

Catalyst: Leaders

2017 Guidelines

Table of Contents

Version History.....	2
Background.....	3
Objectives.....	3
Catalyst: Leaders programmes open (April 2017).....	3
Contact	3
Funding Opportunities	4
Key Definitions.....	5
Disclaimer	6
Eligibility Requirements.....	6
Application Guidance	6
Selection Criteria	7
Application Process	8
Assessment of Applications.....	9
Notification.....	9
Successful Grants.....	9
Julius von Haast Fellowship Award [OPEN].....	11

Note

- Please note that this document will be released three times a year: **January, April and July**.
- Specific programme information is updated at each call release.
- Application Templates are available for downloading via the Catalyst: Portal, please contact your Research Office for a URL Link to the Portal.

Version History

History of Document Changes			
Version	Date	Change	Page
1.0	January 2016	First version published	
2.0	April 2016	Updated guidelines to reflect the open calls for April 2016 <ul style="list-style-type: none"> - JvH Fellowship Award Sub-Programme 	
3.0	July 2016	Updated guidelines to reflect the open calls for July 2016 <ul style="list-style-type: none"> - JSPS– HOPE Meetings Sub-Programme 	
4.0	January 2017	Updated guidelines to reflect the open calls for January 2017 <ul style="list-style-type: none"> - International Leader Fellowships - New Zealand-China Scientist Exchange Programme - Japan Society for the Promotion of Science – Postdoctoral Fellowships 	11 13 15
		Applicants are asked to highlight in yellow a maximum of 5 publications with the highest relevance to the proposed project under section 2a of the CV	8
5.0	April 2017	Updated guidelines to reflect the open calls for April 2017 <ul style="list-style-type: none"> - JvH Fellowship Award Sub-Programme 	11

Background

The Government's ten year vision as set out in the 2015 National Statement of Science Investments (NSSI)¹ is of "a highly dynamic science system that enriches New Zealand, making a more visible, measurable contribution to our productivity and wellbeing through excellent science."

International science and innovation connectivity will be a key contributor to achieving the NSSI's vision, as it provides an opportunity to drive increasing excellence and the potential for impact of New Zealand science.

The Ministry of Business, Innovation and Employment's (MBIE) Catalyst Fund supports activities that initiate, develop and foster collaborations leveraging international science and innovation for New Zealand's benefit. The Catalyst Fund is delivered through four instruments: Influence, Leaders, Seeding and Strategic.

On behalf of the Ministry of Business, Innovation and Employment (MBIE), the Royal Society Te Apārangī (the Society) administers Catalyst: Leaders.

Objectives

Catalyst: Leaders supports incoming and outgoing targeted international fellowships for exceptional individuals that cannot be supported through other means.

The objectives of Catalyst: Leaders are:

- To promote the importance of international cooperation in science and New Zealand's science and innovation capabilities.
- To catalyse science and innovation through placement of international experts in key science and innovation hubs.
- To meet specific capability needs for New Zealand benefit.

Three Catalyst: Leaders calls will take place throughout this year.

Catalyst: Leaders programmes open (April 2017)

- Julius von Haast Fellowship

Contact

For any queries, please contact the Royal Society Te Apārangī:

Research Funding (International)

Royal Society Te Apārangī

PO Box 598 | 11 Turnbull Street, Thorndon, Wellington 6011

Phone: +64 4 470 5756 | +64 4 470 5764

Email: International.Applications@royalsociety.org.nz

¹([NSSI](#)) – The Government's strategic direction for science investment over the next decade.

Funding Opportunities

Catalyst: Leaders provides funding for a number of pre-existing and new sub-programmes. An overview of included sub-programmes and key dates are given in the tables below:

Table 1: Annual call timelines

Call	Open Date	Close Date	Sub-programmes
JANUARY	26 January 2017	20 April 2017	- International Leader Fellowships - New Zealand - China Scientist Exchange Programme - JSPS Postdoctoral Fellowships
APRIL	27 April 2017	20 July 2017	- Julius von Haast Fellowship
JULY	27 July 2017 (tbc)	12 October 2017 (tbc)	- 10 th HOPE Meeting (tbc)

Please note: Specific sub-programme information is updated at each call release.

