into the conceptual framework and/or research design. Where Vision Mātauranga is appropriate to a proposal, it can contribute to the overall excellence.

**NEW FOR 2020:** Collection of the % contribution of each Vision Mātauranga theme to the proposed research will form part of our reporting obligations for NZRIS (see “Changes” earlier). If you have ticked one or more Vision Mātauranga themes, please consider each theme one at a time. Indicate the proportion of the proposed research that aligns with that theme. **Note** that it is possible for the combined total to be over 100% (for example, if the proposed research is entirely Mātauranga and also has a Hauora/Oranga theme, the contributions could be 100% and 10% respectively).

**CHANGED for 2020:** There is a small comment box on the portal to explain briefly your rationale for either choosing N/A, or your choice of VM theme(s). Panellists will be looking for affirmation that applicants have considered whether or not their proposed research has Vision Mātauranga theme(s). If you feel that Vision Mātauranga does not apply to your proposed research, please state this here. Consultation is not a requirement; however if you have received feedback from your institution that VM does not apply to your proposed research, please state this here.

## Section 4: Full Time Equivalents (FTEs) of Personnel

The personnel information requested in Sections 4 (FTE Table) and 6 (Budget) should contain the total time (expressed as a proportion of full-time equivalent [FTE], where 0.1 means 10% of one FTE, or one day per fortnight) that each researcher will spend on the project.

**All FTEs should be included in the FTE table (Section 4), regardless of whether Marsden funding is being requested for them.** However, in the budget (Section 6), FTEs should be recorded as zero if Marsden funding is not requested for them. Note that this distinction means that the total FTE count per year may differ between the FTE table and the budget.

Please note that overseas investigators cannot have their time or institutional costs paid for by Marsden.

Post-doctoral researchers or postgraduate students can be included in the research team. Summer students may also be included under the “postgraduate student” category if required.

Post-doctoral researchers may be part-time or full-time on a Marsden proposal.

Postgraduate students can be supported on Marsden proposals on a fixed-rate basis. This is currently set at \$27.5k scholarship per year, plus fees (New Zealand resident rates) for PhD students or \$17k scholarship plus fees (New Zealand resident rates) for Masters students. These figures assume the postgraduate students are assigned to the research on a full time basis.

For summer studentships, please check with your Research Office for guidance on stipends.



Those involved in the assessment of the proposal require this information to determine whether the total resources requested are sufficient and realistic to achieve the goals and objectives indicated in the proposal in Section 2. The Marsden Fund Council expects that sufficient Principal Investigator time be allocated to carry out the project successfully. The total time that is to be devoted to the project, specified in Section 4, will form part of the contractual obligations to the Royal Society Te Apārangi.

## Section 5: CV and Publications

A CV should be completed for each named applicant, up to a maximum of five pages (see instructions below). CVs are not required for students, technicians or un-named post-docs, but are required for any post-docs who are named on the proposal. No photographs are permitted on CVs. The Ministry of Business, Innovation and Employment (MBIE), the HRC and the Marsden Fund use a similar template, which largely standardises the type of information asked for. Please follow these guidelines, which are included with the CV template on the portal. This template allows you to maintain your own master CV, from which you can draw on when submitting a research proposal.

Please note: sections 2b, 2c, 2d of the standard template are relevant only to MBIE proposals and have been deleted from the template on the portal. The template allows you to expand/reduce sections as you see fit.

### Part 1

1a. This section is for personal details. It identifies who you are and where you can be contacted most readily. A space is provided if you have your own personal website about your research (optional).

1b. You should list your academic qualifications in this section.

1c. You should list the professional positions you have held in this section.

1d. You should briefly describe your field of expertise in this section.

1e. Please list your total years of research experience in this section, excluding periods away from research.

You can describe any significant interruptions to your research career in the text box underneath section 1e – for example, parental leave, illness, administrative responsibilities. The information included here should give an idea of research relative to opportunity.

1f. This section is for significant achievements, including, but not limited to, honours, prizes, previous grants, scholarships, memberships or board appointments.

1g. This section is to record the total number of peer-reviewed publications and patents you have produced during your career. Only peer-reviewed or refereed publications, or patents should be counted in each section. Books should be listed separately in this section.

### Part 2

2a. This section lets you list some of the peer-reviewed publications you have produced and that are relevant to your proposal. Recognising that research dissemination occurs other than through peer-reviewed publications, this section also lets you list other forms of research dissemination, such as technical reports or popular press. Please **only** include publications that are either published or in press. Submitted articles should not be included.

You should **bold your name** in the list of authors and include names of all other co-authors (up to 12).

