

## Timeline and process for FRST Antarctic funding and Antarctica NZ logistics support

### Context

This document outlines the process that FRST and Antarctica NZ will run this year to allocate funding and logistics support for Antarctic research.

Funding and logistics for most of the Antarctic science programmes supported by FRST and Antarctica NZ are scheduled to finish after the 2009/10 season. It is estimated that FRST will have a maximum of approximately \$2.45 million per annum available for Antarctic research in the coming bidding round.

In the past, researchers needed to make at least two applications for support in Antarctica; one to FRST or another funding agency for science funding, and one to Antarctica NZ for logistics support. Note that Antarctica NZ and the Royal Society of New Zealand work closely to ensure all successful Marsden projects that have an Antarctic component receive applicable logistics support. Marsden applicants do not need to apply separately for Antarctica NZ logistics support.

Programmes that have FRST funding that extend beyond 2010 will not have to apply to this process for logistics support. We are aware of these programmes and Antarctica NZ will continue to work with the principal investigator to ensure that logistics support will be available for the duration of the FRST funding.

This document outlines the process that FRST and Antarctica NZ will use to select the science programmes that will be supported in the 2010/11 season and beyond. There is no other FRST funding or logistics support available for Antarctic research other than through this bidding round (except for longer-term contracts). Researchers applying for either FRST funding for Antarctic research or logistics support from Antarctica NZ must apply through this bidding round (applicants can apply for FRST funding only, FRST funding and logistics support OR just logistics support).

FRST and Antarctica NZ will run a joint system in 2009 to select the science programmes that we will support. Any person affiliated with any New Zealand institution can apply for FRST funding or Antarctica NZ support in this bidding round. The process will allocate FRST funding and/or Antarctica NZ logistics support as part of a single, joint process. We are running a joint process to:

- Ensure that assessment of all proposals is consistent across a single set of criteria. Researchers therefore submit a single proposal regardless of whether they are requesting FRST funding **AND** Antarctica NZ logistics support or **JUST** Antarctica NZ logistics support;

- Avoid the additional cost (for FRST, researchers and Antarctica NZ) of duplicating proposal processes and technical systems;
- Coordinate the allocation of FRST funding and Antarctica NZ logistics support and identify synergies in applications to ensure that there are no overlapping projects;
- Raise the profile of Antarctic research funding by having a dedicated Antarctic Request for Proposals rather than have Antarctic research as a subset of a larger portfolio of research.

## **Process**

### **Applying for FRST funding and logistics support**

FRST funding for successful proposals will start in October 2010 and the first season of logistics support will commence in the 2010/2011 field season. Research contracts with FRST will generally be for a 4-year duration (so there will be a process for allocating FRST funding only every 4 years). The minimum size of FRST programmes will be \$250k per annum.

FRST-supported programmes will be subject to a two year review to ensure that they are delivering the contracted outcomes. Although Antarctica NZ will commit in principle to supporting a research programme for 4 years, the 2 year review will be used to assess Antarctica NZ's ability to support the programme for an additional two years. We also recognise that not all research programmes will have a need to travel to Antarctica every year for the 4 year funding term. Having a year off from Antarctic fieldwork will allow researchers time to publish some of their results within the 4 year term.