Table 2: Catalyst: Leaders sub-programmes

Sub-Programme	Brief Description	Duration	NZ\$ Funding (excl. GST)	Awards available per call
International Leader Fellowships	Supports exceptional individuals from any country outside New Zealand to catalyse science and innovation capability and capacity in New Zealand for a minimum of 4 weeks per year for up to 3 years	1 to 3 years	<u>Per annum:</u> \$20,000 Stipend \$20,000 Research support \$10,000 Host admin	Up to 3
Julius von Haast Fellowship Award	Supports an internationally recognised researcher from Germany to undertake research in New Zealand for a minimum of 4 weeks per year	3 years	<u>Per annum:</u> \$20,000 Stipend \$20,000 Research support \$10,000 Host admin	Up to 1
New Zealand to China Scientist Exchange Programme	Supports the development of research linkages with China by enabling New Zealand researchers to visit Chinese research organisations	4 weeks	Flights and daily living allowance	Up to 10
JSPS HOPE Meeting	Supports excellent PhD students and/or postdoctoral fellows to attend the HOPE meetings with Nobel Laureates in Japan	5 days	Flights, accommodation, and meeting registration	Up to 5
JSPS Postdoctoral Fellowship*	Supports young and excellent New Zealand postdoctoral researchers doing research in Japan	12 – 24 months	Flights, insurance and living allowance	Up to 5

* Please note this programme is fully funded by Japan Society for the Promotion of Science (JSPS)

Table 3: Catalyst: Leaders Sub-Programmes administered by other parties

Sub-Programme	Brief Description	Duration and approximate timing	International Partner Agency	Link to call information
China to New Zealand Scientist Exchange Programme (for Chinese researchers visiting New Zealand)	Supports the development of research linkages with China by enabling Chinese researchers to visit New Zealand research organisations	4 weeks, May-June	Chinese Science and Technology Exchange Center in Beijing (CSTEC)	CSTEC
East Asia Pacific Summer Institutes Program (EAPSI)	Supports U.S. graduate students in science and engineering to conduct research in New Zealand.	8 weeks, June-August	The National Science Foundation in the U.S. (NSF)	NSF

Please note: The Society does not administer Table 3 Sub-Programme calls. All eligibility and application requirements are determined by the International Partner Agency.

Key Definitions

Applicant means the New Zealand research organisation submitting the Catalyst Proposal on behalf of the Leader or Principal Investigator (PI).

Call means request for proposals towards specific Programmes or Sub-Programmes, as outlined in [Table 1: Annual call timelines](#).

New Zealand Principal Investigator (PI) means the New Zealand individual nominated by the Applicant, who is responsible for the proposed activity if awarded funding.

Collaboration Partner means the international researcher collaborating with the Principal Investigator.

Host means the New Zealand or international research organisation that will be hosting the Leader or Principal Investigator (PI).

Leader, or Fellow means the travelling individual researcher nominated by the Applicant, who would carry out the proposed activity if awarded funding.

For Leaders coming to New Zealand, the Leader is the Collaboration Partner. For New Zealand Leaders travelling abroad, the Leader is the Principal Investigator.

Partner Institution means the international research organisation of the Collaboration Partner (where relevant).

Programme (or Sub-Programme) means the individual funding opportunity within Catalyst: Leaders, identified in [Table 2: Catalyst: Leaders sub-programmes](#).

Project means the unique research collaboration proposed by the Proposal.

Project Team means the Principal Investigator, Collaboration Partner and supporting individuals collectively identified in the Proposal as critical to the success of the Project.

Proposal (or Application) means the application submitted by the Applicant to Catalyst: Leaders.

