



NEW ZEALAND RESEARCH INFORMATION SYSTEM

DATA SPECIFICATIONS V2.0

15 April 2019

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What's changed in this version

We have taken the opportunity to make a number of changes in this version to increase consistency and usability.

A summary of these changes is below.

- The numbering has been revised within the data tables, to provide more continuity between sections
- The data format has been identified for each element
- The code sets have been ordered alphabetically
- New code sets have been added (Protection Patterns, HRC Theme, Public Sector Financial Resource, Tertiary Education Commission (TEC) Output Codes, Person Career Stage)
- The introduction has been restructured and refined and now points to other useful information available about NZRIS.
- The summary tables have been updated for each main group of data elements to ensure they match the obligation status within the data tables
- The previous logical models have been removed and revised versions will be published on the website at a later date
- The glossary has been revised
- Element names have been refined and made consistent (for example, Identifier to ID)
- The Person Application Role code set has been removed
- ANZSRC Type of Activity, Field of Research and Socioeconomic Objective have changed obligation to Optional. However they **MUST** be supplied for research applications, awards or projects. The provision of ANZSRCs will be monitored by the NZRIS custodians and discussed with data providers as required.

The following specific element changes have been made:

Element (v2.0)	Item (v1.1.1)	Element Title	Change made
1.a	1.91	Asset Pool Name	Obligation changed from 1 to 1..*
1.c.12 2.b.4 3.b.4 6.c.5 7.13 9.c.5 10.13	1.93.12 2.92.4 3.92.4 6.93.5 7.11 12.93.5 13.10	Resource Measure	Split into two elements – Resource Measure – Currency (which links to ISO Currency Code Set) and Resource Measure – Non-Currency (which links to previous code set, minus the currency options)
2.b.6		Resource Value	Added to Planned Distribution Resources to Distribute
2.c	2.93	Constraints	Changed title from Conditions
3.b.3	3.92.3	Maximum Resource Quantity	Obligation changed from 1 to 0..1

Element (v2.0)	Item (v1.1.1)	Element Title	Change made
3.d.1 – 3.d.2 6.d.1 – 6.d.2 8.b.1 – 8.b.2	3.94.1-3.94.2 6.94.1-6.94.2 11.92.1-11.92.2	ANZSRC Type of Activity (ToA) Share of ToA	Obligation changed from 1 to 0..1 However they MUST be supplied for research applications, awards or projects.
3.e.1 – 3.e.2 6.e.1 – 6.e.2 8.c.1 – 8.c.2	3.95.1-3.95.2 6.95.1-6.95.2 11.93.1-11.93.2	ANZSRC Field of Research (FoR) Share of FoR	Obligation changed from 1 to 0..1 However they MUST be supplied for research applications, awards or projects.
3.f.1 – 3.f.2 6.f.1 – 6.f.2 8.d.1 – 8.d.2	3.96.1-3.96.2 6.96.1-6.96.2 11.94.1-11.94.2	ANZSRC Socioeconomic Objective Share of SEO	Obligation changed from 1 to 0..1 However they MUST be supplied for research applications, awards or projects.
4.11	4.11	Review Local Group ID	Changed title from Review Group ID
5.7	5.9	Decision Local Group ID	Changed title from Decision Group
6.6 7.3 9.5	6.6 7.3 12.6	Local Contract ID	Obligation changed from 1 to 0..1
6.g.2-6.g.6 8.e.2 – 8.e.6	6.97.2 11.95.2	Theme, Priority or Programme	Split into 5 elements, linking to specific code sets
7.4		Local Resource Distributed ID	Added to Resource Distributed
9.13		Award Type	Added to Award Received
10.4		Local Resource Received ID	Added to Resource Received
12.4	21.4	Family Name	Obligation changed from 1 to 0..1
12.9	21.8	Ethnicity	Obligation changed to 0..6
12.10	21.9	Iwi Affiliation	Obligation changed to 0..6
12.c.1	21.93.1	Academic Qualification	Code Set changed to NZREG (v1.0) and ISCED-F
	21.96.1	Organisational Role	Has been removed from NZRIS Data Specifications

1. Introduction

The New Zealand Research Information System is a hub designed to enable easy access to information about research, science and innovation (RS&I) in New Zealand.

Development is being led and managed by the Ministry for Business Innovation and Employment (MBIE). The development and operation of NZRIS is driven by a commitment to collaboration, co-governance and co-design. MBIE is working in partnership with the RS&I sector, including the Māori research community, to build a system that benefits all participants and users.

Note that the name of the system was changed in 2018 from The National Research Information System (NZRIS) to the New Zealand Research Information System (NZRIS) to reflect the New Zealand context on an international stage.

1.1. Audience

This document is primarily for people – generally Asset Pool managers and Research, Science and Innovation (RS&I) managers – responsible for providing data to the New Zealand Research Information System (NZRIS).

At first, data will be provided relating to research funded wholly, or in part, by the New Zealand Government. In its initial stages most of this data will come from funders such as the Ministry of Business, Innovation and Employment (MBIE) and the Ministry for Primary Industries (MPI), and research institutions such as Crown Research Institutes and Universities. As experience and confidence with the system grows, information on other research, science and innovation activities, such as privately-funded research, could be included.

Others may find this document useful in the context of roles and activities related to NZRIS. This could include organisations that partner with and support organisations that provide NZRIS data.

1.2. Purpose of the document

The purpose of this document is to set out the specifications for data to be provided to NZRIS along with guidance for data providers to assist with responding to the individual data requirements.

The information in this document may assist partner organisations to develop operational processes and tools to facilitate data sharing with NZRIS.

1.3. Scope of the specification

This specification addresses the data to be provided to NZRIS. The data to be provided relates to research funded and undertaken in New Zealand.

This includes information about resourcing research, including:

- the people, groups and organisations involved in resourcing research

- asset pools
- applications for resources
- awards granted
- resources distributed.

It also includes information about the use of resources, including:

- the people, groups and organisations that receive resources for research
- projects that are resourced
- awards and resources received
- distribution of resources received
- outputs.

While NZRIS will contain metadata about research projects and outputs, it will *not* include:

- research data collected for the purpose of analysis to produce research results
- the detail of research results or outputs, such as published papers

NZRIS is not a repository; it will not hold the actual research data or results of research (such as published papers).

This document does not currently address:

- business rules for how data is collated for submission to NZRIS
- how, or how often data should be provided to NZRIS
- information about data security and access control
- a data collection implementation plan
- information about how code set updates and versioning will be managed.

Development of technical information relating to NZRIS is ongoing. Updates and additions to the specification will be published from time to time.

1.4. How to use this document

The remainder of this document addresses the technical requirements for data to be provided to NZRIS.

- [Section 2 NZRIS Data structure and guidance](#) sets out the structure of the NZRIS system and indicates what data is to be provided by Asset Pool managers and RS&I managers. This section also explains how to use the specific guidance for responding to the individual data requirements for each entity, which is set out in sections 3 to 6.
- [Section 3](#) provides guidance on NZRIS identifiers, which must be included in all submissions.
- [Sections 4](#) and [5](#) set out the data required to be provided by Asset Pool managers and RS&I managers, respectively.

- [Section 6](#) sets out the data, related to people, organisations and groups, that both types of managers will need to provide.
- [Section 7 Code sets](#) contains sets of codes for some of the data requirements where the possible responses are limited. These are explained in [Section 2.2 How to use the guidance](#), below.

1.5. Related information

This document is intended to be read alongside the *NZ RIS Conceptual Framework*. The *Conceptual Framework* provides a high level view of key aspects of the design of NZ RIS. It describes the scope of the data NZ RIS is designed to hold, sets out a common framework and vocabulary to describe the research, science and innovation system, and explains the approach to data transfer at a conceptual level.

The *New Zealand Research Information System Overview* describes the purpose, benefits and design of the system.

These documents can be found at www.mbie.govt.nz/nzris. Enquiries can be emailed to NZ RIS@mbie.govt.nz.

More information about how to provide data to NZ RIS can be found here:

- [NZ RIS API Specification document](#)
- [NZ RIS Input Spreadsheet template](#)
- [Working with NZ RIS brochure](#)
- [NZ RIS and data management information sheet](#)

1.6. Data collection principles

The full set of NZ RIS Data Principles is available at <http://www.mbie.govt.nz/nzris>. A key principle relevant to data providers is that MBIE intends to ensure that the data collection and reporting burden is as minimal as possible.

In line with the government's information and data management principles, NZ RIS supports an open data approach to information about research, with information easily accessible and available to anyone.

Some research information submitted to NZ RIS is commercially sensitive or includes personal information. This information may be protected in accordance with [Government Guidelines for Protection of Official Information](#) or the Privacy Act 1993. Within NZ RIS, this information will be protected to ensure confidentiality. For more information, see the [NZ RIS and data management information sheet](#).

Official information means *any information held* by an agency subject to the Official Information Act (OIA) 1982. MBIE is subject to the OIA, and information in NZ RIS is 'held' by MBIE. Therefore, information in NZ RIS may be disclosed if requested in accordance with the OIA, unless there is a reason to withhold it. The reasons for withholding information are set out in the OIA.

2. NZRIS data structure and guidance

This section explains how data is structured within NZRIS to provide context for data providers. This section:

- sets out the logical data model for NZRIS in a series of diagrams
- explains how to use the guidance provided in the following sections to respond to the data requirements
- explains how to use code sets.

2.1. Scope of data within NZRIS

The NZRIS system is a relational database containing tables, which are referred to as **Entities**. Figure 1, below, shows a high level view of these entities. The lines connecting these elements illustrate the main relationships between each entity. The diagram also identifies which entities are relevant to Asset Pool managers and which are relevant to RS&I managers.

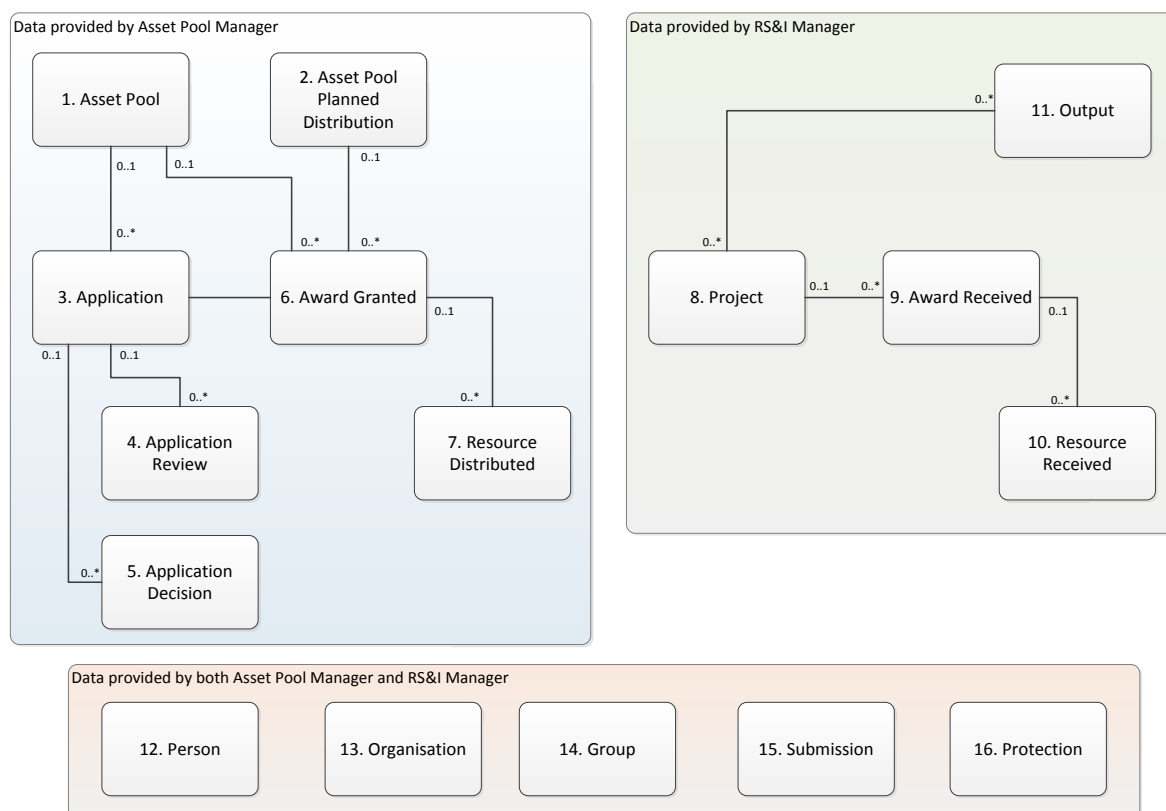


Figure 1: Overview of Entities

This diagram is useful in understanding the full scope of data being collected in NZRIS, and to assist with navigation for Asset Pool managers and RS&I managers as they work through the data requirements and guidance in sections [4](#), [5](#) and [6](#) below. The numbering of the entities in these diagrams corresponds to the numbering of the tables in sections [4](#), [5](#) and [6](#).

The logical data model provides a diagrammatic overview of the scope of data NZRIS holds and how it is structured. The full logical data models will be available on the [NZRIS website](#).

Appendix A illustrates a scenario following the flow of funding, resources and activities through to the production of research outputs, which may be helpful in understanding how (and why) to provide the information NZRIS seeks.

2.2. How to use the guidance

Sections [4](#), [5](#) and [6](#), below, set out the requirements for data to be provided and include guidance on how to respond to each element for each entity.

Section [4](#) sets out the entities and elements for data to be provided by Asset Pool Managers.

Section [5](#) sets out the entities and elements for data to be provided by RS&I managers.

Note that in cases where resources are further devolved – the granting Asset Pool manager will need to provide data for entities [6 Award Granted](#) and [7 Resource Distributed](#), and the recipient Asset Pool manager will need to provide data for [9 Award Received](#) and [10 Resource Received](#).

Section [6](#) sets out requirements for entities and elements that should be provided by both Asset Pool managers and RS&I managers:

- people, organisations and groups
- the submission itself
- data protection.

The guidance is set out in tables, which are numbered to correspond with the entities as numbered in the Logical Data Model.

The tables in these sections describe the elements required for each entity in the Logical Data Model and provide guidance where necessary, about how to respond to the requirement – see the example from the guidance tables in Figure 2, below.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data format
0.1	0.1	Data Provider ID	1	The NZRIS identifier for the organisation providing the record	This identifier is supplied by the NZRIS administrator.	Numeric: 3 digit

Figure 2: Example guidance table

The guidance is set out as follows:

- **Element:** the number of the element (a new numbering system is included in this version of the specification to simplify navigation).
- **Item (v1.1.1):** the original numbering of elements in the last version of this specification – this is provided to support those who are in the process of preparing data for submission using the previous version of this specification.
- **Name:** the name of the element.
- **Obl.:** see ‘Obligation’ below.
- **Description:** a brief description of the element.
- **Guidance / Reason:** advice on how to respond to the element, this may include, for example, where to find information (see also ‘Code Sets’ and ‘Identifiers’, below), or how much detail to include / the reason that the information is sought, how it will assist in achieving the information objectives for NZRIS.
- **Data format:** information on the format of data to be submitted, for example, the number of characters that can be input, or the date format, such as yyyy-mm-dd.

Obligation

The 'Obl. column' specifies whether providing data for an element is mandatory, optional or conditional, as well as the values that can be provided.

A 'Conditional' obligation is one where providing data will be relevant under certain circumstances – the circumstances will be set out in the Guidance column.

For example, element 7.12, Resource Value: if the resource supplied has a financial value, it should be provided (if it does not have a financial value, the element can be left blank).

The code in the column indicates:

- 0..1 Optional or Conditional, single value to be supplied
- 0..n Optional or Conditional, up to n values can be supplied, where n is specified in each element
- 0..* Optional or Conditional, multiple values can be supplied
- 1 Mandatory, single value to be supplied
- 1..n Mandatory, up to n values can be supplied, where n is specified in each element
- 1..* Mandatory, multiple values can be supplied

Data for some **entities** is mandatory for all providers, however there may be **elements** within those entities which are optional or conditional and can therefore be left blank as appropriate.

Where data is mandatory, it must be supplied before the data submission will be accepted by NZRIS.

Code sets

In some cases, your response to a requirement will be not limited, that is, you will be able to answer in your own words.

In other cases, it will be delimited to a specified set of options, for example, for Award Type the options are Individual, Asset Pool, Organisation or Multi-Organisation. In this case, you will not be able to enter any other value.

Where the range of responses is delimited, the guidance will direct you to a 'code set' which will provide a list of codes for you to select from. The code sets are located in section [7](#) of this specification.

Identifiers

Identifiers are needed to facilitate NZRIS data linking and de-duplication.

NZRIS uses three different types of identifier:

- **NZRIS identifiers** are supplied by the NZRIS administrator to identify the data provider and organisation supplying data. This enables NZRIS to clearly identify the original source of data, and the organisation that provided the data to NZRIS.

- **Local identifiers** are those specific to the context of the data being provided, for example a project identifier assigned by a university to identify a specific project, or by a funder to identify an asset pool. Local identifiers must be unique and persistent. These identifiers are generated by the data provider.
- **External identifiers** are unique, persistent identifiers generated by a third party such Open Researcher and Contributor ID (ORCID), Research Activity Identifier (RAiD), New Zealand Business Number (NZBN).

3. NZRIS identifiers – Mandatory for all data providers

NZRIS identifiers must be included with data provided for every entity.

Element	Item (v1.1.1.1)	Name	Obl.	Description	Guidance / Reason	Data format
0.1	0.1	Data Provider ID	1	The NZRIS identifier for the organisation providing the record	This identifier is supplied by the NZRIS administrator.	Numeric: 3 digit
0.2	0.2	Data Owner ID	0..1	The NZRIS identifier for the person or organisation who owns the data, where another organisation is submitting on their behalf.	<p>This identifier is supplied by the NZRIS administrator.</p> <p>Conditional: For an organisation submitting data for themselves, no data owner identifier is required.</p> <p>For an organisation submitting data on behalf of another organisation, the data owner identifier must be supplied.</p>	Numeric: 3 digit

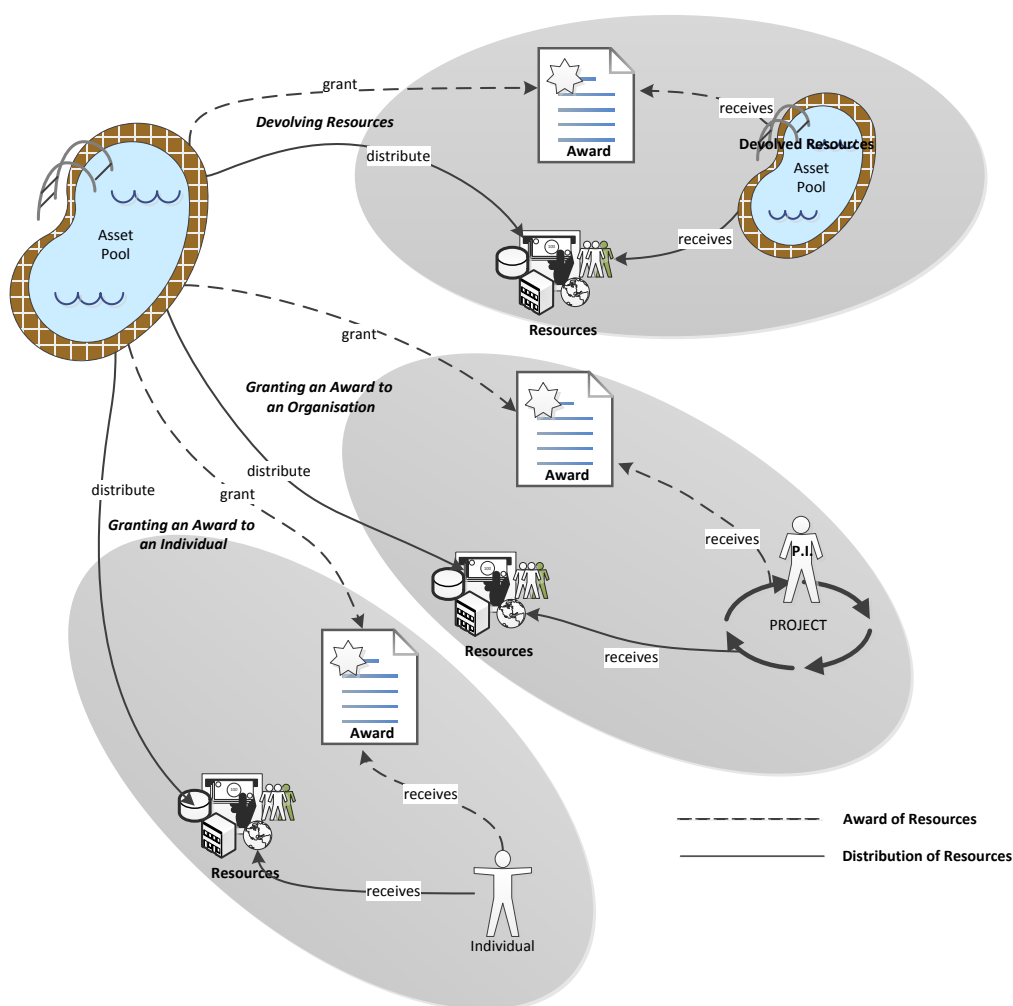
4. Data to be provided by Asset Pool Managers

An organisation managing one or more asset pools can supply the following records to describe each asset pool and the resources it controls, applications for resources received, awards made, and resources distributed to recipients.