You should **bold the year** of the publication if it was published in the **last 5 years**. For 2019, applicants should bold the year of publication from **2015 onwards only**.

In total, your CV must not be more than **five pages long** when submitted. This allows up to two pages for personal and work history information in Part 1, and up to three pages for evidence of track record in Part 2. All instructions in italics should be deleted before you submit your CV.

- Note that the list of publications should include all publications relevant to the proposal; these are not limited to publications from the previous 5 years.

For book chapters or volumes, please give page numbers and also names of publishers.

For any published books, please indicate the number of pages for each book.

Please note that page limits are the same for each named person on the proposal.

## Sections 6 and 7: Budget

The budget information is contained in Sections 6 and 7. The Marsden Fund is operated under Terms of Reference set down by the Minister of Research, Science and Innovation. The Terms of Reference state that funds awarded are to cover the full costs of a proposal. Full costing shall include direct costs, associated personnel costs and an appropriate share of overhead costs such as institutional administration and depreciation of capital assets and buildings. Please note that collaborating researchers from outside New Zealand are able to be included in proposals, **but are not able to receive direct funding support for their time or institutional costs**. However, costs associated with collaboration (i.e. travel and accommodation) may be covered under “direct costs”.

The Terms of Reference also state that shared funding in the form of one party paying direct costs and the other paying indirect costs will not be permitted. The Marsden Fund may, however, support pieces of work that are related to programmes already being sustained through some other funding route (e.g. CoREs) providing that the proposal is for a discrete piece of work. Where relevant, the wider programme should be described to demonstrate that the Marsden proposal complements other work being carried out by the applicant. This procedure has been adopted to prevent cross-subsidisation, especially where Government funds are involved.

The Marsden Fund Council wishes to be assured that the funding arrangements for Marsden projects are appropriate. If insufficient information is available to provide this assurance, the Council will seek to obtain these details before funding is approved. Applicants are advised that this need for further information will not play any part in the Marsden Fund Council’s assessment of the merit of the proposed research.

In identifying the full cost of their proposal, applicants should see the sample budget on page 30, which is prepared as a guide.

## Guide on Project Size

The Marsden Fund Council has set a maximum amount per Marsden Fund Council Award of \$1 million (exc GST) per year, for up to 3 years.

Where other funding for research relevant to the proposal is being provided or sought, it must be detailed, as required, in Section 8 (Other Funding). It is appreciated that many other applicants will be involved in proposals to other funding sources, or have funding for related work. **This is to be encouraged**. However, to assist in the assessment of Marsden proposals, the Council need to be aware of other funding applied for or received. Although the price of a proposal is of secondary consideration, after the grading of proposals

on the basis of the Marsden criteria, the price of each proposal will be taken into account by the Council. Applicants should also bear in mind that approximately \$6 million (excluding GST) is expected to be allocated to up to 2 Marsden Fund Council Awards Proposals in the 2020 round.

If any applicants have sought other funding for work related to the Marsden proposal and they are subsequently successful, they should let the Marsden office know immediately.

In Section 8 (Other Funding), please also fill in the table (b), giving details of previous or current Marsden funding held by Principal or Associate Investigators, FTEs, their role in the project (Principal or Associate Investigator) and the completion date for the research. Please also indicate any periods of leave to be sought during the period of proposed Marsden funding (8c).

## ***Budget Template***

The budget template is an Excel file with a “Budget” tab (section 6) and a “Direct Costs” tab (section 7). Any inputs into the “Direct Costs” tab will automatically be carried through to the corresponding category on the “Budget” tab and show up in grey cells.

The budget template automatically calculates all subtotals and totals, as well as total FTEs.

Note: White cells on either tab can have data entered into them, but grey cells cannot.

## ***Budgeted Categories***

### ***Salaries & Salary-related Costs***

The figures in this category are to cover only the costs of personnel employed on the research proposal in the proposal. This should include the direct costs (i.e. salary) and indirect or salary related costs (e.g. superannuation, ACC and fringe benefits). Costs of general management and administration are to be excluded from this section and included as overheads. Any subcontracted personnel should not be included in this section but incorporated under the “Direct Costs” part of “Other Costs”.

Collaborating researchers from outside New Zealand are able to be included in proposals, but are not able to receive direct funding support for their time (FTE) or institutional costs (overheads)

The FTEs of personnel shown in the *budget* page **should only be those where costs and time are associated with Marsden funding**. If Marsden funding is not sought for particular individuals (e.g. overseas investigators, post-doctoral researchers with stand-alone fellowships, or postgraduate students with other sources of funding) then the individual should still be named on the budget page but with zero FTEs recorded.