Research Organisation means an organisation that has internal capability to carry out substantive research, science, technology or related activities. Public service departments as listed in [Schedule 1 of the State Sector Act 1988](#) are not eligible to apply under the Catalyst Fund.

Disclaimer

All Programmes are subject to Budget decisions, no particular level of funding is guaranteed and all commitments made or implied in the guidelines are subject to suitable appropriations being made by the New Zealand and, where applicable, bilateral partner Governments.

Eligibility Requirements

- The Proposal must be made by a New Zealand-based research organisation or a New Zealand-based legal entity representing a research organisation, unless otherwise agreed by the Society.
- Complete Proposals including all supporting documents, must be submitted by **5.00pm (NZST)** on the closing date indicated on *Table 1: Annual call timelines*. No late Proposals or supplementary documentation will be accepted.
- In addition to meeting the general eligibility requirements, the Proposal must meet all **specific Sub-Programme eligibility** criteria, listed in the specific programme requirements at the end of these guidelines.

Application Guidance

Fields of Research

Eligible fields of research are listed by Sub-Programme in the specific programme requirements at the end of these guidelines.

Refer to **section 4** of the Application.

Māori research and innovation

[Vision Mātauranga](#) is a MBIE policy that recognises the distinct contribution that Māori knowledge, resources and people can make to research, science and technology. 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*; Mātauranga, which involves exploring *indigenous* knowledge.

Where research projects are of particular relevance to Māori or involve Māori, the Society expects that:

- Applicants are in consultation with Māori to ensure that the research is well planned.
- Appropriate etiquette is observed when access to Māori sites, culturally sensitive material and knowledge is sought from their owners.
- Māori intellectual and cultural property rights are respected.

Cultural understanding is required to ensure good quality research. As a first step, researchers should seek advice from their institution, many of which have established processes for consultation with Māori.

If unsure or in doubt about the relevance of the proposal for Māori, the researchers should consult their institutional advisor and should spell out their rationale in the relevant section of the form.

Please note that there is an opportunity for this section to contribute to the overall research excellence of the proposal and the assessment panellists will assess it in this context.

For more information please refer to the following website:

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

Refer to **section 6** of the Application.

Selection Criteria

The assessment of Proposals by the Society will be through a review process involving assessment panel(s) from outside of the Society. Refer to the section on application assessment for more information. *Please also refer to each specific Sub-Programme – Specific Requirements.*

The assessment criteria listed below are intended to deliver on the vision set out in the NSSI [MBIE, 2015]. The NSSI notes that it is vital that all parts of the science system continue to strive for greater excellence and impact in the science undertaken, with our science being of the highest quality possible and most public investment having a clear line of sight to eventual impact.

The review process will consider the proposals against the following assessment criteria:

Criterion 1: Enduring collaboration (weight in assessment 30%)

Will the proposed activity establish an enduring collaboration with world class international partners?

- Track record of the Leader (relative to opportunity)
- Potential of the collaboration to create an enduring partnership
- Ability of the Host and the Leader to deliver on proposed activities
- Ability of the Leader to be a catalyst for capability and capacity building in New Zealand
- Ability of the Host to maximise the opportunity of the Leader's visit (where the Leader is a visiting international researcher)
- Clearly demonstrated excellence of the international Partner Institution (where the Leader is an outgoing New Zealander).

Refer to **section 9** of the Application.

Criterion 2: Novel knowledge and partnership (weight in assessment 40%)

Will the activity lead to the creation of new knowledge and a novel research partnership?

- How the Collaboration Partner will bring world-leading knowledge that complements the expertise of New Zealand Principal Investigator and the New Zealand Host.
- How the proposed collaboration will support a new partnership or a new research focus for an established collaboration.

Refer to **section 10** of the Application.

Criterion 3: Strategic Benefits (weight in assessment 30%)

Will the activity lead to a collaboration of strategic benefit to New Zealand?