Only records relating to RS&I activity need to be supplied. For some asset pools, only a portion of an award will be used for RS&I activity (e.g. MPI awards may provide resources for a mixture of RS&I activity and operational activities). In this case, only the RS&I component of the award should be supplied to NZRIS.

Provision of data for some entities is mandatory if public funds are involved. Within entities, some elements are mandatory. Mandatory data must be supplied for a record to be accepted by NZRIS.

Below is a diagram showing the Asset Pool Manager perspective of the RS&I sector:



The table below identifies whether the entities and elements in this section are mandatory.

Entity	Is this mandatory to provide?	If entity is provided, these sub-entities and elements are mandatory	If entity is provided, these sub-entities and elements are optional or conditional
Asset Pool	Yes (if includes public funds)	<ul style="list-style-type: none"> Identifiers Name Public Sector Financial Resource (if the asset pool includes public funds) 	<ul style="list-style-type: none"> Additional Names Establishment Date Disestablishment Date Purpose Other Resources
Planned Distribution	No	<ul style="list-style-type: none"> Identifiers Allocation Method 	<ul style="list-style-type: none"> Name Expected Award Determination Date Distribution Period(s) Resources to Distribute Conditions
Application	No	<ul style="list-style-type: none"> Identifiers Application Type Application Phase 	<ul style="list-style-type: none"> Proposal Title Outcome Goal Applicant Person / Organisation Submitting Organisation Affiliated Organisation Proposed Personnel Requested Resources Proposal ANZSRC Type of Activity Distribution ANZSRC Field of Research Distribution ANZSRC Socioeconomic Objective Distribution
Application Review	No	<ul style="list-style-type: none"> Identifiers Review Date Review Method 	<ul style="list-style-type: none"> Assignment Date Review Score and Range Review Outcome Review Group Host Organisation Reviewers
Application Decision	No	<ul style="list-style-type: none"> Identifiers Decision Date Decision 	<ul style="list-style-type: none"> Additional Information Decision Group Decision Makers

Entity	Is this mandatory to provide?	If entity is provided, these sub-entities and elements are mandatory	If entity is provided, these sub-entities and elements are optional or conditional
Award Granted	Yes (if distributing public funds)	<ul style="list-style-type: none"> • Identifiers • Title • Description • Start Date • End Date • Award Status • Award Type • Award Organisation(s) and Role 	<ul style="list-style-type: none"> • Recipient Asset Pool • Individual Recipient • Personnel • Resources and Constraints • ANZSRC Type of Activity Distribution • ANZSRC Field of Research Distribution • ANZSRC Socioeconomic Objective Distribution • Public Sector Research Alignment
Resource Distributed	Yes (if distributing public funds)	<ul style="list-style-type: none"> • Identifiers • Distributing Organisation • Recipient Type and Identifier Value • Resource Type • Resource Quantity • Distribution Basis • Distribution Start Date • Distribution End Date 	<ul style="list-style-type: none"> • Resource Value • Resource Measure - Currency • Resource Measure – Non-Currency

1 Asset Pool – Mandatory if the asset pool includes public funds

For this entity you are asked to provide data relating to the asset pool's name and resources. You will need to update this data when changes occur, such as a change in the name of the asset pool, or a change in the level or source of resources in the asset pool.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.1	1.1	Local Asset Pool ID	1	The local identifier for this asset pool		Text (max 256 characters)
1.2	1.2	Establishment Date	0..1	The date the asset pool was established		Date: ISO 8601 (yyyy-mm-dd)
1.3	1.3	Disestablishment Date	0..1	The date the asset pool was disestablished		Date: ISO 8601 (yyyy-mm-dd)
1.4	1.4	Purpose	0..1	The reason for the existence of the asset pool	Briefly explain why the asset pool has been created	Text: Paragraph (max 2500 characters)
1.a	1.91	Asset Pool Name	1..*	The name or title of the asset pool (e.g. fund or scheme)	Refer to Section 1.a , below	
1.b	1.92	NZ Public Sector Financial Resource	0..*	Financial resources controlled by this asset pool provided by the public sector Mandatory if the asset pool includes public funds	Refer to Section 1.b , below	
1.c	1.93	Other Resource	0..*	All resources controlled by this asset pool provided by the private sector, or the non NZ public sector	Refer to Section 1.c , below	

1.a Asset Pool Name

Mandatory for submissions about asset pools

This entity seeks information about the name of the asset pool. If the Asset pool has more than one name/type, please provide one record for each.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.a.1	1.91.1	Asset Pool Name	1	The name used for this asset pool	Enter the name as it should be displayed. Needed for presentation when selecting and viewing data	Text (max 512 characters)
1.a.2	1.91.2	Asset Pool Name Type	1	The type of name being supplied	An asset pool may have multiple names, e.g. a short name for use in report data, a legal name, and a Māori name	Select from Code Set 1 Organisation Name Type
1.a.3	1.91.3	Asset Pool Name Start Date	0..1	The date on which this name first came into use	Enter the relevant value for the Asset Pool Name Type selected in 1.a.2. Needed to enable accurate representation of the name over time	Date: ISO 8601 (yyyy-mm-dd)
1.a.4	1.91.4	Asset Pool Name End Date	0..1	The date on which this name ceased to be in use	Needed to enable accurate representation of the name over time	Date: ISO 8601 (yyyy-mm-dd)
1.a.5	1.91.5	Asset Pool Name Comment	0..1	Short additional comment	Needed to allow supplementary information to be stored for reference	Text (max 512 characters)

1.b Public Sector Financial Resource

Mandatory if the asset pool contains New Zealand Government resources

This entity seeks information about resources in the asset pool obtained from the New Zealand Government. Please provide one record for each such resource.

Note: The resources controlled by an asset pool are not necessarily the resources distributed by that asset pool (e.g. an asset pool may control a capital fund and distribute the earnings of that fund).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.b.1	1.92.1	Appropriation	1	The appropriation from which the funds are received	Needed to link awards back to appropriations and therefore the effects of funding of each appropriation	Select these values from Code Set Public Sector Financial Resource (XLSX, 243KB) Click here for further information about Appropriation Period and Estimate Type
1.b.2	1.92.2	Appropriation Period	1	The period for which the appropriation is valid		
1.b.3	1.92.3	Vote	1	The Vote containing the appropriation	Needed to capture the original source of government funding	
1.b.4	1.92.4	Scope	1	The legal boundary of use of the funds	Provide a short description of the scope of use of the funds	
1.b.5	1.92.6	Estimate Type	1	The type of appropriation estimate	Needed to determine whether the amount is final	
1.b.6	1.92.7	Start Year	1	The year in which the appropriation starts	Appropriations are granted from 1 July in this year	
1.b.7	1.92.8	End Year	1	The year in which the appropriation ends	Appropriations end on 30 June in this year	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.b.8	1.92.5	Amount	1	The financial value of the resource being supplied	Provide financial values excluding GST	Money Enter up to two decimal points

1.c Other Resource

Mandatory if the asset pool contains resources from the private sector or non-NZ public sector

This entity seeks information about the resources in the asset pool that have been obtained from the private sector or the non-NZ public or private sector. Please provide one record for each such resource included in the asset pool.

Note: The resources controlled by an asset pool are not necessarily the resources distributed by that asset pool (e.g. an asset pool may control a capital fund and distribute the earnings of that fund).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.c.1	1.93.1	Supplier Organisation Type	1	The type of organisation	Needed to inform organisation demographics	Select from Code Set Organisation Type
1.c.2	1.93.2	Supplier Organisation Industry	0..1	The type of industry in which the supplier organisation is active	Needed to identify the industries supplying resources for RS&I activity	Select from Code Set Code Set ANZSIC 2006 Level 2 (Clicking the link will open the Stats NZ Aria website)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.c.3	1.93.3	Supplier Organisation ID Type	0..1	The type of identifier used to identify the organisation contributing resources to the asset pool		Select from Code Set Organisation Identifier Type
1.c.4	1.93.4	Supplier Organisation ID	0..1	The identifier value for the organisation contributing resources to the asset pool	Enter the relevant value, e.g. the NZBN, for the Supplier Organisation ID Type selected in 1.c.3	Text (max 256 characters)
1.c.5	1.93.5	Funding Person ID Type	0..1	The type of identifier used to identify the person supplying the resources	Needed to identify individuals supplying resources for RS&I activity	Select from Code Set Person Identifier Type
1.c.6	1.93.6	Funding Person ID	0..1	The identifier value for the person supplying the resources	Enter the relevant value, e.g. the ORCID ID, for the Funding Person ID Type selected in 1.c.5	Text (max 256 characters)
1.c.7	1.93.7	Purpose	0..1	The goal or purpose intended to be achieved as a result of use of the resources	Provide a brief description of the purpose(s) for which the resources may be used	Text: Paragraph (max 2500 characters)
1.c.8	1.93.8	Scope	0..1	Limitations on the allocation or use of the resources	Provide a brief description of the limitations on the use of the resources	Text (max 512 characters)
1.c.9	1.93.9	Resource Type	1	The type of resource being supplied		Select from Code Set Resource Type
1.c.10	1.93.10	Minimum Resource Quantity	1	The minimum quantity of the resource to be distributed		Digit

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.c.11	1.93.11	Maximum Resource Quantity	0..1	The maximum quantity of the resource to be distributed	Conditional: If a fixed quantity is available, specify the quantity as the minimum quantity and do not populate the maximum quantity. If the resource quantity is variable, populate both the minimum and maximum quantity values	Digit
1.c.12	1.93.12	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 1.c.9 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
1.c.13		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 1.c.9 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency
1.c.14	1.93.13	Resource Value	0..1	The financial value of the resource being supplied in NZ dollars at the time the record is submitted	In some cases (e.g. provision of facilities, allocation of FTE) a resource value can be specified. In some cases (e.g. use of a restricted data set) a value may not be able to be specified. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points
1.c.15	1.93.14	Start Date	0..1	The start date of the period for which the resources are available		Date: ISO 8601 (yyyy-mm-dd)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
1.c.16	1.93.15	End Date	0..1	The end date of the period for which the resources are available		Date: ISO 8601 (yyyy-mm-dd)

2 Asset Pool Planned Distribution – Optional

This entity seeks information about how the asset pool plans to allocate resources over a particular timeframe. This may be a contestable process (with applications, reviews, and decisions leading to awards) or a negotiated or on-demand process.

A planned distribution is any time-bound plan to distribute specified resources, e.g. a funding round, or a calendar year, or some other period.

Any asset pool which regularly distributes resources, and plans that distribution (i.e. has a specific period for applications or distribution of resources) can supply the following information to NZRIS to describe their process. An asset pool which negotiates awards on an irregular basis may not need to supply this information or may set up a single planned distribution for the expected lifespan of the asset pool.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.1	2.1	Local Asset Pool ID	1	The local identifier for this asset pool		Text (max 256 characters)
2.2	2.2	Local Distribution ID	1	The local identifier assigned by the asset pool administrator for this planned distribution of resources		Text (max 256 characters)
2.3	2.3	Distribution Name	0..1	The name used to describe this planned distribution of resources	For example, MacGyver Fund 2016-18 Round	Text (max 512 characters)
2.4	2.4	Allocation Method	1	The method which will be used to allocate resources		Select from Code Set Allocation Method
2.5	2.5	Expected Award Determination Date	0..1	The date by which the allocation award decisions are expected to have been made	A planned distribution which is allocated on demand or by negotiation may not have an expected award determination date	Date: ISO 8601 (yyyy-mm-dd)
2.a	2.91	Distribution Period	0..*	The periods of planned activity	Refer to Section 2.a , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.b	2.92	Resources to Distribute	0..*	The resources which will be available for distribution	Refer to Section 2.b , below	
2.c	2.93	Constraints	0..*	Constraints applicable to distribution of resources	Refer to Section 2.c , below	

2.a Distribution Period

This entity seeks information about the timing of the activities required to distribute resources for the asset pool (for example, call for applications, review, and notification of award). Please provide a record for each relevant activity.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.a.1	2.91.1	Period Type	1	The type of activity being undertaken in the period	Needed to understand the activity being undertaken in the period	Select from Code Set Distribution Period Type
2.a.2	2.91.2	Period Start Date	1	The first date in the period		Date: ISO 8601 (yyyy-mm-dd)
2.a.3	2.91.3	Period End Date	1	The last date in the period		Date: ISO 8601 (yyyy-mm-dd)
2.a.4	2.91.4	Period Comment	0..1	Brief additional comment		Text (max 512 characters)

2.b Resources to Distribute

This entity seeks information about the resources the asset pool has to distribute. Please provide a record for each such resource.

Note: it is possible that not all resources will be allocated.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.b.1	2.92.1	Resource Type	1	The type of resource to be distributed		Select from Code Set Resource Type
2.b.2	2.92.2	Minimum Resource Quantity	1	The minimum quantity of the resource to be distributed		Digit
2.b.3	2.92.3	Maximum Resource Quantity	0..1	The maximum quantity of the resource to be distributed	Conditional: If a fixed quantity is available specify the quantity as the minimum quantity and do not populate the maximum quantity. If the resource quantity is variable, populate both the minimum and maximum quantity values	Digit
2.b.4	2.92.4	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 2.b.1 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
2.b.5		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 2.b.1 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.b.6		Resource Value	0..1	The financial value of the resource being supplied in NZ dollars at the time the record is submitted	In some cases (e.g. provision of facilities, allocation of FTE) a resource value can be specified. In some cases (e.g. use of a restricted data set) a value may not be able to be specified. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points

2.c Constraints

This entity seeks information about the constraints on the use of resources distributed by the asset pool (for example, match funding required, actual costs only). Please provide a record for each such constraint.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
2.c.1	2.93.1	Constraint Type	1	The type of constraint applicable to awards made via this distribution of resources		Select from Code Set Constraint Type
2.c.2	2.93.2	Constraint	1	The specific constraint on this distribution of resources	A brief description of the constraint, for example: No more than 10% of award to be used for capital costs	Text (max 512 characters)
2.c.3	2.93.3	Constraint additional information	0..1	Supplementary information	Additional information that may be of use to data users	Text (max 512 characters)

3 Application - Optional

This entity seeks information about requests for resources from an asset pool, including who made the application, what kind of resources were requested, why they were requested, the people involved in the proposed work, and metadata about the proposal.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.1	3.1	Local Asset Pool ID	1	The local identifier for this asset pool		Text (max 256 characters)
3.2	3.2	Local Distribution ID	0..1	The local identifier for the planned distribution of resources	If the application is for a planned distribution of resources, the Local Distribution ID should be supplied	Text (max 256 characters)
3.3	3.3	Local Application ID	1	The local identifier for the request for resources	This identifier is generated by the data provider	Text (max 256 characters)
3.4	3.4	Prior Local Application ID	0..1	The local identifier for a prior application	Conditional: If multiple applications are submitted, identify the prior application (e.g. a prior version of the current application, or an application from an earlier stage in the allocation process)	Text (max 256 characters)
3.5	3.5	Application Type	1	Whether this application is an individual or organisational application for resources		Select from Code Set Application Type
3.6	3.6	Application Phase	1	The stage of the application		Select from Code Set Application Phase
3.7	3.7	Proposal Title	0..1	The title of the proposal	For example, <i>New Model of Sea Temperatures</i>	Text (max 512 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.8	3.8	Outcome Goal	0..1	The outcome goal delivering the proposed outputs will support achieving		Text (max 512 characters)
3.9	3.9	Applicant Person ID Type	0..1	The type of identifier used to identify the applicant (individual application only)	Conditional: Provide if Application Type selected in 3.5 is Individual (I)	Select from Code Set Person Identifier Type
3.10	3.10	Applicant Person ID	0..1	The identifier value for the applicant (individual application only)	Enter the relevant value, e.g. the ORCID ID, for the Applicant Person ID Type selected in 3.9. Conditional: Provide if Application Type selected in 3.5 is Individual (I)	Text (max 256 characters)
3.11	3.11	Applicant Organisation ID Type	0..1	The type of identifier used to identify the applicant organisation (organisational application only)	Conditional: Provide if Application Type selected in 3.5 is Organisation (O) or Multi-Organisation (M)	Select from Code Set Organisation Identifier Type
3.12	3.12	Applicant Organisation ID	0..1	The identifier value for the applicant organisation (organisational application only)	Enter the relevant value, e.g. the NZBN, for the Applicant Organisation ID Type selected in 3.11. Conditional: Provide if Application Type selected in 3.5 is Organisation (O) or Multi-Organisation (M)	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.13	3.13	Submitting Organisation ID Type	0..1	The type of identifier used to identify the organisation submitting the application (when one organisation submits an application on the organisation or person requesting resources)	Conditional: Required if an organisation submits an application on behalf of a person or another organisation	Select from Code Set Organisation Identifier Type
3.14	3.14	Submitting Organisation ID	0..1	The identifier value for the organisation submitting the application	Enter the relevant value, e.g. the NZBN, for the Submitting Organisation ID Type selected in 3.13. Conditional: Required if an organisation submits an application on behalf of a person or another organisation	Text (max 256 characters)
3.15	3.15	Affiliated Organisation Local Group ID	0..1	The identifier for a group of organisations involved in the application (e.g. consortia, research partnership)		Text (max 256 characters)
3.a	3.91	Proposed Personnel	0..*	The identifiers for the proposed personnel specified in the application	Refer to Section 3.a , below	
3.b	3.92	Requested Resource	0..*	The resources requested in the application	Refer to Section 3.b , below	
3.c	3.93	Proposal	0..*	The proposal(s) associated with the application	Refer to Section 3.c , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.d	3.94	ANZSRC Type of Activity Distribution	0..6	The distribution of resources by ANZSRC Activity code	Refer to Section 3.d , below	
3.e	3.95	ANZSRC Field of Research Distribution	0..5	The distribution of resources by ANZSRC Field of Research	Refer to Section 3.e , below	
3.f	3.96	ANZSRC Socioeconomic Objective Distribution	0..5	The distribution of resources by ANZSRC Socioeconomic Objective	Refer to Section 3.f , below	

3.a Proposed Personnel

This entity seeks information about the people proposed for projects that receive resources from the asset pool. Please provide a record for each proposed person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.a.1	3.91.1	Person ID Type	1	The type of identifier used to identify the person		Select from Code Set Person Identifier Type
3.a.2	3.91.2	Person ID	1	The identifier value for the person	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 3.a.1	Text (max 256 characters)
3.a.3	3.91.3	Role	1	The role the person performs	If more than one person is proposed, ensure the Lead Contributor is identified	Select from Code Set Personnel (Project) Role

3.b Requested Resource

This entity seeks information about the resources requested in applications to the asset pool and the planned period of use. Please provide a record for each resource requested.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.b.1	3.92.1	Resource Type	1	The type of resource to be distributed		Select from Code Set Resource Type
3.b.2	3.92.2	Minimum Resource Quantity	1	The minimum quantity of the resource to be distributed		Digit
3.b.3	3.92.3	Maximum Resource Quantity	0..1	The maximum quantity of the resource to be distributed	Conditional: If a fixed quantity is available specify the quantity as the minimum quantity and do not populate the maximum quantity. If the resource quantity is variable, populate both the minimum and maximum quantity values	Digit
3.b.4	3.92.4	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 3.b.1 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
3.b.5		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 3.b.1 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.b.6	3.92.5	Resource Value	0..1	The financial value of the resource being supplied	If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points
3.b.7	3.92.6	Start Date	0..1	The anticipated start of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)
3.b.8	3.92.7	End Date	0..1	The anticipated end of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)