### ***Postdoctoral Fellows***

Postdoctoral researchers may be part-time (usually 0.3 FTE or more) or full-time on a Marsden proposal. This should be indexed to L1 to L3 salary scales, or as appropriate. Please check with your host institution for more information.

### ***Postgraduate Students***

Postgraduate students are awarded scholarships free of income tax and may be supported on Marsden proposals at the stipulated rate. This is currently set at \$27.5k scholarship per year, plus fees (New Zealand resident rates) for PhD students, or \$17k scholarship plus fees (New Zealand resident rates) for Masters students. These figures assume the postgraduate students are assigned to the research on a full time basis. Fees should be included in the direct costs.

### ***Indirect Costs:***

## Overheads

Indicate the cost of overheads that relate to the research proposal. These should be directly proportional to the time spent on the project. Overheads include managerial time not included in the proposal, the cost of support services, the cost of financial and accounting systems, corporate activities, the cost of premises and other indirect costs. Cost of premises may be either the annual rental cost, or the depreciation cost, of premises and should be proportional to the project's use of the institution's premises for the research proposal.

## Direct Costs:

Details of costs should be listed in Section 7 ("Direct Costs" tab of the template), and should be broken down by year.

## Expendables

This category should include the general operating expenses associated with the research proposal such as consumables, travel (for conferences, collaboration etc.), capital purchases under \$5,000, and other miscellaneous costs associated with research. (This does not mean that equipment, such as a spectrometer, can be divided into separate components all less than \$5,000 each). Details of expendables should be given in Section 7(a). Please give details of major working expenses. Equipment costs should be included under Equipment Depreciation/Rental, Section 7(b). Items with a large cost (i.e., over \$5,000) should be included under Extraordinary Expenditure and explained in Roles and Resources (Section 2i).

## Equipment Depreciation/Rental

The Marsden Fund does not fund the purchase of equipment directly but may allow for an annual depreciation or rental cost. In the case of rental costs, the share of the total cost of the equipment should be proportional to the proposal's use of the equipment. For example, if a confocal microscope costs \$40,000/annum to run, and the proposal uses the microscope for 10% of its time, the Full Cost to the project would be \$4,000/annum.

**Note:** Many institutions make a general provision for depreciation in their overhead costs. If this is the case, depreciation costs should be incorporated in "Indirect Costs". If not, depreciation costs should be included here. In the case of depreciation not already provided for under "Indirect Costs", the cost of equipment should be assigned in proportion to the expected life of the equipment and the planned usage. If a request is made for equipment depreciation or rental, the details should be listed in Section 7(b).

## Sub-contractors

Any costs where services are purchased from other organisations should be included in this section. Where personnel are sub-contractors they should be shown in this section, named, and their time-commitments shown in the FTE column with details in Section 7(c). If sub-contractors are also Principal or Associate Investigators, they should be listed in both places, with the FTEs and associated costs included **only** in the "Sub-contractor" section. Named sub-contractors for whom a CV is supplied will generally be Principal or Associate Investigators.

Where a sub-contractor is a New Zealand research organisation, please break down costs per year into salary, overheads and direct costs according to the table shown in Section 7(c). Other sub-contractors (e.g. private individuals) may provide the annual cost as a single figure in the budget, rather than breaking down the costs.

## Extraordinary Expenditure

These are the costs of any extraordinary items that make the research significantly costlier than standard laboratory or office-based research efforts. An example might be time on a major facility, like a research ship or a linear accelerator and, as mentioned above under Expendables, travel costs where these are a

major item. If you use this category, you need to identify the nature of the expenditure in Roles and Resources (Section 2i).

#### **Postgraduate Students**

See page 27.

#### ***GST***

The cost of the research proposal should be GST inclusive. Note that the budget template provided will automatically calculate GST at 15% and the GST-inclusive total. The GST-exclusive amounts shown in the “subtotal (a) + (b)” row should not exceed \$1 million per year.

#### ***Budget Example***

You may be requesting up to three years funding. This example shows three years.