- Ability to leverage international investment, and access to facilities and infrastructure not available in New Zealand.
- Clearly demonstrated pathway to build a substantive collaboration that is in line with New Zealand's science priorities.
- Ability of Host to leverage strategic benefit of the Leader to catalyse capability and capacity development in New Zealand (where the Leader is a visiting international researcher).

Refer to **section 11** of the Application.

When assessing the Proposals against the assessment criteria, the assessment panel(s) may also take the following factors into account, including the extent to which the overall mix of investments:

- is likely to achieve the objectives of the Catalyst Fund;
- is likely to unlock the science and innovation potential of Māori knowledge, resources, and people for the benefit of New Zealand in accordance with the aim of the Vision Mātauranga

- policy (see previous section);
- will ensure that funding is not concurrently provided in respect of any two or more Programmes of research, science, technology or related activities that are the same or similar (whether those Proposals are part of a new Proposal, or are already being funded); and
- will minimise the risk that an Applicant will not be able to undertake the relevant programme of research, science or technology, or related activities because the Principal Investigator, or any person involved in delivering the project, would concurrently be committed to one or more other programmes (whether those Proposals are part of a new Proposal, or are already being funded).

Other Funding sources

Applicants are required to identify all other funding sources. The activity must not previously have been funded from another source. It must not form an integral part of a MBIE, Marsden Fund, or Health Research Council-funded project. Refer to **Budget section** of the Application.

Application Process

Make sure that you are familiar with any specific Sub-Programme requirements (e.g. priority research areas, eligibility requirements, bilateral partner applications, etc.), which are outlined under the relevant Call outline at the end of these guidelines. See also under the application assessment section.

Submitting Your Application

All Proposals must be submitted on the Catalyst Portal. A link to the Portal will be made available through your research office. Please contact the Society if your organisation has not received a link by using the email address below:

- International.Applications@royalsociety.org.nz

For additional help on how to use the portal and fill out your application, please refer to the Catalyst Portal Instructions available for download via the Catalyst Portal.

Receipt of all applications will be acknowledged by email.

Information provided by Applicants will be administered in accordance with the requirements of the Privacy Act 1993.

Application Format

Please follow the instructions provided on the application template(s), keeping to the space requirements.

- Proposals and any supporting documents submitted to the Society must be typed in English, unless prior approval by the Society has been granted.
- Applications must be fully self-supporting.
- Digital signatures are accepted.
- Cited references may be included as part of the application form(s) in the relevant sections. These can be inserted wherever appropriate as referenced footnotes (reduced to font size 10 if necessary), but please be aware the page limit does still apply.

Supporting Documents Required

- Letter of support from New Zealand institution
- CVs of the Principal Investigator and the Collaboration Partner (New Zealand RS&T CV template sections 1 to 2b, including a list of previous grants and outcome of these). Please highlight in yellow a maximum of 5 publications with the highest relevance to the proposed project under section 2a.

- New Zealand host declaration (including statement agreeing to commit staff time and other resources to the project)
- Letter of support from the overseas partner institution(s) agreeing to commit staff time and other resources to the project
- Budget, including co-funding/in kind support

Assessment of Applications

The Society will appoint an independent assessment panel(s), which will review all eligible Proposals for each Sub-programme separately.

The final decision on what proposals will be funded lies with the Society. In making its decisions, the Society will take into account recommendations made by the assessment panel. The Society may also take into account the total investment across Catalyst: Leaders to ensure it is a balanced portfolio across both research fields and country relationships supported, while still ensuring quality.

This means, for example, ensuring that:

- the Society is not over-investing in collaborations with one country or topic area to the neglect of others;
- funding is balanced across longer- and shorter-term projects; and
- funding is not disproportionately invested in either research with short-term impact horizon versus research with a long-term impact horizon
- joint decision making with bilateral partners is enabled.