3.c Proposal

This entity seeks information about proposals for funding from the asset pool, when there are multiple proposals within the same application. Please provide a record for each proposal.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.c.1	3.93.1	Local Proposal ID	0..1	The local identifier for a proposal associated with the application (if relevant)	If the application includes an independent proposal, enter the local identifier for the proposal	Text (max 256 characters)
3.c.2	3.93.2	Proposal Title	0..1	The title of the proposal	For example, <i>New Model of Sea Temperatures</i>	Text (max 512 characters)

3.d ANZSRC Type of Activity Distribution

This entity seeks information on the ANZSRC Type of Activity (ToA) relevant to the project and the proportion of focus within the project for each ToA. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.d.1	3.94.1	ANZSRC Type of Activity	1	The Type of Activity (ToA) according to the ANZSRC over the life of the project	Enter the ANZSRC ToA classification that best reflects the overall intention or focus of the project at its outset. Most applications will fall under one Type of Activity, but some may fall under more than one Type of Activity. Needed to understand the level of resources devoted to the different Types of Activity. These are important when designing policy and investment parameters	Select from Code Set ANZSRC ToA (Clicking the link will open the ANZSRC website)
3.d.2	3.94.2	Share of ANZSRC Type of Activity	1	Estimate of the proportion of each Type of Activity code within each project	The total of all shares of Type of Activity for a project must equal 100%. Needed to derive the level of resources devoted to the different Types of Activity	Numeric: Percentage (Example: 0.20 for 20%)

3.e ANZSRC Field of Research Distribution

This entity seeks information on the ANZSRC Fields of Research (FoR) relevant to the project and the proportion of focus within the project for each FoR. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3.e.1	3.95.1	ANZSRC Field of Research	1	The Field of Research (FoR) according to the ANZSRC over the life of the project	<p>Enter the 6 digit ANZSRC FoR classification that best reflects the overall intention or focus of the project at its outset.</p> <p>Needed to capture the scope and reach of the project according to the 6 digit FoR classification.</p> <p>Input measures by FoR are needed to understand the balance of investments by field of research, identify collaboration opportunities, and to link inputs and outputs by fields of research</p>	<p>Select from Code Set ANZSRC FoR</p> <p>(Clicking the link will open the ANZSRC website)</p>
3.e.2	3.95.2	Share of ANZSRC Field of Research	1	Estimate of the proportion of each Field of Research code within each project	<p>The total of all shares of FoR for a project must equal 100%.</p> <p>Needed to derive the level of resources devoted to the different Fields of Research</p>	<p>Numeric: Percentage</p> <p>(Example: 0.20 for 20%)</p>

3.f ANZSRC Socio-Economic Objective

This entity seeks information on the ANZSRC Socio-Economic Objective (SEO) relevant to the project and the proportion of focus within the project for each SEO. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
3f.1	3.96.1	ANZSRC Socio-Economic Objective	1	The Socio-Economic Objective (SEO) of the project according to the ANZSRC over the life of the project	Enter the 6 digit ANZSRC Socio-Economic classification that best reflects the overall intention or focus of the project at its outset. Needed to capture the scope and reach of the project according to the 6 digit SEO classification. Input data by SEO is needed to demonstrate effort in particular areas. SEO classifications can provide an indication of expected end users	Select from Code Set 1 ANZSRC SEO (Clicking the link will open the ANZSRC website)
3.f.2	3.96.2	Share of ANZSRC Socio-Economic Objective	1	Estimate of the proportion of each Socio-Economic Objective code within each project	The total of all shares of Socio-Economic Objective for a project must equal 100%. Needed to derive the level of resources devoted to the different Socio-Economic objectives	Numeric: Percentage (Example: 0.20 for 20%)

4 Application Review - Optional

The application review entity seeks information about the people involved in reviewing applications for resources and the outcomes of reviews.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
4.1	4.1	Local Application ID	1	The local identifier for the application		Text (max 256 characters)
4.2	4.2	Local Review ID	1	The local identifier for a prior review of this application		Text (max 256 characters)
4.3	4.3	Assignment Date	0..1	The date the review was assigned to the reviewer		Date: ISO 8601 (yyyy-mm-dd)
4.4	4.4	Review Date	1	The date the review output(s) were recorded		Date: ISO 8601 (yyyy-mm-dd)
4.5	4.5	Prior Local Review ID	0..1	The local identifier for a prior review of this application		Text (max 256 characters)
4.6	4.6	Review Method	1	The method used to review the application		Select from Code Set Review Method
4.7	4.7	Review Score	0..1	The overall review score (e.g. aggregated score of the group of reviewers)		Digit
4.8	4.8	Review Score Minimum	0..1	The minimum possible score for a review	Conditional: Must be supplied if a score is supplied. Needed to enable interpretation of the review score	Digit

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
4.9	4.9	Review Score Maximum	0..1	The maximum possible score for a review	Conditional: Must be supplied if a score is supplied. Needed to enable interpretation of the review score	Digit
4.10	4.10	Review Outcome	0..1	The recommended outcome of the review		Select from Code Set Review Outcome
4.11	4.11	Review Local Group ID	0..1	The identifier value for the review group		Text (max 256 characters)
4.12	4.12	Host Organisation ID Type	0..1	The type of identifier used to identify the organisation managing and/or hosting the review process		Select from Code Set Organisation Identifier Type
4.13	4.13	Host Organisation ID	0..1	The identifier value for this organisation	Enter the relevant value, e.g. the NZBN, for the Host Organisation ID Type selected in 4.12. Needed to identify the host organisation for the review	Text (max 256 characters)
4.a	4.91	Reviewers	0..*	The individual reviewers and their review output	Refer to Section 4.a , below	

4.a Reviewers

This entity seeks information about the people who review applications for resources from the asset pool. Please provide one record for each reviewer.

Element	Item (v1.1.1)	Name4	Obl.	Description	Guidance / Reason	Data Format
4.a.1	4.91.1	Person ID Type	1	The type of identifier used to identify the reviewer		Select from Code Set Person Identifier Type
4.a.2	4.91.2	Person ID	1	The identifier value for the reviewer	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 4.a.1	Text (max 256 characters)
4.a.3	4.91.3	Lead Reviewer Flag	1	Whether this person is the lead reviewer for this application		Text: Boolean (Yes / No)
4.a.4	4.91.4	Review Score	0..1	The individual review score		Digit
4.a.5	4.91.5	Review Score Minimum	0..1	The minimum possible score for a review	Conditional: Must be supplied if a Review Score is supplied in 4.a.4. Needed to enable interpretation of the review score	Digit
4.a.6	4.91.6	Review Score Maximum	0..1	The maximum possible score for a review	Conditional: Must be supplied if a Review Score is supplied in 4.a.4. Needed to enable interpretation of the review score	Digit

5 Application Decision - Optional

The application decision entity requests information about decisions made about applications, and who is involved in making the decision.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
5.1	5.1	Local Application ID	1	The local identifier for the application record		Text (max 256 characters)
5.2	5.2	Local Decision ID	1	The local identifier for the decision record		Text (max 256 characters)
5.3	5.3	Prior Local Decision ID	0..1	The local identifier for a prior review of this application	If a decision is reviewed, the prior application decision may be identified (e.g. if the decision was Not eligible, but new information has been supplied and a new decision has been made)	Text (max 256 characters)
5.4	5.4	Decision Date	1	The date the review output(s) were recorded		Date: ISO 8601 (yyyy-mm-dd)
5.5	5.7	Decision	1	The decision made about the application		Select from Code Set 1 Application Decision
5.6	5.8	Additional Information	0..1	Supplementary information	Additional information that may be of use to data users	Text (max 512 characters)
5.7	5.9	Decision Local Group ID	0..1	The identifier value for the review group		Text (max 256 characters)
5.a	5.91	Decision Makers	0..*	The individual decision makers within the group	Refer to Section 5.a , below	

5.a Decision-Makers

This entity seeks information about the people who make decisions about applications and their roles. Please provide one record for each decision-maker.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
5.a.1	5.91.1	Person ID Type	1	The type of identifier used to identify the decision maker		Select from Code Set Person Identifier Type
5.a.2	5.91.2	Person ID	1	The identifier value for the decision maker	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 5.a.1	Text (max 256 characters)
5.a.3	5.91.3	Lead Decision Maker Flag	1	Whether this person is the lead decision maker for this application		Text: Boolean (Yes / No)

6 Award Granted – Mandatory if distributing public funds

The award granted entity seeks information about resources granted through an award by an asset pool to an applicant or another asset pool.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.1	6.1	Local Asset Pool ID	1	The local identifier for this asset pool		Text (max 256 characters)
6.2	6.2	Local Distribution ID	0..1	The local identifier for this planned distribution of resources		Text (max 256 characters)
6.3	6.3	Local Application ID	0..1	The local identifier for the application	If an award has been allocated without an application (e.g. uncontested sub-contract) no Application ID is required	Text (max 256 characters)
6.4	6.4	Local Award ID	1	The local identifier for this award		Text (max 256 characters)
6.5	6.5	Parent Local Award ID	0..1	The local identifier for the parent award of this award	If an award is a sub-contract, the parent Award ID should be supplied	Text (max 256 characters)
6.6	6.6	Local Contract ID	0..1	The unique identifier for the contract for this award	If a contract is issued for this Award, the Contract ID should be supplied	Text (max 256 characters)
6.7	6.7	Parent Local Contract ID	0..1	The local identifier for the parent contract of this contract	If an award is a sub-contract, the parent Contract ID should be supplied	Text (max 256 characters)
6.8	6.8	Award Title	1	The short headline description of this award	This should be as stated in the contract. Needed to communicate the nature of the award	Text (max 512 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.9	6.9	Award Description	1	The brief description of the award that is understandable by an informed but non-specialist reader (e.g. a public statement)	This may be the description of the expected outcomes of the award or, in the case of awarded funding for a single project, the project's description. Needed to understand what the award is about, what the award seeks to achieve, and to enable search functionality	Text: Paragraph (max 2500 characters)
6.10	6.10	Award Start Date	1	Start date as indicated in award agreement or most recent variation	Needed to understand when financial contributions to the system are made	Date: ISO 8601 (yyyy-mm-dd)
6.11	6.11	Award End Date	1	End date as indicated in award agreement or most recent variation	Needed to understand when financial contributions to the system are made	Date: ISO 8601 (yyyy-mm-dd)
6.12	6.12	Award Status	1	The status of the award	Needed to identify when awards are actively being utilised	Select from Code Set Status
6.13	6.13	Award Type	1	Whether this award has been made to an individual, organisation, or asset pool	Needed to identify whether resources are being devolved or allocated to proposed projects	Select from Code Set Award Type
6.14	6.14	Asset Pool Recipient ID Type	0..1	The type of identifier used for the recipient asset pool	Conditional: Provide if Award Type selected in 6.13 is Asset Pool (A). This must be supplied if the award is devolving resources from one asset pool to another	Text (max 256 characters) Enter either 'Local ID' or 'NZRIS ID'

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.15	6.15	Asset Pool Recipient ID	0..1	The identifier value for the recipient asset pool	Enter the relevant ID number for the Asset Pool Recipient ID Type selected in 6.14	Text (max 256 characters)
6.16		Individual Recipient ID Type	0..1	The type of identifier used for the individual recipient	Conditional: Provide if Award Type selected in element 6.13 is Individual (I)	Select from Code Set Person Identifier Type
6.17		Individual Recipient ID	0..1	The identifier value for the individual recipient	Enter the relevant value, e.g. the ORCID ID, for the Individual Recipient ID Type selected in 6.16	Text (max 256 characters)
6.a	6.91	Award Organisation	1..*	The identifiers and roles for the organisations party to the award	Refer to Section 6.a , below	
6.b	6.92	Agreed Personnel	0..*	The identifiers for the agreed personnel specified in the award	Refer to Section 6.b , below	
6.c	6.93	Allocated Resource	0..*	The allocated resources specified in the award	Refer to Section 6.c , below	
6.d	6.94	ANZSRC Type of Activity Distribution	0..6	The distribution of resources by ANZSRC Activity code	Refer to Section 6.d , below	
6.e	6.95	ANZSRC Field of Research Distribution	0..5	The distribution of resources by ANZSRC Field of Research	Refer to Section 6.e , below	
6.f	6.96	ANZSRC Socio-economic Objective Distribution	0..5	The distribution of resources by ANZSRC Socio-economic Objective	Refer to Section 6.f , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.g	6.97	Public Sector Research Alignment	0..n	Project alignment with public sector research themes	Refer to Section 6.g , below	

6.a Award Organisation

This entity seeks information about the organisations involved in making awards and their roles. Please provide one record for each organisation involved, including the organisation who granted the award and the organisation who received the award.

Conditional: Provide a record for the recipient organisation if Award Type entered for element 6.13 is Organisation (O) or Multi-Organisation (M).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.a.1	6.91.1	Organisation ID Type	1	The type of identifier used to identify this organisation		Select from Code Set Organisation Identifier Type
6.a.2	6.91.2	Organisation ID	1	The identifier value for this organisation	Enter the relevant value, e.g. the NZBN, for the Organisation ID Type selected in 6.a.1. Needed to identify the different organisations involved in the award, and their role	Text (max 256 characters)
6.a.3	6.91.3	Organisation Role	1	The role of the organisation in relation to the award		Select from Code Set Organisation Project Role

6.b Agreed Personnel

This entity seeks information about the people assigned to the project and their roles. Please provide one record for each such person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.b.1	6.92.1	Person ID Type	1	The type of identifier used to identify the person		Select from Code Set Person Identifier Type
6.b.2	6.92.2	Person ID	1	The identifier value for the person	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 6.b.1	Text (max 256 characters)
6.b.3	6.92.3	Role	1	The role the person will fill		Select from Code Set Personnel (Project) Role
6.b.4	6.92.3	Local Role Description	0..1	The position title for this person on this project	Needed to provide information for approved research and ongoing code set analysis	Text (max 512 characters)

6.c Allocated Resource

This entity seeks information about the resources allocated to the project. Please provide one record for each allocated resource.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.c.1	6.93.1	Local Resource ID	1	The local identifier for this resource		Text (max 256 characters)
6.c.2	6.93.2	Resource Type	1	The type of resource to be distributed		Select from Code Set Resource Type

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.c.3	6.93.3	Minimum Resource Quantity	1	The minimum quantity of the resource to be distributed		Digit
6.c.4	6.93.4	Maximum Resource Quantity	0..1	The maximum quantity of the resource to be distributed	Conditional: If a fixed quantity is available specify the quantity as the minimum quantity and do not populate the maximum quantity. If the resource quantity is variable, populate both the minimum and maximum quantity values	Digit
6.c.5	6.93.5	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 6.c.2 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
6.c.6		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 6.c.2 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency
6.c.7	6.93.6	Resource Value	0..1	The financial value of the resource being supplied	In some cases (e.g. provision of facilities, allocation of FTE) a resource value can be estimated. In some cases (e.g. use of a restricted data set) a value may not be able to be specified. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.c.8	6.93.7	Start Date	1	The agreed start of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)
6.c.9	6.93.8	End Date	1	The agreed end of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)
6.c.a	6.93.91	Constraint	0..*	Constraint(s) on use of resources	Refer to Section 6.c.a, below	

6.c.a Constraints

This entity seeks information about the constraints on resources allocated to the project. Please provide one record for each constraint.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.c.a.1	6.93.91.1	Constraint Type	1	The type of constraint applied to the resource		Select from Code Set Constraint Type
6.c.a.2	6.93.91.2	Resource Constraint	1	A description of the constraint	For example, capital vs operational expenditure, maximum administrative utilisation, requirements for matching awards from other organisations, data access	Text (max 512 characters)

6.d ANZSRC Type of Activity Distribution

This entity seeks information on the ANZSRC Type of Activity (ToA) relevant to the project and the proportion of focus within the project for each ToA. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.d.1	6.94.1	ANZSRC Type of Activity	1	The Type of Activity according to the ANZSRC over the life of the project	Enter the ANZSRC ToA classification that best reflects the overall intention or focus of the project at its outset. Most applications will fall under one Type of Activity, but some may fall under more than one Type of Activity. Needed to understand the level of resources devoted to the different Types of Activity. These are important when designing policy and investment parameters	Select from Code Set ANZSRC ToA (Clicking the link will open the ANZSRC website)
6.d.2	6.94.2	Share of ANZSRC Type of Activity	1	Estimate of the proportion of each Type of Activity code within each project	The total of all shares of Type of Activity for a project must equal 100%. Needed to derive the level of resources devoted to the different Types of Activity	Numeric: Percentage (Example: 0.20 for 20%)

6.e ANZSRC Field of Research Distribution

This entity seeks information on the ANZSRC Fields of Research (FoR) relevant to the project and the proportion of focus within the project for each FoR. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.e.1	6.95.1	ANZSRC Field of Research	1	The field of research according to the ANZSRC over the life of the project	<p>Enter the 6 digit ANZSRC FoR classification that best reflects the overall intention or focus of the project at its outset.</p> <p>Needed to capture the scope and reach of the project according to the 6 digit FoR classification.</p> <p>Input measures by FoR are needed to understand the balance of investments by field of research, identify collaboration opportunities, and to link inputs and outputs by fields of research</p>	<p>Select from Code Set 1 ANZSRC FoR</p> <p>(Clicking the link will open the ANZSRC website)</p>
6.e.2	6.95.2	Share of ANZSRC Field of Research	1	Estimate of the proportion of each Field of Research code within each project	<p>The total of all shares of FoR for a project must equal 100%.</p> <p>Needed to derive the level of resources devoted to the different Fields of Research</p>	<p>Numeric: Percentage</p> <p>(Example: 0.20 for 20%)</p>

6.f ANZSRC Socio-Economic Objective Distribution

This entity seeks information on the ANZSRC Socio-Economic Objective (SEO) relevant to the project and the proportion of focus within the project for each SEO. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.f.1	6.96.1	ANZSRC Socio-Economic Objective	1	The socio-economic objective of the project according to the ANZSRC over the life of the project	Enter the 6 digit ANZSRC Socio-Economic classification that best reflects the overall intention or focus of the project at its outset. Needed to capture the scope and reach of the project according to the 6 digit SEO classification. Input data by SEO is needed to demonstrate effort in particular areas. SEO classifications can provide an indication of expected end users	Select from Code Set ANZSRC SEO (Clicking the link will open the ANZSRC website)
6.f.2	6.96.2	Share of ANZSRC Socio-Economic Objective	1	Estimate of the proportion of each Socio-Economic Objective code within each project	The total of all shares of Socio-Economic Objective for a project must equal 100%. Needed to derive the level of resources devoted to the different Socio-Economic objectives	Numeric: Percentage (Example: 0.20 for 20%)

6.g Public Sector Research Alignment

This entity seeks information about the alignment of the project to New Zealand Public Sector research themes, priorities and programmes. Please provide one record for each priority, theme or programme.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.g.1	6.97.1	Public Sector Research Alignment	1	The type of theme, priority, or programme the award relates to		Select from Code Set Public Sector Research Alignment
6.g.2	6.97.2	Theme, Priority or Programme - CoRE	0..1	Funder-specific strategic research theme, priority or programme which the award supports	Needed to capture contributions of awards to specific themes, priorities or programmes. Conditional: Provide if Public Sector Research Alignment selected in 6.g.1 is CoRE Theme (1)	Select from Code Set CoRE Theme
6.g.3	6.97.2	Theme, Priority or Programme - NSC	0..1	Funder-specific strategic research theme, priority or programme which the award supports	Needed to capture contributions of awards to specific themes, priorities or programmes. Conditional: Provide if Public Sector Research Alignment selected in 6.g.1 is NSC Theme (2)	Select from Code Set NSC Theme

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
6.g.4	6.97.2	Theme, Priority or Programme - HRC	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 6.g.1 is Health Research Theme (3)</p>	Select from Code Set HRC Theme
6.g.5	6.97.2	Theme, Priority or Programme - MPI	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 6.g.1 is MPI Theme (4)</p>	Text (max 512 characters)
6.g.6	6.97.2	Theme, Priority or Programme – Vision Mātauranga	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 6.g.1 is Vision Mātauranga Theme (4)</p>	Select from Code Set Vision Mātauranga Theme
6.g.7	6.97.3	Share of Theme	1	Estimate of the proportion of each theme code within the award	<p>Overlap in alignment may occur; the total of shares may exceed 100%.</p> <p>Needed to derive the level of resources aligned with a given theme</p>	Numeric: Percentage (Example: 0.20 for 20%)

7 Resource Distributed – Mandatory if distributing public funds

The resource distributed entity seeks information about resources actually distributed to an award recipient.