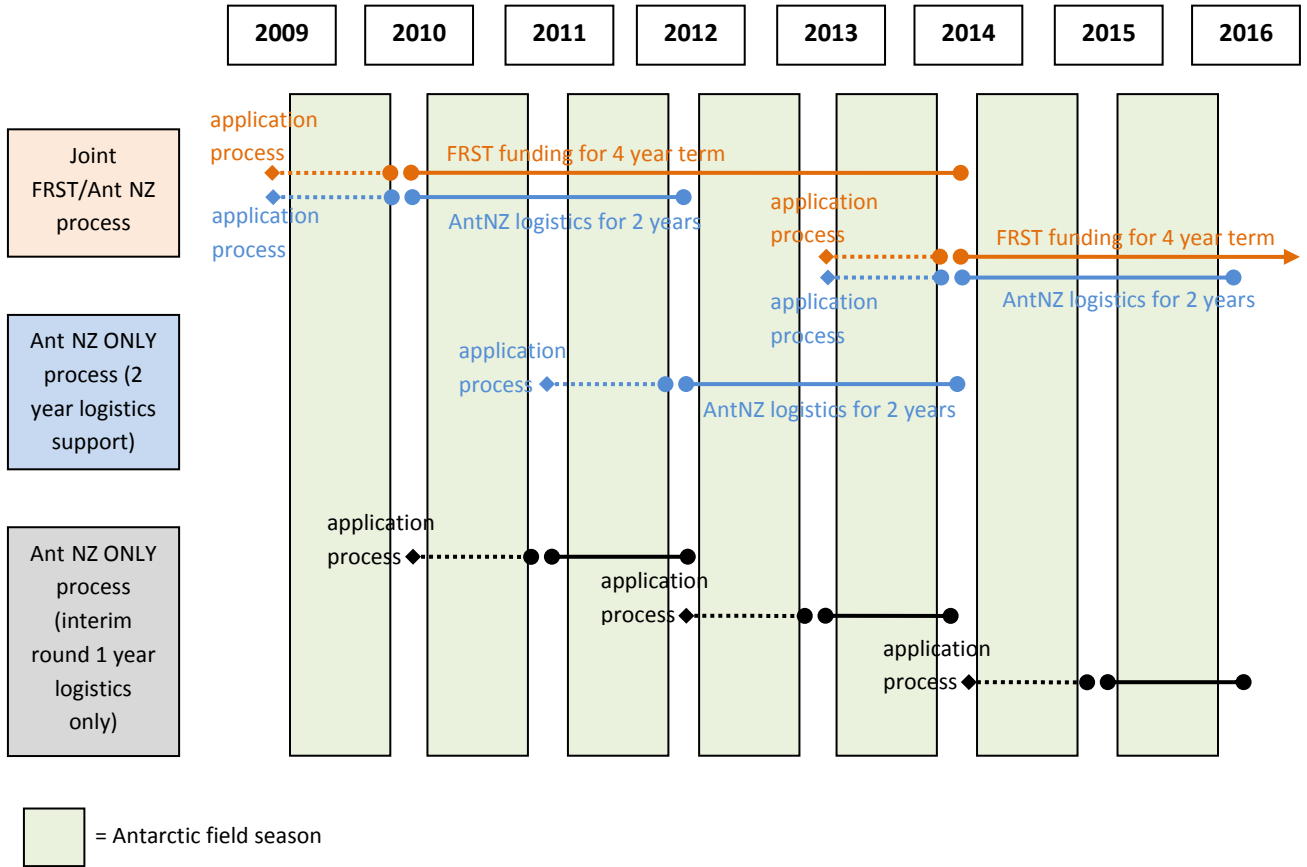
Researchers can also apply for FRST funding for Antarctic research that does not require Antarctica NZ logistics support. As stated above, the minimum size of programmes will be \$250k per annum (GST inclusive) and funding will usually be allocated for a 4-year term.

### **Applying for logistics support only**

For proposals that apply for and receive logistics support only, Antarctica NZ will provide logistics support for successful programmes for a 2-year term (Antarctica NZ will run a process for allocating logistics support every 2 years).

Antarctica NZ will also run a much smaller focused bidding round (an interim round) every **other** year to allow for the inclusion of new projects that could be supported by Antarctica NZ in the following season if there is sufficient availability of logistics. This will enable researchers to test a new idea which could provide the necessary rationale to apply for additional logistics support and research funding.

### Timelines for Antarctic funding and logistics processes



## Proposal

Researchers seeking **JUST** FRST funding, FRST funding **AND** Antarctica NZ logistics support or **JUST** Antarctica NZ logistics support will be required to fill in a proposal that addresses the four broad assessment criteria described on FRST's website (<http://www.frst.govt.nz/investframe/selectmanage/assesscriteria>). All proposals will be submitted through the FRST portal system.