Please note that panel members are drawn from the New Zealand research community, and Applicants are therefore advised to write Proposals to a research literate audience. Panellists will represent appropriate disciplines and sectors. The Society recommends that Applicants write in plain English and avoid using jargon, as panellists from outside the Proposal subject specialty will inevitably also be reviewing their Proposal. All applications should be written in a clear, concise manner with sufficient detail to enable the reviewers to appraise fully the scope and implications of the Proposal.

MBIE reserves the right to nominate one assessment panel member.

The panel(s) will score and rank Proposals within each Sub-Programme pool in accordance with the published selection criteria above.

The funding decision is final and is not open to discussion or appeal. However, a decision not to fund does not preclude a re-application in a later round.

Notification

The Society expects to notify Applicants of the outcome of their Proposal by email through the institutional Research Coordinator.

For more information on the expected notification timeframes, refer to the individual Programme requirements at the end of these guidelines.

The successful Applicant will have one month from the date of notification in which to accept the award, following which the offer will be withdrawn.

Feedback

Because of the large number of Proposals received, the Society is not able to provide specific feedback to Applicants about individual Proposals.

Successful Grants

Conditions of Contract

In making its investment decisions, the Society may also:

- set pre-contract conditions which must be met before the investment is contracted;

- set special conditions in addition to the general terms and conditions set out in these guidelines.
- assess the appropriateness of the budget submitted with the proposal;
- ensure that the appropriate ethics approval has been given for specific collaborative Projects involving research on animals or humans.

The contract will specify:

- that references to the Project (including publications) acknowledge the provision of funding using the phrase: “Catalyst: Leaders funding is provided by the New Zealand Ministry of Business, Innovation and Employment and administered by the Royal Society Te Apārangi” or similar wording;
- that the Society will require a report on the agreed activity from the applicant’s institution or employer, or an individual where the applicant is a private investigator;
- that the report may be made available to the public or otherwise as the Society sees fit unless otherwise specified by the applicant;
- that all other funding sources relating to the activity have been identified;
- that the Society retain the right to audit expenditure and the outputs produced by the funded activity; *and* in the event that a dispute cannot be resolved, the parties agree to submit the matter for resolution to a mutually agreed neutral party whose decision shall be final and binding.

Contract Timeframes

Please refer to timeframes for each Sub-Programme in the relevant specific programme requirements at the end of these guidelines.

Reporting

Annual activity reports must be submitted to the Society by the New Zealand Research Organisation, with the final report due one month after the completion of the project. The reports must account for the progress made on the annual milestone activities identified in the proposal, and must be submitted on the template available on the Society website. Payment may be dependent on the report meeting the quality criteria identified in the Conditions of Contract. The quality criteria include submission of the report(s) by the specified date, clarity of the report, and proof that the activity has achieved the contracted deliverables and met the objectives of the Programme.

- The reporting requirements template is available for downloading at: <http://royalsociety.org.nz/what-we-do/funds-and-opportunities/catalyst-fund/catalyst-leaders/>
- Activity Reports are to be submitted via email to Royal Society Te Apārangi Research Funding (International) team at: International.Applications@royalsociety.org.nz.

All Activity Reports provided to the Society may be shared with MBIE and bilateral partners, where relevant.

Variations

Contract variations (including change of personnel, extensions, etc.) will be considered only in exceptional circumstances.

Requests must be addressed to the Director – Research Funding, sent from the institutional Research Coordinator, justified in writing and are subject to approval by the Society.

Julius von Haast Fellowship Award [OPEN]

Specific Sub-Programme requirements:

Background

The Julius von Haast Fellowship is offered to internationally recognised German researchers in conjunction with the Ministry of Business Innovation and Employment and the [Alexander von Humboldt Foundation](#). The application process is administered by the Society.

Objective

The Fellowship allows internationally recognised German researchers to spend time working collaboratively with their New Zealand colleagues, and to establish, or enhance, collaborative research of benefit to both countries.

International Partner

- Germany – in partnership with the Alexander von Humboldt Foundation (AvH).