The information provided here may relate to assets distributed from one asset pool to another (devolved resources) or from an asset pool to an award recipient, or it could relate to the return of resources from an award recipient to the asset pool (e.g. return of unused funds).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
7.1	7.1	Local Asset Pool ID	1	The local identifier for the asset pool distributing the resources		Text (max 256 characters)
7.2	7.2	Local Award ID	1	The local identifier for this award		Text (max 256 characters)
7.3	7.3	Local Contract ID	0..1	The unique identifier for the contract for this award	If a contract exists for this, the contract ID should be supplied	Text (max 256 characters)
7.4		Local Resource Distributed ID	1	The local identifier for this resource distribution		Text (max 256 characters)
7.5	7.4	Distributing Organisation ID Type	1	The type of identifier used to identify the organisation distributing the resources	If resources are being returned, the award holder will be the distributing organisation	Select from Code Set Organisation Identifier Type
7.6	7.5	Distributing Organisation ID	1	The identifier value for the organisation distributing the resources	Enter the relevant value, e.g. the NZBN, for the Distributing Organisation ID Type selected in 7.4	Text (max 256 characters)
7.7	7.6	Award Type	1	Whether the award that is distributing the resource has been received by an individual, organisation, or asset pool	An award may grant resources to an individual or an organisation, or devolve resources to another asset pool	Select from Code Set Award Type

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
7.8	7.7	Recipient ID Type - Organisation	0..1	The type of identifier used to identify the organisation who will receive the resources	Conditional: Provide if Award Type selected in 7.6 is Organisation (O) or Multi-Organisation (M)	Select from Code Set Organisation Identifier Type
7.9	7.7	Recipient ID Type – Individual	0..1	The type of identifier used to identify the person who will receive the resources	Conditional: Provide if Award Type selected in 7.6 is Individual (I)	Select from Code Set Person Identifier Type
7.10	7.7	Recipient ID Type – Asset Pool	0..1	The type of identifier used to identify the asset pool who will receive the resources	Conditional: Provide if Award Type selected in 7.6 is Asset Pool (A). This must be supplied if the award is devolving resources from one asset pool to another	Text (max 256 characters) Enter either 'Local ID' or 'NZRIS ID'
7.11	7.8	Recipient ID	1	The identifier value for the person, organisation, or asset pool	Enter the relevant value, e.g. the NZBN, ORCID or Local Asset Pool ID, for the relevant ID Type	Text (max 256 characters)
7.12	7.9	Resource Type	1	The type of resource distributed		Select from Code Set Resource Type
7.13	7.10	Resource Actual Quantity	1	The quantity of the resource distributed		Digit
7.14	7.11	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 7.11 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
7.15		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 7.11 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency
7.16	7.12	Resource Value	0..1	The financial value of the resource being supplied (in NZD)	If the resource has financial value, this value should be supplied. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points
7.17	7.13	Distribution Basis	1	The basis for distribution		Select from Code Set Distribution Basis
7.18	7.14	Distribution Start Date	1	The date of first distribution of the resources	For financial transactions, the start and end date will be the same date	Date: ISO 8601 (yyyy-mm-dd)
7.19	7.15	Distribution End Date	1	The date of last distribution of the resources		Date: ISO 8601 (yyyy-mm-dd)

5. Data to be provided by RS&I managers

The entities in this section seek data relating to the use of resources for research and will generally be provided by RS&I managers.

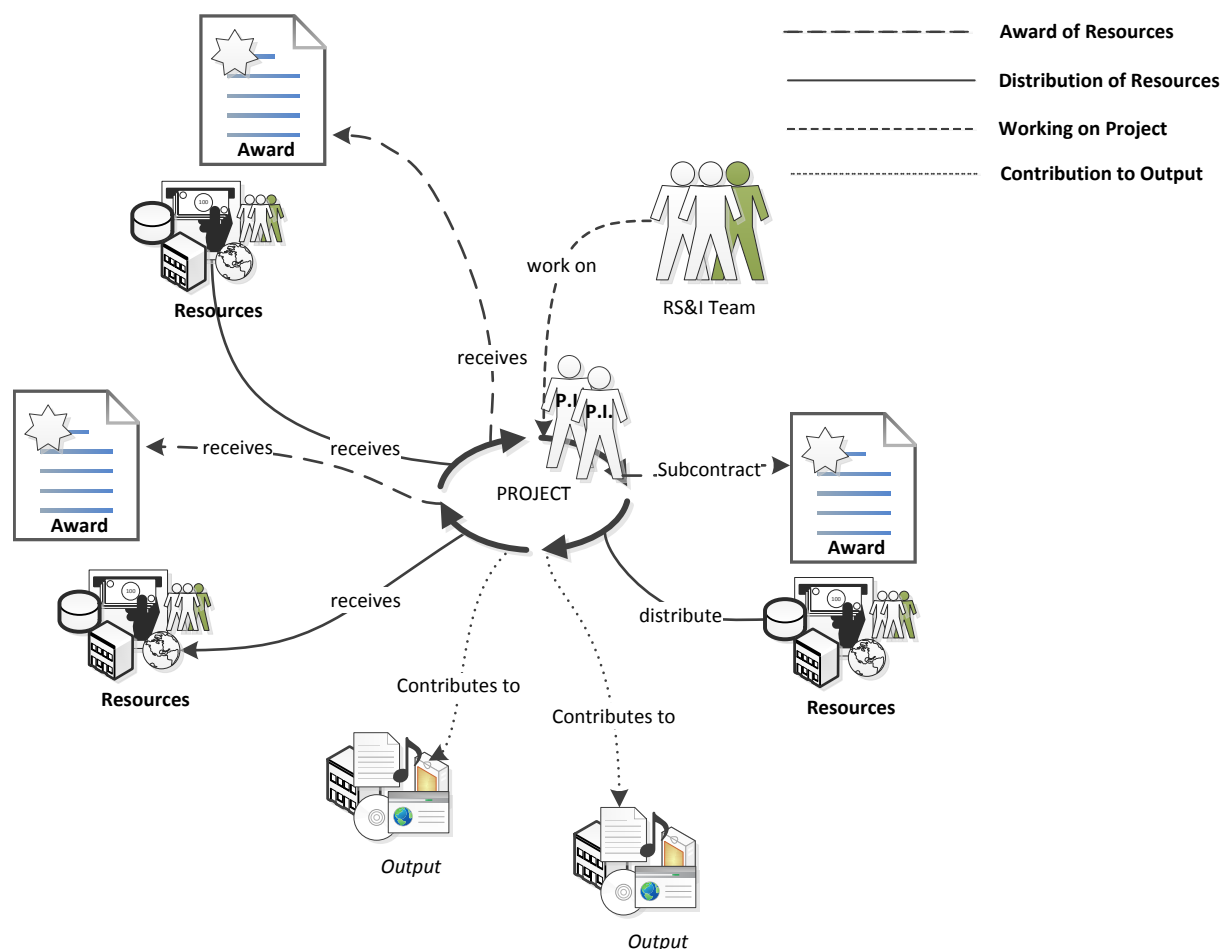
Note that in cases where resources are further devolved – the granting Asset Pool manager will need to provide data for entities [6 Award Granted](#) and [7 Resource Distributed](#), and the recipient Asset Pool manager will need to provide data for [9 Award Received](#) and [10 Resource Received](#).

An organisation managing RS&I activity can supply the following records to describe the projects being run, awards and actual resources received from asset pools, and the outputs generated.

Only records relating to RS&I activity need to be supplied. For some projects, only some of the project activity will be RS&I activity. In this case, only the RS&I component of the project should be supplied to NZRIS.

Provision of data for some entities is mandatory if public funds are involved. Within entities, some elements are mandatory. Mandatory data must be supplied for a record to be accepted by NZRIS.

Below is a diagram showing the RS&I Manager perspective of the RS&I sector:



The table below identifies whether the entities and elements in this section are mandatory.

Entity	Is this mandatory to provide?	If entity is provided, these sub-entities and elements are mandatory	If entity is provided, these sub-entities and elements are optional or conditional
Project	Yes (if using public funds)	<ul style="list-style-type: none"> • Identifiers • Project Title • Project Description • Start Date • Status • Project Type Utilisation • Project Personnel 	<ul style="list-style-type: none"> • Keywords • End Date • Benefiting Region • Public Sector Research Alignment • Infrastructure Utilised • ANZSRC Type of Activity Distribution • ANZSRC Field of Research Distribution • ANZSRC Socioeconomic Distribution
Award Received	Yes (if using public funds)	<ul style="list-style-type: none"> • Identifiers • Asset Pool Name • Award Title • Award Description • Subject to Open Contestability • Start Date • End Date • Status • Award Type • Organisations 	<ul style="list-style-type: none"> • Recipient Asset Pool • Individual Recipient • Personnel • Resources and Constraints
Resource Received	Yes (if using public funds)	<ul style="list-style-type: none"> • Identifiers • Distributing Organisation • Recipient Type and Value • Resource Type • Resource Quantity • Distribution Basis • Start Date • End Date 	<ul style="list-style-type: none"> • Resource Measure - Currency • Resource Measure – Non-Currency • Resource Value
Output	Yes (if using public funds)	<ul style="list-style-type: none"> • Identifiers • ORCID Output Type • Output Title • Access Type • Production Date • Output Description • Contributor • Output Identifiers 	<ul style="list-style-type: none"> • TEC Output Type • Output Language • Local Output Type

8 Project – Mandatory if using public funds

The project entity seeks information about the purpose of a project, the resources allocated to achieve that purpose, who is working on the project, and metadata about the project.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.1	11.1	Parent Project Local ID	0..1	If a parent project exists, the unique identifier for that project	If the parent project data is supplied by the same data provider, the local project identifier can be used. If the parent project information is supplied by another organisation, the identifier supplied is the NZRIS data provider ID concatenated with the local project ID used by that data provider	Text (max 256 characters)
8.2	11.2	Local Project ID	1	The unique identifier for this project	The internal code generated by the organisation for each project within their research management systems; must be unique for the data provider	Text (max 256 characters)
8.3	11.3	Project Title	1	The short headline description of the project	The title for the award and the project can be the same. Needed to communicate the nature of the project and enable semantic searches	Text (max 512 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.4	11.4	Project Description	1	The brief description of the project that is understandable by an informed but non-specialist reader	Provide a plain English description that can be understood by a non-specialist, avoid jargon. Needed to understand what the project is about and enable semantic analysis	Text: Paragraph (max 2500 characters)
8.5	11.5	Keywords	0..10	The keyword(s) that describe topics and/or themes of significance to the project	Descriptive keywords for the project; keywords may be scientific terms. Needed to enable search analyses of projects and groups of projects into various portfolios	Text (max 256 characters)
8.6	11.6	Project Start Date	1	The start date for the project according to the relevant agreement between the parties or most recent variation	For internal projects, the agreement can be an internal statement of work or memorandum. Needed to capture the starting dates for projects. Projects need to be time-bound to link inputs and outputs	Date: ISO 8601 (yyyy-mm-dd)
8.7	11.7	Project End Date	0..1	The end date for the project	The end date according to the relevant agreement or most recent variation. To capture the expected duration of the project (when combined with the project start date)	Date: ISO 8601 (yyyy-mm-dd)
8.8	11.8	Project Status	1	The status of the project		Select from Code Set Status

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.9	11.9	Benefiting Region	0..*	The specific New Zealand region(s) and New Zealand realm countries that the project will benefit	Only provide this information when one or more specific region(s) are expected to benefit from the project. Region is limited to NZ regions, NZ realm countries, and Antarctica. This is not designed to capture where the project team is based. Needed to understand expected end users of the project at the regional level	Select from Code Set Benefiting Region
8.a	11.91	Project Type Utilisation	1..6	The distribution of resources by project type for this project	Refer to Section 8.a , below	
8.b	11.92	ANZSRC Type of Activity Distribution	0..6	The distribution of resources by ANZSRC Activity code	Refer to Section 8.b , below	
8.c	11.93	ANZSRC Field of Research Distribution	0..5	The distribution of resources by ANZSRC Field of Research	Refer to Section 8.c , below	
8.d	11.94	ANZSRC Socio-Economic Objective Distribution	0..5	The distribution of resources by ANZSRC Socio-Economic Objective	Refer to Section 8.d , below	
8.e	11.95	Public Sector Research Alignment	0..n	Project alignment with public sector research themes	Refer to Section 8.e , below	
8.f	11.96	Project Personnel	1..*	The roles and identifiers for personnel working on the project	Refer to Section 8.f , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.g	11.97	Infrastructure Utilised	0..*	The infrastructure utilised by the project	To be defined	

8.a Project Type Utilisation

This entity seeks information about the types of activities the project involves. Please provide one record for each type (up to five).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.a.1	11.91.1	Project Type	1	Project activities classified according to one of five types (plus administration). Select up to five project types based on the overall intention or focus of the project at the outset of the project. Most projects will fall into only one project type	Needed to understand the balance of effort within the system on R&D and related activities Also used to determine whether ANZSRC codes are required.	Select from Code Set Project Type
8.a.2	11.91.2	Share of Project Type	1	Estimate of the proportion of total project resources utilised on identified project type	The total of shares across all project types must equal 1 for a project. Needed to understand the level of resources devoted to different project types	Numeric: Percentage (Example: 0.20 for 20%)

8.b ANZSRC Type of Activity Distribution

This entity seeks information on the ANZSRC Type of Activity (ToA) relevant to the project and the proportion of focus within the project for each ToA. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.b.1	11.92.1	ANZSRC Type of Activity	1	The Type of Activity according to the ANZSRC over the life of the project	Enter the NZSRC ToA classification that best reflects the overall intention or focus of the project at its outset. Most applications will fall under one Type of Activity, but some may fall under more than one Type of Activity. Needed to understand the level of resources devoted to the different Types of Activity. These are important when designing policy and investment parameters	Select from Code Set ANZSRC ToA (Clicking the link will open the ANZSRC website)
8.b.2	11.92.2	Share of ANZSRC Type of Activity	1	Estimate of the proportion of each Type of Activity code within each project	The total of all shares of Type of Activity for a project must equal 100%. Needed to derive the level of resources devoted to the different Types of Activity	Numeric: Percentage (Example: 0.20 for 20%)

8.c ANZSRC Field of Research Distribution

This entity seeks information on the ANZSRC Fields of Research (FoR) relevant to the project and the proportion of focus within the project for each FoR. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.c.1	11.93.1	ANZSRC Field of Research	1	The field of research according to the ANZSRC over the life of the project	<p>Enter the 6 digit ANZSRC FoR classification that best reflects the overall intention or focus of the project at its outset.</p> <p>Needed to capture the scope and reach of the project according to the 6 digit FoR classification.</p> <p>Input measures by FoR are needed to understand the balance of investments by field of research, identify collaboration opportunities, and to link inputs and outputs by fields of research</p>	<p>Select from Code Set 1 ANZSRC FoR</p> <p>(Clicking the link will open the ANZSRC website)</p>
8.c.2	11.93.2	Share of ANZSRC Field of Research	1	Estimate of the proportion of each Field of Research code within each project	<p>The total of all shares of FoR for a project must equal 100%.</p> <p>Needed to derive the level of resources devoted to the different Fields of Research</p>	<p>Numeric: Percentage</p> <p>(Example: 0.20 for 20%)</p>

8.d ANZSRC Socio-Economic Objective Distribution

This entity seeks information on the ANZSRC Socio-Economic Objective (SEO) relevant to the project and the proportion of focus within the project for each SEO. Please provide one record for each relevant code. ANZSRC codes MUST be provided for all research applications, awards and projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.d.1	11.94.1	ANZSRC Socio-Economic Objective	1	The socio-economic objective of the project according to the ANZSRC over the life of the project	Enter the 6 digit ANZSRC Socio-Economic classification that best reflects the overall intention or focus of the project at its outset. Needed to capture the scope and reach of the project according to the 6 digit SEO classification. Input data by SEO is needed to demonstrate effort in particular areas. SEO classifications can provide an indication of expected end users	Select from Code Set ANZSRC SEO (Clicking the link will open the ANZSRC website)
8.d.2	11.94.2	Share of ANZSRC Socio-Economic Objective	1	Estimate of the proportion of each Socio-Economic Objective code within each project	The total of all shares of Socio-Economic Objective for a project must equal 100%. Needed to derive the level of resources devoted to the different Socio-Economic objectives	Numeric: Percentage (Example: 0.20 for 20%)

8.e Public Sector Research Alignment

This entity seeks information about the alignment of the project to New Zealand Public Sector research themes, priorities and programmes. Please provide one record for each priority, theme or programme.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.e.1	11.95.1	Public Sector Research Alignment	1	The type of theme, priority, or programme the award relates to		Select from Code Set Public Sector Research Alignment
8.e.2	11.95.2	Theme, Priority or Programme - CoRE	0..1	Funder-specific strategic research theme, priority or programme which the award supports	Needed to capture contributions of awards to specific themes, priorities or programmes. Conditional: Provide if Public Sector Research Alignment selected in 8.e.1 is CoRE Theme (1)	Select from Code Set CoRE Theme
8.e.3	11.95.2	Theme, Priority or Programme - NSC	0..1	Funder-specific strategic research theme, priority or programme which the award supports	Needed to capture contributions of awards to specific themes, priorities or programmes. Conditional: Provide if Public Sector Research Alignment selected in 8.e.1 is NSC Theme (2)	Select from Code Set NSC Theme

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.e.4	11.95.2	Theme, Priority or Programme - HRC	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 8.e.1 is Health Research Theme (3)</p>	Select from Code Set HRC Theme
8.e.5	11.95.2	Theme, Priority or Programme - MPI	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 8.e.1 is MPI Theme (4)</p>	Text (max 512 characters)
8.e.6	11.95.2	Theme, Priority or Programme – Vision Mātauranga	0..1	Funder-specific strategic research theme, priority or programme which the award supports	<p>Needed to capture contributions of awards to specific themes, priorities or programmes.</p> <p>Conditional: Provide if Public Sector Research Alignment selected in 8.e.1 is Vision Mātauranga Theme (4)</p>	Select from Code Set Vision Mātauranga Theme
8.e.7	11.95.2	Share of Theme	1	Estimate of the proportion of each theme code within the award	<p>Overlap in alignment may occur; the total of shares may exceed 100%.</p> <p>Needed to derive the level of resources aligned with a given theme</p>	Numeric: Percentage (Example: 0.20 for 20%)

8.f Project Personnel

This entity seeks information about the people involved in the project. Please provide one record for each such person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
8.f.1	11.96.1	Person ID Type	1	The type of identifier used to identify the person		Select from Code Set Person Identifier Type
8.f.2	11.96.2	Person ID	1	The identifier value for the person	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 8.f.1	Text (max 256 characters)
8.f.3	11.96.3	Personnel Role	1	The role the person performs on this project	Needed to capture the roles associated with each project	Select from Code Set Personnel (Project) Role
8.f.4	11.96.4	Start Date	1	The date the person started in this role		Date: ISO 8601 (yyyy-mm-dd)
8.f.5	11.96.5	End Date	0..1	The date the person finished this role		Date: ISO 8601 (yyyy-mm-dd)
8.f.6	11.96.6	FTE Allocation	1	The proportion of full time work that the person is allocated to this role	Use the budgeted allocation for this person. When an allocation changes for that person, add a new record with a new start / end date and the proposed allocation for that period	Numeric: Percentage (Example: 0.20 for 20%)
8.f.7	11.96.7	Local Role Description	0..1	The project-specific description of the person's role in the project	Needed to allow additional data analysis and research to inform code set development	Text (max 512 characters)

8.g Infrastructure Utilised

Infrastructure information is not in scope for this version, and will be determined collaboratively with the sector and added to later releases of this document.