Antarctica NZ is working closely with FRST to tailor the portal to suit the three different possible proposals (FRST funding, FRST funding and logistics support or just logistics support). We envisage that proposals only seeking logistics support will not have to fill in as many fields compared with those seeking FRST funding. This recognises that proposals not applying for FRST funding should not be bound to all FRST assessment criteria as some may not be applicable. However, to ensure that all proposals can be assessed consistently and fairly, there will be some sections of the proposals that will be common to all proposals. These sections include:

1. Research science and technology benefits. Is the proposed research high quality and does it build or retain capability in New Zealand?
2. How does the proposed research align with the draft New Zealand Antarctic and Southern Ocean Science Strategy?
3. What is the team's track record in delivering research results?
4. What will be the benefits to the wider science community from the proposed research?
5. A logistics request.
6. A short description of the potential environmental impacts of the proposed work.
7. What plans are in place for the management of data and storage of samples that will result from this proposal being supported?

We will use the standard FRST assessment criteria (with some alterations making them relevant for this Antarctic process) to assess the proposals (see table below). More information about the FRST criteria can be found on the FRST website at: <http://www.frst.govt.nz/funding/research/antarctica> in the *Related Downloads* section.

Benefit to New Zealand	Risk Management or success factors
<p><b>1. Outcome benefits to New Zealand</b>  <b>Key question: Assuming this project is successful, what is the potential contribution it will make to fulfilling the desired outcomes of the draft New Zealand Antarctic Science Strategy</b>  <b>What should be included in your answer:</b></p> <ul style="list-style-type: none"> <li>a) Assessment of the opportunity or need and potential impacts from the proposed research.</li> <li>b) The potential contribution to Antarctic science assuming successful adoption and implementation.</li> <li>c) The research is beyond “business as usual” and is not likely to be undertaken by others in the near future.</li> </ul>	<p><b>2. Implementation pathway</b>  <b>Key question: What is the likelihood the team will successfully have the research implemented?</b>  <b>What should be included in your answer:</b></p> <ul style="list-style-type: none"> <li>a) Relevant team track record in delivering contributions to outcomes and working with research users (including, but not limited to, past Foundation contracted milestones).</li> <li>b) Barriers to adoption: <ul style="list-style-type: none"> <li>• freedom to operate including, ethical issues, intellectual property and regulatory hurdles</li> <li>• takes account of existing or new competitors, substitutes and alternative ways of achieving outcomes.</li> </ul> </li> <li>c) Pathway to research use: <ul style="list-style-type: none"> <li>• plan (including mechanisms and milestones) to achieve uptake, capturing benefits for New Zealand</li> <li>• quality engagement with research users, and/or co-investment.</li> </ul> </li> </ul>
<p><b>3. Research, science and technology benefits to New Zealand</b>  <b>Key question: Will the research be of high science quality and build or retain capabilities of potential future benefit for New Zealand?</b>  <b>What should be included in your answer:</b></p> <ul style="list-style-type: none"> <li>a) Advanced knowledge in the research area. The magnitude of the extension of knowledge frontiers and generation of significant new knowledge.</li> <li>b) Excellence of RS&amp;T fit-for-purpose. Demonstration of soundness of research method (including research questions and/or hypotheses) and the rationale for the approach and methodology, and identification of the strengths/weaknesses of the research approach.</li> <li>c) The potential for this distinctive RS&amp;T capability to contribute to Antarctic science in the future. Or</li> <li>d) How the maintenance and development of an existing RS&amp;T capability makes, or may make, an important contribution to Antarctic science, taking account of the difficulty of replicating it. (RS&amp;T capability includes development of individual and team research abilities and associated support and infrastructure.)</li> </ul>	<p><b>4. Ability to deliver research, science and technology results (outputs)</b>  <b>Key question: What is the likelihood the team will achieve their proposed research outputs?</b>  <b>What should be included in your answer:</b></p> <ul style="list-style-type: none"> <li>a) RS&amp;T track record of teams: <ul style="list-style-type: none"> <li>• fit-for-purpose science track record</li> <li>• collaborations where necessary to bring together the best team to deliver the proposed research</li> <li>• track record of delivering on research (including, but not limited to, previous Foundation or Antarctica NZ contracts).</li> </ul> </li> <li>b) Project management and support: <ul style="list-style-type: none"> <li>• team leadership, roles and coordination</li> <li>• organisational and infrastructural support</li> <li>• succession planning.</li> </ul> </li> <li>c) Project plan: <ul style="list-style-type: none"> <li>• clearly defined, well-sequenced critical path milestones and objectives</li> <li>• change events and identification of and mitigation of key project delivery risks.</li> </ul> </li> </ul>