## 6. BUDGET(NZ \$)

	Year 1		Year 2		Year 3	
	BUDGET	FTE	BUDGET	FTE	BUDGET	FTE
<b>Salaries (giving names):</b>						
<b>Principal Investigator (s)</b>						
Professor Green	\$30,000	0.20	\$32,000	0.20	\$17,000	0.10
Dr Kahurangi (see below)						
<b>Associate Investigator(s)</b>						
Dr Black (see below)						
Professor Kōwhai (see below)						
Dr Scarlet (see below)						
Professor Good (overseas; no salary requested)		0.00		0.00		0.00
Dr Amarillo (overseas, no salary requested)		0.00		0.00		0.00
<b>Post-doctoral fellow(s)</b>						
	\$80,000	1.00	\$82,000	1.00	\$82,000	1.00
<b>Research/Technical Assistant(s)</b>						
	\$65,000	1.00	\$67,000	1.00	\$69,000	1.00
<b>Others (name)</b>						
<b>Salary-related costs</b>						
ACC levies	\$850		\$900		\$840	
<b>Total Salaries &amp; Salary-related costs (a)</b>	\$175,850	2.20	\$181,900	2.20	\$168,840	2.10
<b>Other Costs:</b>						
<u>Indirect Costs:</u>						
Overheads (105%)	\$184,643		\$181,900		\$177,282	
<u>Direct Costs:</u>						
Expendables* (specify) <sup>1</sup>	\$64,000		\$75,500		\$68,000	
Equipment depreciation /rental (specify) <sup>1</sup>	\$4,500		\$4,500		\$4,500	
Postgraduate students						
2 x PhD	\$55,000	2.00	\$55,000	2.00	\$55,000	2.00
Masters			\$34,000	2.00	\$17,000	1.00
<b>Sub contractors (specify)<sup>1</sup></b>						
Univ of Southland	\$455,900	3.50	\$407,150	3.00	\$429,750	3.00
<b>Extraordinary expenditure (specify)</b>						
<b>Total Other Costs (b)</b>	\$764,043	5.50	\$758,050	7.00	\$751,532	6.00
<b>Sub Total (a) + (b)</b>	\$939,893	7.70	\$939,950	9.20	\$920,372	8.10
G.S.T. at 15%	\$140,984		\$140,993		\$138,056	
<b>TOTALS</b>	\$1,080,877	7.70	\$1,080,943	9.20	\$1,058,428	8.10

\* Including student fees if applicable

<sup>1</sup> Data from Direct Costs Sheet

In this example Expendables, Equipment depreciation/rental and Sub-contractors need to be further explained on the separate page provided for Section 7, i.e.:

## 7. DIRECT COST BUDGET DETAILS

Please specify the items for the following (excluding GST). Please break down into costs per year.

### a) Expendables

	Year 1	Year 2	Year 3
	BUDGET	BUDGET	BUDGET
Student fees (2 PhD, 3 Masters students)	\$ 14,000.00	\$ 25,000.00	\$ 20,000.00
Conference attendance	\$ 9,000.00	\$ 9,000.00	\$ 9,000.00
Travel & costs to visit overseas AI Good's group	\$ 8,000.00		\$ 8,000.00
DNA sequencing and bioinformatics	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00
Publication costs	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00
Volunteer costs and koha	\$ 2,000.00	\$ 2,500.00	
AI Amarillo visit to host institution		\$ 8,000.00	
<b>TOTALS (excl GST)</b>	<b>\$ 64,000.00</b>	<b>\$ 75,500.00</b>	<b>\$ 68,000.00</b>

### b) Equipment depreciation/rental

	Year 1	Year 2	Year 3
	BUDGET	BUDGET	BUDGET
Spectrometer used 50% for this project	\$ 4,500.00	\$ 4,500.00	\$ 4,500.00
<b>TOTALS (excl GST)</b>	<b>\$ 4,500.00</b>	<b>\$ 4,500.00</b>	<b>\$ 4,500.00</b>

### c) Subcontractors

University of Southland						
	Year 1		Year 2		Year 3	
	BUDGET	FTE	BUDGET	FTE	BUDGET	FTE
<b>Salaries: (giving names)</b>						
Dr Kahurangi	\$20,000	0.20	\$22,000	0.20	\$24,000	0.20
Professor Kōwhai	\$15,000	0.10	\$17,000	0.10	\$18,000	0.10
Dr Scarlet	\$20,000	0.20	\$22,000	0.20	\$24,000	0.20
Un-named post-doc	\$83,000	1.00	\$85,000	1.00	\$87,000	1.00
Research Assistant	\$60,000	1.00	\$31,000	0.50	\$32,000	0.50
<b>Other Costs:</b>						
<u>Indirect Costs:</u>						
Overheads	\$207,900		\$185,850		\$194,250	
<u>Direct Costs:</u>						
Expendables*						
(specify)						
Student fees	\$7,500		\$7,800		\$8,000	
Fieldwork & permits	\$9,000		\$9,000		\$9,000	
Travel to AI's group	\$6,000				\$6,000	
Postgraduate students						
Un-named PhD student	\$27,500	1.00	\$27,500	1.00	\$27,500	1.00
<b>TOTALS (excl GST)</b>	<b>\$455,900</b>	<b>3.50</b>	<b>\$407,150</b>	<b>3.00</b>	<b>\$429,750</b>	<b>3.00</b>

For extraordinary expenditure – please describe under “Roles and Resources” (Section 2i)

## Section 8: Other Funding

Indicate whether non-Marsden funding (e.g., MBIE/HRC/CoRE/TEC/MPI/commercial/other) has been i) received or ii) applied for, for this or for research relevant to this proposal.