9 Award Received – Mandatory if using public funds

The award received entity seeks information about awards received for projects, the asset pool granting the awards, the resources allocated, the agreed lead practitioner, and any constraints on use.

An award may be granted by an organisation which supplies information to NZRIS, in which case, the record will be matched with the record supplied by the asset pool. If the organisation that granted the award doesn't supply information to NZRIS (e.g. an overseas fund or government) the information provided will enable NZRIS to provide a broad view of the sources and types of resources supplied to the RS&I sector.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.1	12.2	Local Asset Pool ID	1	The local identifier for the asset pool that granted this award		Text (max 256 characters)
9.2	12.3	Asset Pool Name	1	The commonly used name for the asset pool	Needed to identify the source of the resource(s) if the Asset Pool does not supply data to NZRIS	Text (max 512 characters)
9.3	12.4	Parent Local Award ID	0..1	The local identifier for the parent award of this award	If this award is a subcontract from another award, that award is the parent award. If the parent award is supplied by the same data provider, the local award identifier can be used. If the parent award information is supplied by another organisation, the identifier supplied is the NZRIS data provider ID concatenated with the local project ID used by that data provider	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.4	12.5	Local Award ID	1	The local identifier for this award		Text (max 256 characters)
9.5	12.6	Local Contract ID	0..1	The unique identifier for the contract for this award	Conditional: If a contract is issued for this Award, the Contract ID should be supplied	Text (max 256 characters)
9.6	12.7	Local Project ID	0..*	The unique identifier for the project(s) the award resources have been allocated to	Conditional: If the project has been set up, this information must be supplied	Text (max 256 characters)
9.7	12.8	Award Title	1	The short headline description of this award	As stated in the contract. Needed to communicate the nature of the award	Text (max 512 characters)
9.8	12.9	Award Description	1	The brief description of the award that is understandable by an informed but non-specialist reader	This may be the description of the expected outcomes of the award or, in the case of funding awarded to a single project, the project's description. Needed to understand what the award is about, what the award seeks to achieve, and enable search functionality	Text: Paragraph (max 2500 characters)
9.9	12.10	Subject to Open Contestability	1	Project funding allocated on the basis of an open competition	Open contests must be open to all research organisations in New Zealand. Examples of contestable projects would be where the fund type of the	Text (max 256 characters) Enter either 'Yes', 'No' or 'Not applicable'

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
					award funding the project is contestable, or where the project is won competitively through contestable rounds within primary awards (e.g. CoREs and NSCs). Needed to calculate the extent of contestability of funding across the system	
9.10	12.11	Award Start Date	1	Start date as indicated in award agreement or most recent variation	Needed to understand when financial contributions to the system are made	Date: ISO 8601 (yyyy-mm-dd)
9.11	12.12	Award End Date	1	End date as indicated in award agreement or most recent variation	Needed to understand when financial contributions to the system are made	Date: ISO 8601 (yyyy-mm-dd)
9.12	12.12	Award Status	1	The status of the award	Needed to identify when awards are actively being utilised	Select from Code Set Status
9.13		Award Type	1	Whether this award has been received by an individual, organisation, or asset pool	Needed to identify whether resources are being devolved or allocated to proposed projects	Select from Code Set Award Type
9.14		Asset Pool Recipient ID Type	0..1	The type of identifier used for the recipient asset pool	Conditional: Provide if Award Type selected in 9.13 is Asset Pool (A). This must be supplied if the award is devolving resources from one asset pool to another	Text (max 256 characters) Enter either 'Local ID' or 'NZRIS ID'

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.15		Asset Pool Recipient ID	0..1	The identifier value for the recipient asset pool	Enter the relevant ID number for the Asset Pool Recipient ID Type selected in 9.14	Text (max 256 characters)
9.16		Individual Recipient ID Type	0..1	The type of identifier used for the individual recipient	Conditional: Provide if Award Type selected in 9.13 is Individual (I)	Select from Code Set Person Identifier Type
9.17		Individual Recipient ID	0..1	The identifier value for the individual recipient	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 9.16	Text (max 256 characters)
9.a	12.91	Organisations	1..*	The identifiers and roles for the organisations party to the award	Refer to Section 9.a , below	
9.b	12.92	Agreed Personnel	0..*	The identifiers for the agreed personnel specified in the award	Refer to Section 9.b , below	
9.c	12.93	Allocated Resource	0..*	The allocated resources specified in the award	Refer to Section 9.c , below	

9.a Award Organisation

This entity seeks information about the organisations involved in making and receiving awards from the asset pool. Please provide one record for each organisation involved. A record must be provided for the organisation that administers the award.

Conditional: Provide a record for the recipient organisation if Award Type entered for element 6.13 is Organisation (O) or Multi-Organisation (M).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.a.1	12.91.1	Organisation ID Type	1	The type of identifier used to identify this organisation		Select from Code Set Organisation Identifier Type
9.a.2	12.91.2	Organisation ID	1	The identifier value for this organisation	Enter the relevant value, e.g. the NZBN, for the organisation identifier type selected in 9.a.1	Text (max 256 characters)
9.a.3	12.91.3	Organisation Role	1	The role of the organisation in relation to the project	Needed to identify the different organisations involved in the project, and their role	Select from Code Set Organisation Project Role

9.b Agreed Personnel

This entity seeks information about the people who have been agreed to have roles on the project. Please provide one record for each such person. A record must be provided for the lead contributor.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.b.1	12.92.1	Person ID Type	1	The type of identifier used to identify the person		Select from Code Set Person Identifier Type

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.b.2	12.92.2	Person ID	1	The identifier value for the person	Enter the relevant value, e.g. the ORCID ID, for the person identifier type selected in 9.b.1	Text (max 256 characters)
9.b.3	12.92.3	Role	1	The role of the person on this project		Select from Code Set Personnel (Project) Role
9.b.4	11.92.4	Local Role Description	0..1	The project-specific description of the person's role in the project	Needed to allow additional data analysis and research to inform code set development	Text (max 512 characters)

9.c Allocated Resource

This entity seeks information about the resources granted to the project by the award. Please provide one record for each allocated resource.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.c.1	12.93.1	Local Resource ID	1	The local identifier for this resource		Text (max 256 characters)
9.c.2	12.93.2	Resource Type	1	The type of resource to be distributed		Select from Code Set Resource Type
9.c.3	12.93.3	Minimum Resource Quantity	1	The minimum quantity of the resource to be distributed		Digit
9.c.4	12.93.4	Maximum Resource Quantity	0..1	The maximum quantity of the resource to be distributed	Conditional: If a fixed quantity is available specify the quantity as the minimum quantity and do not	Digit

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
					populate the maximum quantity. If the resource quantity is variable, populate both the minimum and maximum quantity values	
9.c.5	12.93.5	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 9.c.2 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
9.c.6		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 9.c.2 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3)	Select from Code Set Resource Measure – Non-Currency
9.c.7	12.93.6	Resource Value	0..1	The financial value of the resource being supplied	In some cases (e.g. provision of facilities, allocation of FTE) a resource value can be specified. In some cases (e.g. use of a restricted data set) a value may not be able to be specified. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points
9.c.8	12.93.7	Start Date	1	The agreed start of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)
9.c.9	12.93.8	End Date	1	The agreed end of the period of use of the resources		Date: ISO 8601 (yyyy-mm-dd)
9.c.a	12.93.9	Constraint	0..*	Constraint(s) on use of	Refer to Section 9.c.a , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
	1			resources (e.g. capital vs operational expenditure, maximum administrative utilisation, requirements for matching awards from other organisations, data access)		

9.c.a Constraints

This entity seeks information about the constraints on resources allocated to the project. Please provide one record for each constraint.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
9.c.a.1	12.93.9 1.1	Constraint Type	1	The type of constraint applied to the resource		Select from Code Set Constraint Type
9.c.a.2	12.93.9 1.2	Resource Constraint	1	A description of the constraint, e.g. applicant must find 50% matching funding from another organisation		Text (max 512 characters)

10 Resource Received – Mandatory if using public funds

The resource received entity seeks information about the resources received by a project, the asset pool distributing the resources, and the actual resources supplied.

The resources involved may be either received from an asset pool by an award recipient, or returned by an award recipient to the asset pool (e.g. return of unused funds).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
10.1	13.1	Local Asset Pool ID	1	The local identifier for this asset pool		Text (max 256 characters)
10.2	13.2	Local Award ID	0..1	The local identifier for this award		Text (max 256 characters)
10.3	13.3	Local Contract ID	0..1	The unique identifier for the contract for this award	If a contract is issued for the Award this distribution relates to, the contract ID should be supplied	Text (max 256 characters)
10.4		Local Resource Received ID	1	The local identifier for this resource once received		Text (max 256 characters)
10.5	13.4	Distributing Organisation ID Type	1	The type of identifier used to identify the organisation distributing the resources	If resources are being returned, the award holder will be the distributing organisation	Select from Code Set Organisation Identifier Type
10.6	13.5	Distributing Organisation ID	1	The identifier value for the organisation distributing the resources	Enter the relevant value, e.g. the NZBN, for the Distributing Organisation ID Type selected in 10.4	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
10.7		Award Type	1	Whether this award has been made to an individual, organisation, or asset pool	An award may grant resources to an individual or an organisation, or devolve resources to another asset pool	Select from Code Set Award Type
10.8	13.6	Recipient ID Type - Organisation	0..1	The type of identifier used to identify the organisation who will receive the resources	Conditional: Provide if Award Type selected in 10.6 is Organisation (O) or Multi-Organisation (M). Needed to facilitate NZRIS data linking	Select from Code Set Organisation Identifier Type
10.9	13.6	Recipient ID Type – Individual	0..1	The type of identifier used to identify the person who will receive the resources	Conditional: Provide if Award Type selected in 10.6 is Individual (I). Needed to facilitate NZRIS data linking	Select from Code Set Person Identifier Type
10.10	13.6	Recipient ID Type – Asset Pool	0..1	The type of identifier used to identify the asset pool who will receive the resources	Conditional: Provide if Award Type selected in 10.6 is Asset Pool (A). This must be supplied if the award is devolving resources from one asset pool to another. Needed to facilitate NZRIS data linking	Text (max 256 characters) Enter either 'Local ID' or 'NZRIS ID'
10.11	13.7	Recipient ID	1	The identifier value for the person, organisation, or asset pool	Enter the relevant value, e.g. the NZBN, ORCID or Local Asset Pool ID, for the relevant Identifier type	Text (max 256 characters)
10.12	13.8	Resource Type	1	The type of resource distributed		Select from Code Set Resource Type
10.13	13.9	Resource Actual Quantity	1	The quantity of the resource distributed	Enter the relevant quantity for the Resource Type selected in 10.11	Digit

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
10.14	13.10	Resource Measure – Currency	0..1	The measure of the currency resource being supplied	Conditional: Provide if Resource Type selected in 10.11 is NZ Public Sector Financial Resource (D1) or Other Financial Resource (D2)	Select from Code Set ISO 4217 Currency Codes (Clicking the link will open the ISO website)
10.15		Resource Measure – Non-Currency	0..1	The measure of the non-currency resource being supplied	Conditional: Provide if Resource Type selected in 10.11 is Infrastructure Resource (I1), FTE Resource (I2) or Other Resource (I3).	Select from Code Set Resource Measure – Non-Currency
10.16	13.11	Resource Value	0..1	The financial value of the resource being supplied	In some cases (e.g. provision of facilities, allocation of FTE) a resource value can be specified. In some cases (e.g. use of a restricted data set) a value may not be able to be specified. If providing financial values in New Zealand Dollars (NZD), exclude GST	Money Enter up to two decimal points
10.17	13.12	Distribution Basis	1	The basis for distribution		Select from Code Set Distribution Basis
10.18	13.13	Distribution Start Date	1	The date of first distribution of the resources	For financial transactions, the start and end date will be the same date	Date: ISO 8601 (yyyy-mm-dd)
10.19	13.14	Distribution End Date	1	The date of last distribution of the resources		Date: ISO 8601 (yyyy-mm-dd)

11 Output – Mandatory if using public funds

The output entity seeks information about outputs created as a result of RS&I activity, and contributors, related projects, and identifiers for the output.

An output can be recorded without information about related awards or projects.

Note – business rules may be applied in future to ensure the output type aligns with the project type. Some outputs can only be associated with particular project types, for example the outputs of commercialisation activities are not the same as the outputs of scientific services projects.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
11.1	14.1	ORCID Output Type	1	The ORCID work type most appropriate for the output		Select from Code Set ORCID Output Types (Clicking the link will open the ORCID website)
11.2	14.2	TEC Output Type	0..1	The TEC work type code best describing the output	Only supplied by organisations using TEC output codes. The Code Set has been extracted from the TEC PBRF 2018 Quality Evaluation EP Schema Definition	Select from Code Set TEC Output Type
11.3	14.3	Output Language	0..1	The primary language of the output		Select from Code Set Output Language (ISO-639-2/T) (Clicking the link will open the Library of Congress website)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
11.4	14.4	Local Output Type	0..1	A short text description of the type of output	The preferred local description of the output type. Needed to enable output type to be described as perceived by the researcher without the constraint of a code set	Text (max 256 characters)
11.5	14.5	Output Title	1	The title of the output	Needed to have useful contextual information about an output that can be used for analysing and clustering topics and themes	Text (max 512 characters)
11.6	14.6	Access Type	1	The type of access available for the output		Select from Code Set Access Type
11.7	14.7	Production Date	1	The date of publication, release, opening or granting	Needed to track when outputs are produced	Date: ISO 8601 (yyyy-mm-dd)
11.8	14.8	Output Description	1	Basic description of the contents of the output	For many output types (e.g. journal articles), this is the abstract. Needed to understand the content and nature of outputs	Text: Paragraph (max 2500 characters)
11.9	14.9	Local Project ID	0..10	The NZRIS project identifier(s) that the output is from	If the output is the result of a project recorded in NZRIS, the identifier must be supplied	Text (max 256 characters)
11.a	14.91	Contributor	1..*	The name of output contributor or creator	Refer to Section 11.a , below	
11.b	14.92	Output Identifiers	1..10	The identifiers for the output	Refer to Section 11.b , below	

11.a Contributor

This entity seeks information about contributors to the project's outputs. Please provide one record for each contributor.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
11.a.1	14.91.1	Person ID Type	1	The type of identifier used to identify the person		Select from Code Set Person Identifier Type
11.a.2	14.91.2	Person ID	1	The identifier value for the person	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 11.a.1	Text (max 256 characters)

11.b Output Identifier

This entity seeks identifiers for project outputs. Please provide a record for each output.

Note: outputs may or may not be publicly accessible.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
11.b.1	14.92.1	Output ID Type	1	To indicate what type of identifier has been supplied		Select from Code Set Output Identifier Type
11.b.2	14.92.2	Output ID	1	A specific identifier for the output	Enter the relevant identifier for the Output ID Type selected in 11.b.1	Text (max 256 characters)

6. Data to be provided by both Asset Pool Managers and RS&I Managers

All organisations supplying data to NZRIS will need to supply information about:

- people and organisations referred to in their data collection records (e.g. applicants, award recipients, project personnel, and so on),
- the submission itself, and
- the protection required for the records within the submission.

Once a person or organisation record has been supplied to NZRIS, updates only need to be supplied if new or updated information about that person or organisation is available.

The table below identifies whether the entities and elements in this section are mandatory.

Entity	Is this mandatory to provide?	If entity is provided, these sub-entities and elements are mandatory	If entity is provided, these sub-entities and elements are conditional
Person	Yes	<ul style="list-style-type: none"> • Identifiers • Given Name 	<ul style="list-style-type: none"> • Other Given Names • Family Name • Date of Birth • Gender • Ethnicity • Iwi Affiliation • Sector Person ID • Research Career Stage • Academic Record • Recognition • Professional Bodies • Organisation Affiliation
Organisation	Yes	<ul style="list-style-type: none"> • Identifiers • Organisation Type • Organisation Name 	<ul style="list-style-type: none"> • Date of Establishment • Date of Disestablishment • Organisation Identifier • Contributing Organisation
Group	No	<ul style="list-style-type: none"> • Identifiers • Name 	<ul style="list-style-type: none"> • Purpose • External Identifier
Submission	Yes	<ul style="list-style-type: none"> • Identifiers • Contact Email Address • Data Start Date • Data End Date • Data Source 	<ul style="list-style-type: none"> • Coverage (included and excluded) • Accuracy / Quality • Standard Caveats
Protection	Yes	<ul style="list-style-type: none"> • Identifiers • Protection Required 	

12 Person – Mandatory

The person record describes an individual person and their attributes.

Many records may be provided by multiple organisations over time for an individual person.

Using unique identifiers, these records will be consolidated to a single identity record for that person. Initially, a single record per organisation may be constructed for each person. As external identifier information is supplied, identity information will be linked across multiple organisations to achieve a single person record for each person.

Acknowledging that specific aspects of identity can change over time (e.g. gender, ethnicity, name), this information can be provided as it was at a given point in time; the author of an output may change their name, gender, or ethnicity at a later date.

Data providers must submit data for the Person entity for every individual identified in data they submit to NZRIS.

The data provided by the current primary employer of the person will be considered the master record when data conflicts are identified.

Data providers must update submitted data when new or updated information about a person is available (e.g. a new academic qualification, a change of name).