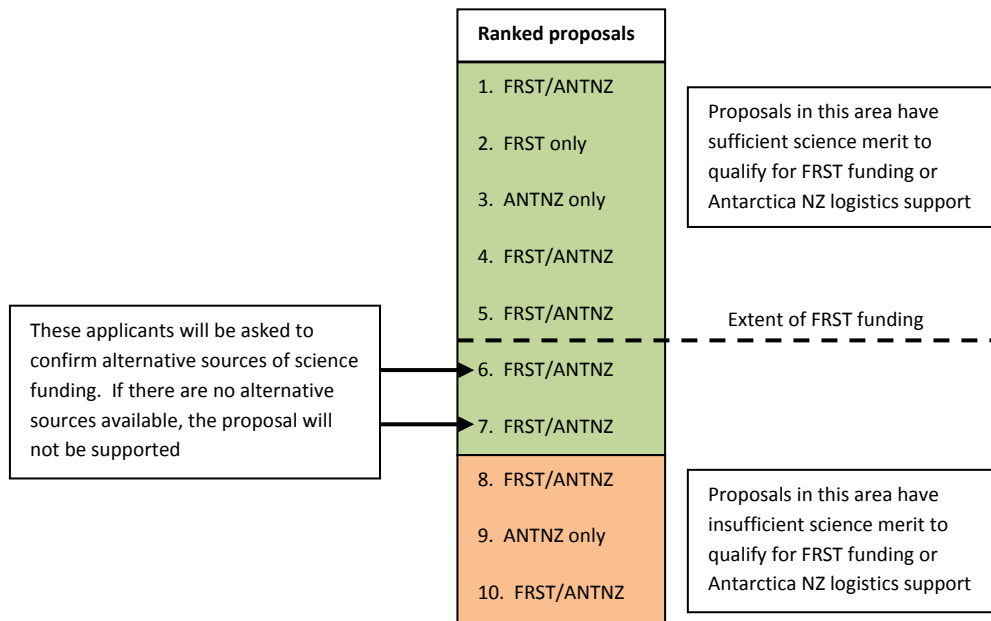
## Timeline

The timeline for the process is shown overleaf. A request for proposal (RFP) document has been developed and can be found at: <http://www.frst.govt.nz/funding/research/antarctica/rfp>. **Proposals are due at 12pm midday on Friday 2 October 2009** and must be submitted through the myFRST portal. We note that in the past, many researchers have left the submission of proposals to the last day. Proposals will be able to be submitted from the day that the final RFP is released at the end of July 2009.

All proposals will be sent to peer reviewers and the peer review comments, along with the proposals will be assessed by a single committee, scored and ranked at the end of November 2009. Proposals will also be assessed for logistics support at this time to ensure we do not agree to support more programmes than there are resources available.

There will be some high-quality proposals that have requested FRST funds but are unable to be funded because of FRST funding constraints. Without funding for the research, there is little point in offering logistics support. However, some of these unfunded proposals may be of sufficient quality to receive Antarctica NZ logistics support. In these cases, we will contact the researcher to determine if they are able to arrange science funding from other sources. Researchers will have from early December 2009 until the end of February 2010 to secure alternative funding. If researchers can demonstrate alternative funding for the science and Antarctica NZ has the logistics capability to support the programme, then the programme will be recommended to the Antarctica NZ Board for support.

The final list will be sent to the FRST and Antarctica NZ Boards for final approval in February 2010.



As part of the proposal, we will ask research teams to declare any other funding sources that will contribute to the science. We note that rather than detracting from a proposal, additional funding towards a science programme demonstrates that there are funds available for capability development

(PhD and post doctoral students etc) and that the research is of sufficient strength and importance that other groups are willing to provide support.

**Timeline for investment process**