Activity Description

The successful Julius von Haast Fellow will be recognised for excellence in their area or areas of expertise; have the ability to support an increase in New Zealand's capability in their area of expertise; and be internationally recognised.

The Applicant must be a New Zealand-based Research Organisation, which will act as the New Zealand Host (the Host). The Host will have the ability to leverage strategic benefit of the Fellow to catalyse capability and capacity development in New Zealand. The Host is expected to connect the Fellow beyond its own institution.

- The successful Fellow will undertake research in New Zealand for a minimum of **four weeks per year** over the **three year** award period.

Funding

A Julius von Haast Fellowship will be awarded for three years. Each year of tenure the Fellowship Award will comprise an annual payment of:

- **NZ\$20,000** maximum stipend paid to the Leader via the New Zealand Host;
- **NZ\$20,000** maximum research and travel allowance paid to the Host; and;
- **NZ\$10,000** maximum host institution administration allowance paid to the Host.

Fields of Research

The Julius von Haast Fellowship is open to all fields of research, science and technology (including social sciences and the humanities), and related areas of expertise.

Specific Requirements

In addition to the general eligibility requirements of the Catalyst: Leaders:

- The Fellow must be a German national or permanent resident with an international reputation as an innovative researcher. He/she must be currently working within the German research/science sector and have been employed for no less than five years (in total) in public or private German research or academic institutions.
- The New Zealand Host is expected to connect the Leader beyond its own institution.
- Previously unsuccessful applicants are not excluded from re-applying.
- Previous recipients of the Julius von Haast Fellowship are not eligible to apply.

The application must include a copy of each of the following documents for the German researcher:

- Passport / Birth Certificate / Permanent Residency.
- Full Academic Transcript OR Confirmation of Doctorate.

Notification

The Society will notify Applicants of the outcome by email through their Host institutional Research Coordinator no later than **7 weeks** after the close of applications.

Successful Grants

Contract Timeframes

Contracts Initiated	Required Starting Date	Contracted Activity must be complete	Activity Report(s) required
No later than 8 weeks after close of Call	No later than 12 months after Application Closing Date	36 months after Contract Starting Date	Annually

Payments

The Fellowship will be paid over four payments. The first payment will be made upon signing of the contract, with additional annual payments being made following the acceptance of a satisfactory annual report detailing progress on milestone activities achieved within each year.

Any deviation from this principle must be justified and accepted by the Society’s Director – Research Funding, in advance.

Payment will be by direct credit, upon receipt and assessment of the Annual activity report.

About Julius von Haast

Julius von Haast Sir Johann Franz "Julius" von Haast was a German geologist, explorer and writer who founded Canterbury Museum in Christchurch New Zealand in 1861. ¹Haast was the provincial geologist of Canterbury from 1861-1871 and his explorations are remembered in New Zealand by locations such as the Haast Pass and Franz Joseph Glacier, which Haast named after the Emperor of the Austro-Hungarian Empire.² In his explorations, he collected many plants previously unknown to science, and many genera and species named after him today.



Figure 1: Johann Franz Julius von Haast



Figure 2: Cyathea dealbata Swartz

Image credits:

Figure 1: Johann Franz Julius Von Haast. Ref: 1/4-002124-G. Alexander Turnbull Library, Wellington, New Zealand.

Figure 2: Herbarium specimen CHR 290246 collected by Julius von Haast, reproduced courtesy of Landcare Research 2015.

¹ Peter B. Maling, 'Haast, Johann Franz Julius von', from the Dictionary of New Zealand Biography. Te Ara - the Encyclopedia of New Zealand, [website cited 25 March 2015]; Available from: <http://www.TeAra.govt.nz/en/biographies/1h1/haast-johann-franz-julius-von>

² Our History - Canterbury Museum, [website cited 25 March 2015]; Available from: <http://www.canterburymuseum.com/about-us/our-history>