Where an ORCID identifier is supplied, and the ORCID record is accessible and contains all mandatory person data, no further information will be required from the data provider for that person. Additional information may be supplied if the data provider wishes to do so.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.1	21.1	Local Person ID	1	The local identifier for this person supplied by the organisation submitting the record	This must be a single unique identifier from the data provider, which will continue to be used over time, and must not be re-used for another person	Text (max 256 characters)
12.2	21.2	Given Name	1	The given name for this individual		Text (max 512 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.3	21.3	Other Given Names	0..1	Additional given names for this individual		Text (max 512 characters)
12.4	21.4	Family Name	0..1	The family name for this individual	If the person has a family name, this must be supplied – only for persons with a mononym can this element be left empty. Needed to facilitate identification of people and data matching	Text (max 512 characters)
12.5	21.5	Date of Birth	0..1	The date of birth of the person	To enable analysis by age demographic across the sector. This information is only used at aggregated levels for statistical and reporting purposes	Date: ISO 8601 (yyyy-mm-dd)
12.6	21.6	Gender	0..1	The gender identity of the person	Needed to enable analysis by gender demographic across the sector. This information is only used at aggregated levels for statistical and reporting purposes	Select from Level 1 of Code Set Gender Identity Classification (Clicking the link will open the Stats NZ Aria website)
12.7	21.7	Prior Local Person ID	0..1	The previous local person ID used for this person	This identifier should not be an identifier for another purpose (e.g. IRD number, staff number). For use when local identifiers must be changed (e.g. software migration, database update)	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.8	21.8	Gender Other Information	0..1	Additional gender information supplied if desired	Needed to further identify the gender identity of the person	Text (max 512 characters)
12.9	21.8	Ethnicity	0..6	The ethnic group or groups with which the person identifies or feels they belong	<p>Ethnicity is self-perceived and people can belong to more than one ethnic group.</p> <p>Needed to enable analysis and understand the ethnic diversity across the system.</p> <p>This information is only used at aggregated levels for statistical and reporting purposes</p>	<p>Select from Level 2 or Level 4 of Code Set Ethnicity Classification</p> <p>(Clicking the link will open the Stats NZ Aria website)</p>
12.10	21.9	Iwi Affiliation	0..6	The iwi affiliation(s) of the person Iwi today is the focal economic and political unit of the traditional Māori descent and kinship based hierarchy of: Waka (founding canoe), iwi (tribe), hapū (sub-tribe) and whānau (family)	<p>Multiple responses are allowed. The Māori Reference Group will be asked to provide additional guidance around this element.</p> <p>Needed to allow the Crown and Iwi to monitor obligations under the Treaty of Waitangi. Also assists iwi in planning and resourcing.</p> <p>This information is only used at aggregated levels for statistical and reporting purposes</p>	<p>Select from Code Set Iwi Classification</p> <p>(Clicking the link will open the Stats NZ Aria website)</p>
12.a	21.91	Sector Person Identifier	0..*	External identifier(s) for this person (e.g. ORCID ID)	Refer to Section 12.a , below	

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.b	21.92	Research Career Stage	0..*	The career stages over time of the person	Refer to Section 12.b , below	
12.c	21.93	Academic Record	0..*	The academic record for the person	Refer to Section 12.c , below	
12.d	21.94	Recognition	0..*	Recognition received by the person (e.g. a medal)	Refer to Section 12.d , below	
12.e	21.95	Professional Bodies	0..*	Professional body memberships and qualifications	Refer to Section 12.e , below	
12.f	21.96	Organisation Affiliation	0..*	Relationship with an organisation	Refer to Section 12.f , below	

12.a Sector Person Identifier

This entity seeks further information about people identified in relation to other entities within NZRIS. Please provide one record for each person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.a.1	21.91.1	Person ID Type	1	The type of external identifier used to identify this person		Select from Code Set Person Identifier Type
12.a.2	21.91.2	Person ID	1	The external identifier value for this person	Enter the relevant value, e.g. the ORCID ID, for the Person ID Type selected in 12.a.1	Text (max 256 characters)

12.b Research Career Stage

This entity seeks information about the career stages of people identified in relation to other entities within NZRIS. Please provide one record for each person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.b.1	21.92.1	Career Stage	1	The career stage of the researcher		Select from Code Set Person Career Stage
12.b.2	21.92.2	Year Achieved	1	The year in which the person first attained the specified career stage	Needed to understand the proportion of researchers at different stages of their career. Can assist in development of funding mechanisms and support tools. This information is only used at aggregated levels for statistical and reporting purposes	Date: YYYY

12.c Academic Record

This entity seeks information about the academic records of people identified in relation to other entities within NZRIS. Please provide one record for each person.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.c.1	21.93.1	Academic Qualification	1	The name of the tertiary qualification held by the researcher	Needed to enable analysis of the effects of qualifications on research performance	Select from either: Code Set NZREG (v1.0) Code Set ISCED-P (clicking on the links will open the Stats NZ Aria and ISCED websites)
12.c.2	21.93.2	Date Academic Qualification Conferred	0..1	Date on which the qualification was conferred	Needed to assist in analysis of career paths and trajectories	Date: ISO 8601 (yyyy-mm-dd)
12.c.3	21.93.3	Discipline of Academic Qualification	0..1	Discipline of the qualification	Needed to enable analysis of the effects of disciplines on research performance and trajectories	Select from either: Code set NZSCEDFIELD Code set ISCED-F (clicking on the links will open the NZSCED and ISCED websites)
12.c.4	21.93.4	Awarding Institution of Academic Qualification	0..1	Institution that awarded the qualification	Needed to enable analysis of links between researchers and institutions.	Text (max 512 characters)
12.c.5	21.93.5	Research Topic	0..1	Topic of research undertaken to achieve qualification	Needed to enable analysis of the relationship between research in study and later research activity	Text (max 512 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.c.6	21.93.6	Research Start Year	0..1	The year in which the person started research in the specified area	Needed to understand career trajectories and needs for succession planning and support for particular groups	Date: YYYY

12.d Recognition

This entity seeks information about prizes or medals received by people during their career. Please provide one record for each prize or medal.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.d.1	21.94.1	Prestigious Prize or Medal	1	A prestigious prize or medal awarded to a researcher	Provide the name of the prize or medal. Needed to capture markers of outstanding contributions	Text (max 512 characters)
12.d.2	21.94.2	Awarding Institution of Prize or Medal	0..1	The institution awarding the prize or medal	Needed to recognise the awarding institution	Text (max 512 characters)
12.d.3	21.94.3	Amount of Prize/Medal	0..1	The amount of the prize or medal	Needed to recognise the additionality and financial contribution to research associated with a prize or medal	Money Enter up to two decimal points
12.d.4	21.94.4	Year of Recognition	0..1	The year in which the prize or medal was awarded	Needed to enable analysis over time of recognition for contribution	Date: YYYY

12.e Professional Bodies

This entity seeks information about the professional bodies people identified in relation to other entities within NZRIS belong to. Please provide one record for each professional body. Please include all applicable memberships, including NZBN if relevant.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.e.1	21.95.1	Professional Membership	0..1	The name of a professional body or association to which the researcher belongs	A professional body may include bodies responsible for accreditation such as clinical colleges. Needed to recognise membership of professional bodies	Text (max 512 characters)
12.e.2	21.95.2	Organisation ID Type	0..1	The type of identifier used to identify this organisation		Select from Code Set Organisation Identifier Type
12.e.3	21.95.3	Organisation ID	0..1	The identifier value for this organisation	Enter the relevant value for the Organisation ID Type selected in 12.e.2	Text (max 256 characters)
12.e.4	21.95.4	Professional Qualification	0..1	A qualification granted by a professional body	Needed to recognise qualifications other than academic	Text (max 512 characters)

12.f Organisation Affiliation

This entity seeks information about the organisational affiliations of people identified in relation to other entities within NZRIS. Please provide one record for each affiliation.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
12.f.1	21.96.2	Organisation ID Type	1	The type of identifier used to identify this organisation with whom the person holds the specified role		Select from Code Set Organisation Identifier Type
12.f.2	21.96.3	Organisation ID	1	The identifier value for this organisation with whom the person holds the specified role	Enter the relevant value for the Organisation ID Type selected in 12.f.1	Text (max 256 characters)
12.f.3	21.96.4	Local Role Description	0..1	The organisation specific description of the person's role (i.e. job title)	Enables data analysis to inform code set development	Text (max 512 characters)

13 Organisation – Mandatory

The organisation entity seeks data about organisations.

Information about a single organisation may be provided by multiple providers. Using unique identifiers, these records will be consolidated into a single identity record for that organisation. A single identity record will include any changes to specific data, such as the name of the organisation, that occur over time.

Data providers must submit data for the Organisation entity for every organisation identified in records they submit to NZRIS.

The data provided by an organisation about itself will be considered the master record for that organisation when data conflicts are identified.

Data providers must update submitted data when new or updated information about an organisation is available (e.g. a new name, or new external identifier).

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
13.1	22.1	Local Organisation ID	1	The local identifier for this organisation		Text (max 256 characters)
13.2	22.2	Organisation Type	1	The type of organisation	Needed to understand the relative allocation and effort across the system by type of organisation	Select from Code Set Organisation Type
13.3	22.3	Prior Local Organisation ID	0..1	The previous local organisation ID used for this organisation	For use when local identifiers must be changed (e.g. software migration, database update)	Text (max 256 characters)
13.4	22.4	Parent Organisation ID Type	0..1	The Organisation Identifier Type for the parent of this organisation (if applicable)	Needed to enable linking organisational hierarchies (e.g. organisational units/departments to parent organisation)	Select from Code Set Organisation Identifier Type

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
13.5	22.5	Parent Organisation ID	0..1	The identifier for the parent of this organisation (if applicable)	Enter the relevant value for the Organisation ID Type selected in 13.4	Text (max 256 characters)
13.6	22.6	Date of Establishment	0..1	The date of establishment of the organisation	Needed to understand the relevance of an organisation in the sector over time. This information is only used at aggregated levels for statistical and reporting purposes	Date: ISO 8601 (yyyy-mm-dd)
13.7	22.7	Date of Disestablishment	0..1	The date of disestablishment of the organisation	Needed to understand the relevance of an organisation in the sector over time. This information is only used at aggregated levels for statistical and reporting purposes	Date: ISO 8601 (yyyy-mm-dd)
13.a	22.91	Organisation Identifier	0..*	The sector wide unique identifiers for the organisation	Refer to Section 13.a , below	
13.b	22.92	Contributing Organisation	0..*	The identifiers for an organisation contributing resources to this organisation	Refer to Section 13.b , below	
13.c	22.93	Organisation Name	1..*	The names by which the organisation is known	Refer to Section 13.c , below	

13.a Organisation Identifier

This entity seeks information about the organisations identified in relation to other entities within NZRIS. Please provide one record for each organisation identifier.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
13.a.1	22.91.1	Organisation External ID Type	1	The type of identifier used to identify this organisation		Select from Code Set Organisation Identifier Type
13.a.2	22.91.2	Organisation External ID	1	The identifier value for this organisation	Enter the relevant value, e.g. the NZBN, for the Organisation ID Type selected in 13.a.1	Text (max 256 characters)

13.b Contributing Organisation

This entity seeks information about the organisations identified as contributing in relation to other entities within NZRIS. Please provide one record for each contributing organisation.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
13.b.1	22.92.1	Local Organisation ID	1	The local identifier of an organisation which supplied resources to establish or extend this organisation (e.g. infrastructure, staffing, resources)	An organisation contributes to another organisation if they transfer assets to that organisation to increase the capability of that organisation (e.g. gift infrastructure, supply staff) Needed to understand the change in organisations over time	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
13.b.2	22.92.2	Organisation ID Type	0..1	The type of identifier used to identify a contributing organisation		Select from Code Set Organisation Identifier Type
13.b.3	22.92.3	Organisation ID	0..1	The identifier of an organisation which supplied resources to establish or extend this organisation (e.g. infrastructure, staffing, resources)	Enter the relevant value, e.g. the NZBN, for the Organisation ID Type selected in 13.b.2	Text (max 256 characters)

13.c Organisation Name

This entity seeks information about the names of organisations identified in relation to other entities within NZRIS. Please provide one record for each organisation name.

Element	Item (v1.1.1)	Name	Obl.	Definition	Guidance / Reason	Data Format
13.c.1	22.93.1	Organisation Name Type	1	The type of name used for this organisation	Allows for multiple names to be stored and used for a single organisation	Select from Code Set Organisation Name Type
13.c.2	22.93.2	Organisation Name Value	1	The name used for this organisation	Enter the relevant value for the Organisation Name Type selected in 13.c.1	Text (max 512 characters)
13.c.3	22.93.3	Organisation Name Start Date	0..1	The date at which this name came into effect for this group	Needed to enable NZRIS to identify the period over which a given name was in effect	Date: ISO 8601 (yyyy-mm-dd)

Element	Item (v1.1.1)	Name	Obl.	Definition	Guidance / Reason	Data Format
13.c.4	22.93.4	Organisation Name End Date	0..1	The date at which this name ceased to be used for this group	Needed to enable NZRIS to identify the period over which a given name was in effect	Date: ISO 8601 (yyyy-mm-dd)
13.c.5	22.93.5	Organisation Name Comment	0..1	Supplementary information		Text (max 512 characters)

14 Group - Optional

The group entity seeks information about a group of people or organisations identified in relation to other entities within NZRIS.

When a formal group of organisations and /or people is referenced in data provided, the group identifier and name should be supplied. The group purpose and external identifiers can also be supplied.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
14.1	23.1	Local Group ID	1	The local identifier for this group		Text (max 256 characters)
14.2	23.2	Group Purpose	0..1	The purpose for which the group is formed (e.g. Application Review Panel)		Text (max 512 characters)
14.a	23.91	Group Name	1..*	At least one name by which this group is known	Refer to Section 14.a , below	
14.b	23.92	Group Identifier	0..*	Any additional identifier(s) used for this group	Refer to Section 14.b , below	

14.a Group Name

This entity seeks information about groups identified in relation to other entities within NZRIS. Please provide at least one record for each group.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
14.a.1	23.91.1	Group Name Type	1	The type of name used for this group		Select from Code Set Organisation Name Type

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
14.a.2	23.91.2	Group Name Value	1	The name used for this group	Enter the relevant value for the Group Name Type selected in 14.a.1	Text (max 512 characters)
14.a.3	23.91.3	Name Start Date	0..1	The date on which this name first came into use		Date: ISO 8601 (yyyy-mm-dd)
14.a.4	23.91.4	Name End Date	0..1	The date on which this name ceased to be in use		Date: ISO 8601 (yyyy-mm-dd)
14.a.5	23.91.5	Group Name Comment	0..1	Short additional comment		Text (max 512 characters)

14.b Group Identifier

This entity seeks identifiers for groups identified in relation to other entities within NZRIS. Please provide one record for each group.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
14.b.1	23.92.1	Group ID Type	1	The type of identifier used to identify this group		Select from Code Set Organisation Identifier Type
14.b.2	23.92.2	Group ID	1	The identifier value for this group	Enter the relevant value, e.g. the NZBN, for the Group ID Type selected in 14.b.1	Text (max 256 characters)

15 Submission - Mandatory

Submission identifiers must be supplied for every data submission to NZRIS. The elements seek information about the scope and source of the data being submitted.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
15.1		Local Submission ID	1	The data provider unique identifier for this data submission	This must be a unique identifier for the data provider, and will be used to positively identify raw data submissions for data quality and review purposes. Needed to enable the data provider and NZRIS to identify a specific data submission	Text (max 256 characters)
15.2		Local Resubmission ID	0..1	The local submission ID for the submitted data this submission will replace	If the submission is a repeat of a previous submission, use the ID that was provided to NZRIS previously. If it is not a repeat of a previous submission, leave blank and NZRIS will provide a submission ID. Needed to enable absolute identification of the data to be replaced	Text (max 256 characters)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
15.3		NZ RIS Submission ID	0..1	The NZ RIS submission ID for the submitted data this submission will replace	<p>If the submission is a repeat of a previous submission, populate with the NZ RIS Submission ID for the prior submission.</p> <p>Needed to enable absolute identification of the data to be replaced.</p> <p>Note – if a submission record is supplied with a re-submission ID and no data, the submission will be rejected</p>	Text (max 256 characters)
15.4		Contact Email Address for Data Submission	1	The person who has operational responsibility for the data submission	<p>Needed to facilitate liaison between NZ RIS and the data provider.</p> <p>To be used in addition to the primary contact who is registered for the data provider organisation.</p> <p>Can help differentiate multiple processes/systems/roles within a data provider organisation, involved in providing data to NZ RIS</p>	Text: Email address
15.5		Data Start Date	1	The first date that the data covers	Needed to provide information about the range of data to the public user	Date: ISO 8601 (yyyy-mm-dd)
15.6		Data End Date	1	The last date that the data covers	Needed to provide information about the range of data to the public user	Date: ISO 8601 (yyyy-mm-dd)

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
15.7		Coverage (Included)	0..1	A short description of what is covered within the data to be released publically (dependent on the protection applied to the data)	Needed to provide information about the range of data to the public user	Text (max 512 characters)
15.8		Coverage (Excluded)	0..1	A short description of what is excluded from the data to be released publically (dependent on the protection applied to the data)	Needed to provide information about the range of data to the public user	Text (max 512 characters)
15.9		Accuracy / Quality	0..1	A short description of constraints on the accuracy or quality of the data, to be released publically (dependent on the protection applied to the data)	Needed to provide information about the quality of data to the public user	Text (max 512 characters)
15.10		Standard Caveats	0..*	The standard caveats that have been applied to the data, to be released publically (dependent on the protection applied to the data)	Needed to provide information about the limitations of data to the public user	Text (max 512 characters)
15.a		Data Source	1..*	The sources of data in this submission	Refer to Section 15.a , below	

15.a Data Source

This entity seeks information about the sources of data submitted.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
15.a.1		Data Source	1	The source(s) from which the data has been extracted	Needed to identify the original source of the data supplied	Text (max 512 characters)
15.a.2		Data Source Description	0..1	Description of the data source	Needed to allow additional information about this source	Text (max 512 characters)
15.a.3		Date Data Extracted	1	The date the data has been extracted from the source	Needed to provide information about the currency of data to the public user	Date: ISO 8601 (yyyy-mm-dd)

16 Protection - Mandatory

The Protection entity seeks information about the protection required for the data included in each record submitted.

The elements below must be completed for each data record within a submission. Depending on the data submission format (e.g. JSON or spread sheet) these protection records might be embedded in the parent data record.

Each data record will need at least one protection pattern defined, and most are likely to have only one. In some cases, a data record may have more than one protection pattern defined, and a Protection record should be completed for each of those.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
16.1		Protected Entity ID	1	The local ID for the entity that needs protection	For example, Local Asset Pool ID, Local Application ID, Local Award ID, Local Project ID. Needed to identify the entity that needs protection	Text (max 256 characters)
16.a		Protection Required	1..3	The protection pattern(s) to be applied	Refer to Section 16.a, below	

16.a Protection Required

The Protection Required entity seeks information about the protection patterns to be applied to submitted data.

It is assumed that data protection starts at the creation date of the entity record.

Given that multiple record submissions will be made for an entity, and the protection patterns applied are cumulative, a protection pattern must be removed (via re-submission) or expire for data to become available.

Element	Item (v1.1.1)	Name	Obl.	Description	Guidance / Reason	Data Format
16.a.1		Protection Pattern	1	The protection pattern that should be applied	Needed to ensure data that is sensitive is protected appropriately	Select from Code Set Protection Pattern
16.a.2		Protection Expiration	1	Whether the protection pattern will expire, or is indefinite	Needed to determine whether data will be publicly available at any point. Yes means the protection will expire No means the protection will be indefinite	Text: Boolean (Yes / No)
16.a.3		Expiry Date	0..1	The date on which the protection pattern expires, and the data record is publically available	Needed to enable removal of the protection at a date in the future	Date: ISO 8601 (yyyy-mm-dd)

7. Code Sets

This section contains code sets developed for NZRIS.

A code set is a collection of common codes that limit the range of responses allowed for specific data elements.

Additional code sets (for example, National Infrastructure) will be developed over the coming months and incorporated into later versions.

The code sets are sorted in alphabetical order, and have links back to the entities in which they are used.

A machine-readable version of all code sets (including those hosted externally) is available by emailing NZRIS@mbie.govt.nz.

Code Set | Access Type

These codes are used by [11 Output](#).

Code	Description	Definition	Guide for Use
O	Open Data	An open data form of output is available	
C	Constrained	Access to the output is constrained (e.g. only available through a journal subscription)	
N	Not Applicable	The output is of a form in which describing data access is not applicable	

Code Set | Allocation Method

These codes are used by [2 Asset Pool Planned Distribution](#).

Code	Description	Definition	Guide for Use
C	Contestable	Awards are granted following a call for proposals that is subject to competition	Includes all contestable rounds whether in NZ or otherwise. Examples include: Marsden, Endeavour, Vision Mātauranga Capability Fund, HRC programmes

Code	Description	Definition	Guide for Use
			and projects, CoREs, PreSeed Accelerator Fund, awarded tenders, requests for proposal, most philanthropic funding. Also includes capacity building awards, such as fellowships
N	Negotiated	Funder and provider(s) negotiate a set of expected deliverables. Not subject to competition	Includes CRI core funding, IRO capability funding, Strategic Science Investment Fund, NSCs, some industry funding and some international funding. Typically, industry funding and contract research will be coded as negotiated unless there has been a tender or RfP process, in which, the code contestable applies
O	On-demand	Funding is awarded if provider or proposal meets a specified set of criteria. Not subject to competition	Includes Callaghan Innovation Growth Grants, MBIE Partnerships Programme prior to 2017
I	Formula-based institutional funding	Funding awarded to an institution on the basis of a formula. Not subject to competition	Includes the Performance-Based Research Fund
E	Endowment	A financial asset, in the form of a donation made to a non-profit group, institution or individual consisting of investment funds or other property that may or may not have a stated purpose at the bequest of the donor. Not subject to competition	Generally, endowments are designed to keep the principal amount intact while using the investment income. Examples would be an endowed position at a research institution, scholarships, and research funds

Code Set | Application Decision

These codes are used by [5 Application Decision](#).

Code	Description	Definition	Guide for Use
01	Full Award	The asset pool allocated all requested resources allocated	
02	Partial Award	The asset pool allocated some of the requested resources	
03	Decline	The asset pool declined to allocate resources	
04	Not eligible	The application did not meet eligibility criteria and could not be allocated resources	
05	Withdrawn	The applicant withdrew the application for resources prior to completion of the allocation process	
06	Not progressing	The applicant has not supplied sufficient information to progress with the application	
99	Other Decision	A decision not otherwise specified in this code set	E.g. a decision to progress to the second 'round' in the case of a two-stage application process

Code Set | Application Phase

These codes are used by [3 Application](#).