Include information on the FTEs applied for or received from non-Marsden government funding sources (such as MBIE/HRC/CoRE). This section should not exceed two pages.

## Section 9: Declaration Page

All contact Principal Investigators are required to tick a box to indicate their acceptance of the Full Proposal, and should read the declaration page before they do so. Institutions should sign a collective declaration, which is available from the “Agent Declaration” menu and should be uploaded.

## Referees

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If there is any person whom you do not wish to referee your proposal, please state this, providing reasons, in a communication provided to the Society on letterhead. The latest date to receive referee exclusion notifications is **May 14<sup>th</sup> 2020** - within 1 week of being notified of the outcome of the Stage 1. **The number of people that can be excluded as potential referees is strictly limited to three.**

The process of finding referees will start after Council have made a shortlist of Council Award proposals in May. The Marsden Fund Council will endeavour to get between three and five reports for each shortlisted proposal. Referees are not identified to applicants, nor are grades made available to applicants.

Referee reports will be posted on a web portal. The main batch of referee reports will be posted on the portal on 12<sup>th</sup> August; from this date onwards, reports will be posted as they are received. Applicants should submit their responses through the web portal. The main deadline for responses will be 26<sup>th</sup> August; response deadlines will be extended for reports received later than August 12<sup>th</sup> and will be indicated on the portal.

**Applicant responses to the referee reports are limited to one page per referee report.** For example, if a proposal has three referees, then three separate responses of one page each can be submitted. If you do not wish to reply to a particular report, please could you indicate this on the portal by ticking “No Response”, so that we can be certain that we have all the responses back.

Note that the responses do not go back to the reviewers, but are assessed by the Marsden Fund Council only; applicants should bear this in mind when writing their responses.

## Interviews (New for 2020)

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As noted earlier, applicants who progress to Stage 2 should be prepared for the possibility of a brief video interview with members of Council, to answer any questions that Council may have. If this is the case, the Marsden Fund administration will contact applicants to arrange a convenient time. The timeframe for this is likely to be early October.

## Statistical Information and Use of Personal Information

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The Marsden Fund Council encourages proposals from all members of the New Zealand research community. To monitor the profile of different groups within Marsden funding and identify funding trends and gaps, the Royal Society Te Apārangi collects statistical Information relating to each applicant. Statistical



information (for example, date of birth, gender, ethnicity, years since PhD) is used for statistical purposes only. It is not accessible by anyone involved in the assessment of proposals. Personally identifiable information will not be shared with third parties without your authorisation.

In order to evaluate, and assess the long-term impact of our activities, we will keep an electronic record of the information we hold about you indefinitely unless you request that your private data be destroyed.

If you want to verify, modify, correct or delete any private data, you should apply to the Society's Privacy Officer <privacy.officer@royalsociety.org.nz>.

For "Gender", there is a "Gender Diverse" category in addition to Male and Female. This is in line with guidelines and categories used by Statistics New Zealand. See

<http://www.stats.govt.nz/methods/classifications-and-standards/classification-related-stats-standards/gender-identity.aspx> for further information.

## Feedback

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The nature of feedback at both stages from the Marsden Fund Council is yet to be determined, as the approximate number of proposals received is not yet known. However, any proposals progressing to Stage Two but are ultimately unsuccessful will be able to seek feedback from the Marsden Fund Council.

## Deadlines

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Proposals should be released via the portal. Hard copies are not required.

For institutions, a combined declaration covering all proposals must be signed and submitted by the deadline below. The combined declaration can be downloaded from the portal and after signing, is then uploaded to the portal.

**All Marsden Fund Council Award proposals need to be released via the portal no later than 12 noon, Thursday 20<sup>th</sup> February 2020 (NZDT).**

## Marsden Fund Contact Details

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Postal Address:	Courier Address:
The Marsden Fund The Royal Society Te Apārangi PO Box 598 Wellington 6140 NEW ZEALAND	The Marsden Fund The Royal Society Te Apārangi 11 Turnbull Street Thorndon Wellington 6011 NEW ZEALAND

For general information on the Marsden Fund, please see our website:

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/marsden/>