Code	Description	Definition	Guide for Use
S1	Single Stage Application	A full application for a single stage competitive, negotiated, or on demand round	
M1	Initial Application	An initial expression of interest in a multi-stage competitive round	

Code	Description	Definition	Guide for Use
M2	Detailed Application	An detailed application subsequent to an accepted expression of interest in a multi-stage competitive round	
O1	Other Application Type	A form of application not otherwise specified in this code set	

Code Set | Application/Award Type

These codes are used by:

- [3 Application](#)
- [6 Award Granted](#)
- [7 Resource Distributed](#)
- [9 Award Received](#)
- [10 Resource Received](#)

Code	Description	Definition	Guide for Use
I	Individual	A single individual is submitting the application and will receive the award	
O	Organisation	A single organisation is submitting the application and will receive any award	
M	Multi-Organisation	A group of organisations are submitting the application and will share any award	Note that in practice, one organisation is expected to take the lead and be identified as the recipient (as identified by the Organisation Project Role)
A	Asset Pool	An asset pool will receive the awarded resources ('devolved resources')	

Code Set | Benefiting Region

These codes are used by [8 Project](#).

Code	Description	Definition	Guide for Use
01	Northland Region		
02	Auckland Region		
03	Waikato Region		
04	Bay of Plenty Region		
05	Gisborne Region		
06	Hawke's Bay Region		
07	Taranaki Region		
08	Manawatu-Wanganui Region		
09	Wellington Region		
12	West Coast Region		
13	Canterbury Region		
14	Otago Region		
15	Southland Region		
16	Tasman Region		
17	Nelson Region		
18	Marlborough Region		
81	Tokelau		New Zealand Realm Country
82	Niue		New Zealand Realm Country
83	Cook Islands		New Zealand Realm Country

Code	Description	Definition	Guide for Use
84	Antarctica		New Zealand Antarctic Institute
99	Area Outside Region		Area outside of New Zealand regions and identified NZ realm countries but still identified as belonging to New Zealand

Note: This code set is based on the Statistics New Zealand Classification of Regional Councils 1998. It is augmented with countries part of the Realm of New Zealand and Antarctica.

Code Set | Centre of Research Excellence Theme

These codes are used by:

- [6.g Award Granted | Public Sector Research Alignment](#)
- [8.e Project | Public Sector Research Alignment](#)

Code	Description	Definition	Guide for Use
0101	Anticipating contemporary evolution in biosecurity threats and classical biocontrol systems	CoRE: Bio Protection Research Centre	
0102	Pathogen virulence and plant defence	CoRE: Bio Protection Research Centre	
0103	Enhancing microbial-based biological control	CoRE: Bio Protection Research Centre	
0104	Achieving protection in complex and dynamic systems	CoRE: Bio Protection Research Centre	
0201	Neurodiscovery and disease mechanisms	CoRE: Brain Research New Zealand	
0202	Neurobiomarkers and disease indicators	CoRE: Brain Research New Zealand	
0203	Harnessing and directing neuroplasticity	CoRE: Brain Research New Zealand	
0204	Prevention, intervention and delay	CoRE: Brain Research New Zealand	

Code	Description	Definition	Guide for Use
0301	Photonic sensing and imaging	CoRE: The Dodd Walls Centre for Photonic and Quantum Technologies	
0302	Photonic sources and components	CoRE: The Dodd Walls Centre for Photonic and Quantum Technologies	
0303	Quantum fluids and gases	CoRE: The Dodd Walls Centre for Photonic and Quantum Technologies	
0304	Quantum manipulation and information	CoRE: The Dodd Walls Centre for Photonic and Quantum Technologies	
0401	Materials for high-value technologies	CoRE: The MacDiarmid Institute for Advanced Materials and Nanotechnology	
0402	Materials for energy capture and utilisation	CoRE: The MacDiarmid Institute for Advanced Materials and Nanotechnology	
0403	Functional nanostructures	CoRE: The MacDiarmid Institute for Advanced Materials and Nanotechnology	
0501	Diabetes and metabolic disease	CoRE: Maurice Wilkins Centre for Molecular Biodiscovery	
0502	Infectious disease	CoRE: Maurice Wilkins Centre for Molecular Biodiscovery	
0503	Integrative technologies	CoRE: Maurice Wilkins Centre for Molecular Biodiscovery	
0601	Diagnostics and therapeutics	CoRE: Medical Technologies Centre of Research Excellence	
0602	Interventional technologies	CoRE: Medical Technologies Centre of Research	

Code	Description	Definition	Guide for Use
		Excellence	
0603	Assistive technologies	CoRE: Medical Technologies Centre of Research Excellence	
0604	Telehealth and health informatics	CoRE: Medical Technologies Centre of Research Excellence	
0605	Tissue engineering for regenerative medicine	CoRE: Medical Technologies Centre of Research Excellence	
0701	Whai rawa - Research for Māori economies	CoRE: Ngā Pae o te Māramatanga	
0702	Te tai ao - Natural Environment	CoRE: Ngā Pae o te Māramatanga	
0703	Mauri ora (human flourishing)	CoRE: Ngā Pae o te Māramatanga	
0801	Seismic demands and consequent geohazards	CoRE: QuakeCoRE	
0802	Infrastructure component modelling	CoRE: QuakeCoRE	
0803	Infrastructure network interactions, interdependencies and socio-economic impact	CoRE: QuakeCoRE	
0804	Novel technologies, design philosophies, and decision-support tools	CoRE: QuakeCoRE	
0901	Food materials and structures	CoRE: Riddet Institute	
0902	Gastrointestinal interactions	CoRE: Riddet Institute	
0903	Metabolism and nutrition	CoRE: Riddet Institute	
0904	Structuring foods for optimal functionality and health	CoRE: Riddet Institute	
1001	Complex data analytics	CoRE: Te Pūnaha Matatini - Complex Changes	
1002	Complex economic and social systems	CoRE: Te Pūnaha Matatini - Complex Changes	

Code	Description	Definition	Guide for Use
1003	Complexity and the biosphere	CoRE: Te Pūnaha Matatini - Complex Changes	

Code Set | Constraint Type

These codes are used by:

- [2.c Planned Distribution | Constraints](#)
- [6.c.a Award Granted | Allocated Resource | Constraints](#)
- [9.c.a Award Received | Allocated Resource | Constraints](#)

Code	Description	Definition	Guide for Use
01	Match Funding	Funding must be matched by award(s) from another source	
02	Real Costs Only	Only payable for costs directly incurred	
03	Research Only	Cannot be used for administrative purposes	
04	No Capital Purchases	Cannot be used for capital investment	
05	Salary Only	Can only be used for salaries	
06	No Salary for Non-NZ Based Investigators	Can only be used for salaries for NZ based staff	
07	Infrastructure Only	Can only be used for infrastructure purchase or maintenance	
08	Restricted infrastructure use	Only a limited proportion (<5%) can be used for infrastructure purchase or maintenance	
09	Non RS&I Only	Cannot be used for RS&I activity	Organisations granting awards of which only a proportion is for RS&I can specify the resource(s) which will not be used for RS&I

Code	Description	Definition	Guide for Use
10	Flexible	May be used for RS&I activity, or for non RS&I activity	Organisations granting awards of which only a proportion is for RS&I can specify the resource(s) which may or may not be used for RS&I
99	Other		

Code Set | Distribution Basis

These codes are used by:

- [7 Resource Distributed](#)
- [10 Resource Received](#)

Code	Description	Definition	Guide for Use
01	Open Access	Disbursement is made on request	This will be upon invoice for financial resources, on request for non-financial resources
02	Milestone	Disbursements are made when agreed milestones are achieved	A milestone may be a date, or a state or another pre-agreed criterion
03	Completion	Disbursement is made when the project is completed	
04	Actual Costs	Disbursement is made upon receipt of confirmation of actual costs realised (up to the limit of the award)	
05	Other	Another method is used	

Code Set | Distribution Period Type

These codes are used by [2.a Planned Distribution | Distribution Period](#).

Code	Description	Definition	Guide for Use
CA	Call for Applications	The timeframe within which the call for applications is made	
IA	Initial Application	The timeframe within which an initial application for resources must be made	
DA	Detailed Application	The timeframe within which a detailed application for resources must be made	
RE	Review	The timeframe within which application reviews will be completed	
DE	Decision	The timeframe within which award decisions are made	
AP	Award Publication	The timeframe within which awards granted are notified	
DS	Distribution	The timeframe within which the resources granted will be distributed	
ED	Extended Distribution	The timeframe within which any potential extensions to awards will be distributed	
OT	Other	A timeframe for another important activity in the distribution of resources not specified in this code set	

Code Set | Health Research Council Theme

These codes are used by:

- [6.g Award Granted | Public Sector Research Alignment](#)
- [8.e Project | Public Sector Research Alignment](#)

Code	Description	Definition	Guide for Use
HWNZ	Health and Wellbeing in New Zealand	Keeping populations healthy and independent throughout life	
IOACC	Improving Outcomes for Acute and Chronic Conditions in New Zealand	Improving outcomes for people with illness or injury	
NZHD	New Zealand Health Delivery	Improving health and disability service delivery outcomes over the short-to-medium term	
RHM	Rangahau Hauora Māori	Supporting Māori health research that upholds rangatiratanga and uses and advances Māori knowledge, resources and people	

Code Set | National Science Challenge Theme

These codes are used by:

- [6.g Award Granted | Public Sector Research Alignment](#)
- [8.e Project | Public Sector Research Alignment](#)

Code	Description	Definition	Guide for Use
00101	Obesity	NSC: A Better Start	
00102	Literacy	NSC: A Better Start	

Code	Description	Definition	Guide for Use
00103	Big Data	NSC: A Better Start	
00104	Youth Mental Health	NSC: A Better Start	
00105	Māori Research	NSC: A Better Start	
00201	Enabling independence and autonomy	NSC: Ageing Well	
00202	Ensuring a meaningful life through social integration and engagement	NSC: Ageing Well	
00203	Recognising at a societal level the value of ongoing contributions of knowledge and experience of older people	NSC: Ageing Well	
00204	Reducing disability	NSC: Ageing Well	
00205	Developing age-friendly environments	NSC: Ageing Well	
00301	Transforming Homes, Towns and Cities	NSC: Building Better Homes, Towns and Cities	
00302	Next Generation Information for Better Outcomes	NSC: Building Better Homes, Towns and Cities	
00303	Supporting Success in Regional Settlements	NSC: Building Better Homes, Towns and Cities	
00304	Shaping Places Future Neighbourhoods	NSC: Building Better Homes, Towns and Cities	
00305	Evolving to Enhance Mauri	NSC: Building Better Homes, Towns and Cities	
00306	Transforming the Building Industry	NSC: Building Better Homes, Towns and Cities	
00401	Cancer	NSC: Healthier Lives	
00402	Cardiovascular disease	NSC: Healthier Lives	
00403	Diabetes	NSC: Healthier Lives	
00404	Obesity	NSC: Healthier Lives	
00501	Metabolic health	NSC: High Value Nutrition	

Code	Description	Definition	Guide for Use
00502	Gastrointestinal health	NSC: High Value Nutrition	
00503	Immune health	NSC: High Value Nutrition	
00504	Weaning foods for health	NSC: High Value Nutrition	
00601	Real-time biological heritage assessment	NSC: New Zealand's Biological Heritage	
00602	Reducing risks and threats across landscapes	NSC: New Zealand's Biological Heritage	
00603	Enhancing and restoring resilient ecosystems	NSC: New Zealand's Biological Heritage	
00701	Greater value in global markets	NSC: Our Land and Water	
00702	Innovative, resilient land and water use	NSC: Our Land and Water	
00703	Collaborative capacity	NSC: Our Land and Water	
00704	Operating at the nexus	NSC: Our Land and Water	
00801	Rural	NSC: Resilience to Nature's Challenges	
00802	Urban	NSC: Resilience to Nature's Challenges	
00803	Edge	NSC: Resilience to Nature's Challenges	
00804	Mātauranga Māori	NSC: Resilience to Nature's Challenges	
00805	Governance	NSC: Resilience to Nature's Challenges	
00806	Infrastructure	NSC: Resilience to Nature's Challenges	
00807	Economics	NSC: Resilience to Nature's Challenges	
00808	Culture	NSC: Resilience to Nature's Challenges	
00809	Hazard	NSC: Resilience to Nature's Challenges	

Code	Description	Definition	Guide for Use
00810	Trajectories	NSC: Resilience to Nature's Challenges	
00901	Vision Mātauranga	NSC: Science for Technological Innovation	
00902	Materials, Manufacturing and Design	NSC: Science for Technological Innovation	
00903	Sensors, Robotics and Automation	NSC: Science for Technological Innovation	
00904	IT Data Analytics and Modelling	NSC: Science for Technological Innovation	
01001	Our seas	NSC: Sustainable Seas	
01002	Valuable seas	NSC: Sustainable Seas	
01003	Tangaroa	NSC: Sustainable Seas	
01004	Dynamic seas	NSC: Sustainable Seas	
01005	Managed seas	NSC: Sustainable Seas	
01006	Vision Mātauranga	NSC: Sustainable Seas	
01101	Engagement	NSC: The Deep South	
01102	Vision Mātauranga	NSC: The Deep South	
01103	Impacts and implications	NSC: The Deep South	
01104	Earth system modelling and prediction	NSC: The Deep South	
01105	Processes and observations	NSC: The Deep South	

Code Set | Organisation Identifier Type

These codes are used by:

- [1.c Asset Pool | Other Resource](#)
- [3 Application](#)
- [4 Application Review](#)
- [6.a Award Granted | Award Organisation](#)
- [7 Resource Distributed](#)
- [9.a Award Received | Organisation](#)
- [10 Resource Received](#)
- [12.e Person | Professional Bodies](#)
- [12.f Person | Organisation Affiliation](#)
- [13 Organisation](#)
- [13.a Organisation | Organisation Identifier](#)
- [13.b Organisation | Contributing Organisation](#)
- [14.b Group | Group Identifier](#)

Code	Description	Definition	Guide for Use
01	Local	A unique, persistent identifier used by the submitting organisation	
02	NZBN	New Zealand Business Number	In 2017, all businesses in New Zealand will be able to have NZBNs. This includes State sector entities, incorporated societies, charitable trusts, limited partnerships and unincorporated entities such as sole traders. See https://www.nzbn.govt.nz
03	ABN	Australian Business Number	
04	EBN	European Business Number	
05	RN	US Registered Number	
06	Ringgold	Ringgold identifier for organisations in the publishing industry supply chain	
07	ROR	Research Organization Registry	
08	GRID	Global Research Identifier Database	

Code	Description	Definition	Guide for Use
99	Other Identifier	An identifier not otherwise identified	

Code Set | Organisation Name Type

These codes are used by:

- [1.a Asset Pool Name](#)
- [13.c Organisation | Organisation Name](#)
- [14.a Group | Group Name](#)

Code	Description	Definition	Guide for Use
01	Legal Name	A legal name for the organisation	
02	Known As	A name commonly used for the organisation	
03	Māori Name	A name for the organisation in te reo Māori	
04	Short Name	An abbreviated name for the organisation, to be used in reporting	
05	Trading As	A name used by the organisation in the day to day execution of their business	
06	Country or Region of Origin Name	A name used by the organisation in their country of origin	

Code Set | Organisation Project Role

These codes are used by:

- [6.a Award Granted | Award Organisation](#)
- [9.a Award Received | Award Organisation](#)

Code	Description	Definition	Guide for Use
01	Administrator	The organisation administering allocation of resources	
02	Research Office	The organisation providing research office services for the project	
03	Lead Organisation	Lead organisation identified in project documentation	
04	Sub-recipient	Organisation participating in research and innovation, receiving funding and/or resourcing from the lead organisation	
05	Contracted Service Provider	Organisation or entity contracted to provide a particular service to lead or sub-recipient, but not an active participant in the research and innovation project	
06	End User Collaborator	An organisation involved in the project which may also benefit from project outputs.	
07	Host	Organisation providing a work environment (physical and/or virtual) for part or all of the project	
08	Project Admin	The organisation with responsibility for administration of the project	
99	Other	Other, not elsewhere specified	

Code Set | Organisation Type

These codes are used by:

- [1.c Asset Pool | Other Resource](#)
- [13 Organisation](#)

Code	Description	Definition	Guide for Use
Domestic			
<i>A: State Sector</i>			
DA01	Government department, non-public service department, office of Parliament and RBNZ	Public service departments, non-public service departments, offices of Parliament and the Reserve Bank of NZ. State Sector Act 1988	Examples: MBIE, Department of Conservation (DoC), Ministry for Primary Industries (MPI), New Zealand Defence Force (NZDF), NZ Police, Parliamentary Commissioner for the Environment
DA02	Crown Entity: Higher Education	<p>This category includes:</p> <ul style="list-style-type: none"> • Tertiary Education Institution, • University • Polytechnic or Institute of Technology • Wānanga <p>A tertiary education organisation is a tertiary education provider, an industry training organisation, or a person or body that provides tertiary education-related services in accordance with the Education Act 1989</p> <p>A university is characterised by a wide diversity of teaching and research, especially at a higher level, that maintains, advances, disseminates, and assists the application of, knowledge, develops intellectual independence, and promotes community learning.</p>	<p>Examples :</p> <p>Lincoln University, University of Auckland, University of Otago, Victoria University of Wellington</p> <p>Ara Institute of Canterbury, Eastern Institute of Technology, Manukau Institute of Technology, Nelson Marlborough Institute of Technology, Waikato Institute of Technology</p> <p>Te Wānanga o Aotearoa, Te Wānanga of Raukawa, Te Whare Wānanga o Awanuiārangi</p>

Code	Description	Definition	Guide for Use
		<p>A University has the following characteristics:</p> <ul style="list-style-type: none"> • is primarily concerned with more advanced learning, the principal aim being to develop intellectual independence • research and teaching are closely interdependent and most teaching is done by people who are active in advancing knowledge • meets international standards of research and teaching - is a repository of knowledge and expertise • accepts a role as critic and conscience of society. <p>Section 162(4) of the Education Act 1989</p> <p>A polytechnic is characterised by a wide diversity of continuing education, including vocational training, that contributes to the maintenance, advancement, and dissemination of knowledge and expertise and promotes community learning, and by research, particularly applied and technological research, that aids development. [note Act only mentions “polytechnic”]</p> <p>A wānanga is characterised by teaching and research that maintains, advances, and disseminates knowledge and develops intellectual independence, and assists the application of knowledge regarding ahuatanga Māori (Māori tradition) according to tikanga Māori (Māori custom)</p>	
DA03	Crown Research	<p>This category covers all of the crown entities that are not listed under Crown Entities: Higher Education category.</p> <ul style="list-style-type: none"> • Crown Research Institute • District health board • Callaghan Innovation • Crown entity not elsewhere classified 	<p>Examples:</p> <p>AgResearch, GNS Science, Landcare Research, Plant and Food Research, Auckland DHB, Capital and Coast DHB, Callahan Innovation, Accident Compensation Corporation (ACC), Energy Efficiency and Conservation Authority (EECA), Tertiary Education Commission (TEC),</p>

Code	Description	Definition	Guide for Use
		<p>A Crown Research Institute is a Crown-owned company that carries out scientific research for the benefit of New Zealand, established under the Crown Research Institute Act 1992</p> <p>A district health board as defined in Section 5(3) of the Public Health and Disability Act 2000. Includes the public hospitals owned and funded by district health boards</p>	New Zealand Productivity Commission
DA04	State-owned enterprise		<p>Examples:</p> <p>Meteorological Service of NZ, Transpower</p>
DA05	Public Finance Act Schedule 4/4A Organisation and Company		<p>Examples:</p> <p>Agricultural and Marketing R&D Trust, Pacific Island Business Development Trust, Te Ariki Trust, REANNZ</p>
DA06	Secondary school	<p>A secondary school is one which is established under section 146 of the Education Act 1989, as a secondary school</p> <p>This includes private, partnership and state funded schools</p>	<p>Examples:</p> <p>Wellington College, Hato Petera College, Diocesan School for Girls, Pacific Advance Senior School</p>
DA07	Primary school	<p>A primary school is one which is established under section 146 of the Education Act 1989, as a primary school or an intermediate school</p> <p>This includes private, partnership and state funded schools</p>	<p>Examples:</p> <p>South Hornby School, Te Kura Kaupapa Maori o Te Kotuku, Evans Bay Intermediate School (EBIS), South Auckland Middle School, St Mark's Church School</p>
<i>B: Local Authority</i>			
DB01	Regional Council	<p>A regional council is one type of local authority. Local Government Act 2002. Unitary bodies (e.g. Nelson, Tasman and Marlborough) should be considered Regional Councils</p>	<p>Examples:</p> <p>Bay of Plenty Regional Council, Canterbury Regional Council, Manawatu-Wanganui Regional Council, Southland Regional Council</p>
DB02	Territorial Authority	<p>A territorial authority is a type of local authority. It can be either a</p>	<p>Examples:</p>

Code	Description	Definition	Guide for Use
		city or district council. Local Government Act 2002. Unitary bodies (e.g. Nelson, Tasman and Marlborough) should be considered Regional Councils	Carterton District Council, Kapiti Coast District Council, South Wairarapa District Council, Tauranga City Council, Wellington City Council
DB03	Council-controlled trading organisations	Also called Council-controlled organisations and previously Local Authority Trading Enterprise (LATE). Any company with a majority council shareholding, or a trust or similar organisation with a majority of council-controlled votes or council-appointed trustees, unless designated otherwise	Examples: Auckland Transport, Wellington Zoo, Christchurch City Holdings
<i>C: Mixed Ownership</i>			
DC01	Mixed Ownership		Examples: Genesis Energy, Meridian Energy, Mighty River Power
<i>D: Private Sector</i>			
DD01	For Profit Entity	<p>This category includes:</p> <ul style="list-style-type: none"> • For profit entity, • Individual Proprietorship • Partnership • Registered LLC (non Co-op) • Co-operative Companies • Joint Ventures and Consortia • Branches of Companies Incorporated Overseas 	<p>Examples:</p> <p>Fonterra, Fisher and Paykel Healthcare, Wool Industry Research Limited, Aqualinc Research Limited, CRL Energy Limited, Lincoln Agritech Limited</p> <p>New Zealand branches of overseas businesses</p>
DD02	Non-for-profit organisation	<p>This category includes:</p> <ul style="list-style-type: none"> • Trusts/Estates (e.g. Charitable Trust) • Industry associations, • Incorporated societies • Unincorporated societies 	<p>Examples:</p> <p>Cawthron Institute, Malaghan Institute of Medical Research, Medical Research Institute of New Zealand, Motu, DairyNZ, New Zealand Leather and Shoe Research Association (LASRA), BRANZ Incorporated</p>

Code	Description	Definition	Guide for Use
		<ul style="list-style-type: none"> Private Higher Education 	Institutes of higher education (e.g. specialist colleges and private training establishments). Note that these may be for profit or not for profit
DE01	Other Domestic Organisations		
International			
IF01	State/Government/Local Authority	Any government, state entity or local authority of another country	Examples: London School of Economics, Australian Research Council (ARC)
IG01	For profit organisation	<p>International for-profit organisations that are not located in New Zealand including:</p> <ul style="list-style-type: none"> For profit entity, Individual Proprietorship Partnership Registered LLC (non Co-op) o-operative Companies Joint Ventures and Consortia <p>and excluding overseas branches of New Zealand Companies</p>	Examples: Dow, Pfizer, Asian Development Fund (ADF)
IG02	Non-for-profit organisation	<p>International non-for-profit organisations that are not located in New Zealand including:</p> <ul style="list-style-type: none"> Trusts/Estates (e.g. Charitable Trust) Industry associations, Incorporated societies Unincorporated societies Private Higher Education 	Examples : Global Environment Facility, The Carnegie Endowment for International Peace, Bond University

Code Set | Output Identifier Type

These codes are used by [11.b Output | Output Identifiers](#).

Code	Name	Definition	Guide for Use
100	O_ISBN10	A unique numeric commercial book identifier, issued prior to 2007	
200	O_ISBN13	A unique numeric commercial book identifier, issued from 2007 onwards	
300	O_DOI	A unique alphanumeric string assigned to identify content and provide a persistent link to its location on the internet	
400	O_URL	An address to the location of the output on the internet	
500	O_ISSN	A serial number used to uniquely identify a serial print publication	
600	O_EISSN	A serial number used to uniquely identify a serial electronic publication	
700	O_PII	A unique identifier used by some scientific journals to identify documents	
999	Output identifier not available	Output identifier not available	

Code Set | Person Career Stage

These codes are used by [12.b Person | Research Career Stage](#).

Code	Description	Definition	Guide for Use
R1	First Stage Researcher	A First Stage Researcher conducts research under supervision. This may include PhD and research masters students	
R2	Emerging Researcher	An Emerging Researcher has made a contribution through original research by developing a substantial body of work, innovation or application which may merit national or internationally refereed publications, patents, and papers at conferences and congresses	
R3	Established Researcher	An Established Researcher identifies research problems and opportunities within their area of expertise, conducts research independently which advances a research agenda, can form research consortia, and secure research funding/budgets from funding agencies or industry, publishes papers as lead author, acts as a mentor for other researchers	
R4	Leading Researcher	A Leading Researcher has an international reputation based on research excellence in their field and a proven record of securing significant research funding. This researcher is a professional development role model for others. They focus on long term team planning and career paths for researchers, securing funding for team positions	
R9	Not Applicable	Non-Researchers	

Code Set | Person Identifier Type

These codes are used by:

- [1.c Asset Pool | Other Resource](#)
- [3 Application](#)
- [3.a Application | Proposed Personnel](#)
- [4.a Application Review | Reviewers](#)
- [5.a Application Decision | Decision-Makers](#)
- [6. Award Granted](#)
- [6.b Award Granted | Agreed Personnel](#)
- [7 Resource Distributed](#)
- [8.f Project | Project Personnel](#)
- [9 Award Received](#)
- [9.b Award Received | Agreed Personnel](#)
- [10 Resource Received](#)
- [11.a Output | Contributor](#)
- [12.a Person | Sector Person Identifier](#)

Code	Description	Definition	Guide for Use
01	Local	A unique, persistent identifier used by the submitting organisation	
02	ORCID ID	Open Researcher and Contributor ID	
03	ISNI	International Standard Name Identifier	
04	SCOPUS	SCOPUS individual identifier	
05	ResearcherID	ResearcherID individual identifier	
99	Other Identifier	An identifier not otherwise identified	

Code Set | Personnel (Project) Role

This code set is to specify a person's role in the project and does not reflect their title. Career stage code set will be used to identify whether a person is for instance a Master's or a PhD student or a Professor.

These codes are used by:

- [3.a Application | Proposed Personnel](#)
- [6.b Award Granted | Agreed Personnel](#)
- [8.f Project | Project Personnel](#)
- [9.b Award Received | Agreed Personnel](#)

Code	Description	Definition	Guide for Use
R1	Lead Contributor	The contributor with overall responsibility for delivering the project. For R&D project, this refers to the Principal Investigator or Lead Scientist	
R2	Other Named Contributors	A named contributor listed in the application and involved in the project, whose expertise is critical to the success of the project	
R3	Other Contributors	Remaining team members (contributing to the project) not listed anywhere else (Master's, PhD students, Interns, etc.)	
S0	Supporting Staff	Supporting staff includes skilled and unskilled craftsmen, and administrative, secretarial and clerical staff participating in or directly associated with the project	
T0	Technician	A technician is a person whose main tasks require technical knowledge and experience in one or more fields of engineering, the physical and life sciences, or the social sciences, humanities and the arts	
C0	Collaborator	A persons collaborating with the project team to contribute to objectives setting, provide an end user perspective, or disseminate/apply knowledge resulting from the findings of the project	

Code Set | Project Type

Classification of projects into type is made on the basis of the intent and objectives of the project. The project's activities, not expected outputs, determine the type(s) used.

These codes are used by [8.a Project | Project Type Utilisation](#).

Code	Description	Definition	Guide for Use
RD	Frascati R&D	<p>Creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society.</p> <p>Source: Frascati Manual</p>	<p>Note that all R&D activities are innovation activities For an activity to be an R&D activity it must satisfy the five core criteria listed below:</p> <ul style="list-style-type: none"> • Novel: To be aimed at new findings • Creative: To be based on original, not obvious concepts and hypotheses • Uncertain: To be uncertain about the final outcome • Systematic: To be planned and budgeted • Transferable and/or reproducible: To lead to results that could possibly be reproduced <p>R&D activities can occur across any scientific or research discipline, including the arts and humanities.</p> <p><i>Activities to be excluded:</i></p> <p>R&D must be distinguished from a wide range of related activities with a scientific and technological basis including:</p> <ul style="list-style-type: none"> • Scientific and technical information services (e.g. scientific and technical information, extension and advisory services). Include these in the scientific services and product category • Testing and standardisation (e.g. routine testing and analysis of materials, components, products, processes, soils, atmosphere etc.) <p>Include these in the scientific services and product category</p>

Code	Description	Definition	Guide for Use
			<ul style="list-style-type: none"> • Feasibility studies (e.g. investigation of proposed engineering projects using existing techniques to provide additional information before deciding on implementation) • Specialised health care (e.g. routine investigation and normal application of specialised medical knowledge) • Policy-related studies (e.g. analysis and assessment of the existing programmes, policies and operations of government departments and other institutions) • Knowledge transfer, outreach and extension activities (these have a separate category) <p>Artistic performances are normally excluded from R&D as they fail the novelty test of R&D. They are looking for a new expression, rather than for new knowledge. The reproducibility criterion also is not met.</p> <p>For a software development project to be classified as R&D, its completion must be dependent on a scientific and/or technological advance, and the aim of the project must be the systematic resolution of a scientific and/or technological uncertainty</p> <p>Include prototypes in R&D as long as the primary objective is to make further improvements. Only include industrial design if design is required during R&D. Include trial productions only if production implies full-scale testing and subsequent further design and engineering. Feasibility studies, policy-related studies and programmatic evaluations are not R&D</p>
IN	Non-Frascati R&D Innovation	Non-R&D activities aimed at the implementation of a new or significantly improved product (good or service), or process, a new marketing method, or a new organisational method. Definition based on the Oslo Manual 2005, but modified to reflect non-	Non-R&D innovation includes new concepts and technologies developed via marketing and relations with users, design and engineering capabilities and monitoring other organisations. Market research, process re-engineering, tooling up, manufacturing start-up are included in this category. Industrial design for production

Code	Description	Definition	Guide for Use
		business innovation	processes is also included in this category
SS	Scientific Services and Products	Activities based on a scientific process that do not meet the five criteria of R&D	<p>Includes 1. Monitoring and data management (regular and ongoing) – e.g. fish stocks, GeoNet, climate and atmospheric monitoring, Growing Up in New Zealand, the Dunedin Multidisciplinary Health and Development Study. 2. Curation of collections – e.g. plants, bacteria, fossils, marine invertebrates. 3. Laboratory analysis – e.g. water testing, forensic testing, GNS nuclear carbon dating. 4. Field surveys (on-demand) – e.g. Tangaroa fisheries trawl surveys, biosecurity surveillance, disease monitoring. 5. Expert advice and assessment (includes running existing models) – e.g. fish stock assessment modelling, species identification, expert witness/affidavits, membership of national and international panels/boards. 6. Selling of products e.g. sensors, forecasts, instruments, maps and charts</p> <p>Many scientific services and products are not classified as R&D because they do not meet the creative and uncertain criteria</p> <p>A project on devising new or substantially improved testing methods should be classified under R&D</p>
KT	Knowledge Transfer, Outreach and Extension	The diffusion, dissemination and application of knowledge, including through community engagement and outreach activities	<p>Many R&D projects have a knowledge transfer component which includes science communication to a broad audience. Some projects are specifically aimed at transferring knowledge to a specified set of users, a segment of society, or to society as a whole</p> <p>This project type includes community engagement and outreach activities, such as MBIE Curious Minds initiatives that do not seek to generate new knowledge, outreach to schools and university students, and projects aimed at enhancing the uptake of knowledge</p> <p>Exclude commercialisation activities</p>

Code	Description	Definition	Guide for Use
CM	Commercialisation	Activities involved in the process of taking an RS&I output to market	Includes activities aimed at intellectual property protection, such as patenting, licensing, trade secrets, design registrations
AD	Administration	Activities involved in the administration of the project	Only for use to identify resources used for administration of awards and projects
IF	Infrastructure	Activities involved in building or maintaining infrastructure	Infrastructure may be physical or virtual (e.g. research facility, research databases)

Code Set | Protection Pattern

These codes are used by [16.a Protection | Protection Required](#).

The headings within this table outline the purpose and application for each protection pattern.

PATT	Data Pattern Name	Protection Pattern	Expiry	Purpose and impact	Entity applied to	Fields excluded from view
01	Application Protection	Mandatory	No expiry	Information about an application is protected until the resources are confirmed as successful. This includes protecting applications which have had a decision other than a full or partial award.	Application Application Decision Organisation (if linked to application) Group (if linked to application) Person (if linked to application)	All application related data (including Application Review and Application Decision) All person data linked to the application All organisation data linked to the application All group data linked to the application
02	Application Review	Mandatory	No expiry	Information about the review of an application (including scores) is not available publically	Application Review Person (if linked to application) Organisation (if linked to application) Group (if linked to application)	All Application Review data All person data linked to the application review All organisation data linked to the application review All group data linked to the application review

PATT	Data Pattern Name	Protection Pattern	Expiry	Purpose and impact	Entity applied to	Fields excluded from view
03	Commercial Financial	Optional	Specific date expiry	Financial information is competitive until research is completed / released	Asset Pool Other Resource Application Award Granted Resource Distributed Award Received Resource Received	Asset Pool Other Resource Minimum Resource Quantity Asset Pool Other Resource Maximum Resource Quantity Asset Pool Other Resource Resource Value Application Minimum Resource Quantity Application Maximum Resource Quantity Application Resource Value Award Granted Allocated Resource Minimum Resource Quantity Award Granted Allocated Resource Maximum Resource Quantity Award Granted Allocated Resource Resource Value Resource Distributed Resource Actual Quantity Resource Distributed Resource Value Award Received Allocated Resource Minimum Resource Quantity Award Received Allocated Resource Maximum Resource Quantity Award Received Allocated Resource Resource Value Resource Received Resource Actual Quantity Resource Received Resource Value

PATT	Data Pattern Name	Protection Pattern	Expiry	Purpose and impact	Entity applied to	Fields excluded from view
04	Topic Identifiable	Optional	Specific date expiry	Topics that some members of the public might be antagonistic towards being researched.	Application Award Granted Project Award Received Output	Application Application Title Application Outcome Goal Application Proposal Title Award Granted Award Title Award Granted Award Description Project Project Title Project Project Description Project Keywords Award Received Award Title Award Received Award Description Output Output Title Output Output description Output Identifiers
05	Personal Identifiable	Default	Specific date expiry	Personally identifiable data is protected.	Person	Person Given Name Person Other Given Names Person Family Name Person Date of Birth Person Local Person ID Person Sector Person ID Person Data Owner ID Person Prior Local Person ID
06	Personal Demographic	Default	Specific date expiry	Information that is used to demographically categorise a person and their work is protected	Person	Person Gender Person Other Gender Information Person Ethnicity Person Iwi Affiliation
07	Personal Professional	Optional	Specific date expiry	Information that is used to professionally categorise a person and their work is protected.	Person	Person Career stage Person Academic Record Person Recognition Person Professional Bodies Person Organisational Affiliation

PATT	Data Pattern Name	Protection Pattern	Expiry	Purpose and impact	Entity applied to	Fields excluded from view
08	No Protection Needed	Optional	No expiry	Explicitly stating data is not sensitive	All entities	
09	Work In Progress Protection	Optional	Expire when update received from data provider	Information that needs protection, providers have some ideas what should be done	All entities	All fields
10	Unknown protection	Optional	Expire when update received from data provider	Information that needs protection but the specific patterns don't fit.	All entities	All fields

Code Set | Public Sector Financial Resource

This code set is available [here](#) (XLSX, 243KB). It has been developed from the information available on the [Treasury website](#). It includes information for the following elements:

- Appropriation
- Appropriation Period
- Vote
- Scope
- Estimate Type
- Start Year and End Year

These codes are used by [1.b Asset Pool | Public Sector Financial Resource](#).

Appropriation Period

The tables below outline definitions for Appropriation Period, part of [Code Set | Public Sector Financial Resource](#) (XLSX, 243KB).

Code	Description	Definition	Guide for Use
A	Annual	Annual appropriations are granted for one financial year from 1 July to 30 June and lapse at the end of the year	Most appropriations are annual appropriations. Annual appropriations are approved by Parliament through Appropriation Acts
M	Multi-Year	Multi-year appropriations (MYAs) give authority to Ministers to incur expenses and capital expenditure for a maximum of 5 financial years (s10(2) and (3) PFA 1989)	<p>Like annual appropriations, MYAs are specified in the Appropriation Act. However, unlike annual appropriations and permanent legislative authorities (PLAs), MYAs appear in their own table in the respective Estimates vote chapters (although they are included in the summary tables based on an estimate of annual expenditure).</p> <p>MYAs are generally used in situations where well defined and self-contained outputs or capital expenditure fall across two or more financial years but the timing of those outputs or capital expenditure between the years is uncertain</p>

Code	Description	Definition	Guide for Use
P	Permanent	Permanent legislative authorities (PLAs) (defined in s2 PFA 1989) are appropriations granted in Acts other than an Appropriation Act	<p>PLAs are generally provided in three particular circumstances. These are where:</p> <ul style="list-style-type: none"> • approval is needed for spending of a technical nature (for example, the departmental capital PLA and the GST PLA) • the government needs to give assurance about its ability to make payments (for example, debt repayments in Vote Finance), or • Parliament wishes to signal a commitment not to interfere in certain transactions (for example, the PLA in Vote Courts for salaries of the judiciary).

Appropriation Estimate Type

The tables below outline definitions for Appropriation Estimate Type, part of [Code Set | Public Sector Financial Resource](#) (XLSX, 243KB).

Code	Description	Definition	Guide for Use
E	Estimate	Parliamentary authority for individual appropriations from the Appropriation Estimates Bill	The amount estimated for the appropriation prior to the start of the financial year
S	Supplementary Estimate	Parliamentary authority for individual appropriations from the Appropriation Supplementary Estimates Bill	The updated amount estimated for the appropriation during the financial year
R	Financial Review	Parliamentary authority for individual appropriations from the Appropriation Financial Review Bill	The validated amount spent in the prior financial year which was not previously appropriated

Code Set | Public Sector Research Alignment

These codes are used by:

- [6.g Award Granted | Public Sector Research Alignment](#)
- [8.e Project | Public Sector Research Alignment](#)

Code	Description	Definition	Guide for Use
01	CoRE Theme	MBIE Centre of Research Excellence Theme	
02	NSC Theme	MBIE National Science Challenge Theme	
03	Health Research Theme	Health Research Council Health Research Theme	
04	MPI Theme	MPI Primary Industry Research Theme	
05	Vision Mātauranga Theme	MBIE Vision Mātauranga Research Theme	

Code Set | Resource Measure – Non-Currency

Note that in data collection, the value of the resource can be supplied; this value is denominated in NZD.

These codes are used by:

- [1.c Asset Pool | Other Resource](#)
- [2.b Planned Distribution | Resources to Distribute](#)
- [3.b Application | Requested Resource](#)
- [6.c Award Granted | Allocated Resource](#)
- [7 Resource Distributed](#)
- [9.c Award Received | Allocated Resource](#)
- [10 Resource Received](#)

Code	Description	Definition	Guide for Use
10	% of FTE	The proportion of an annual full time equivalent person	If a person is working part-time, convert their time to the proportion of an equivalent full time employee
21	Total Time (Years)	The number of years for which the resource will be available	
22	Total Time (Weeks)	The number of weeks for which the resource will be available	
99	Other	An unspecified unit for which a code set value is not available	

Code Set | Resource Type

These codes are used by:

- [1.c Asset Pool | Other Resource](#)
- [2.b Planned Distribution | Resources to Distribute](#)
- [3.b Application | Requested Resource](#)
- [6.c Award Granted | Allocated Resource](#)
- [7 Resource Distributed](#)
- [9.c Award Received | Allocated Resource](#)
- [10 Resource Received](#)

Code	Description	Definition	Guide for Use
D1	NZ Public Sector Financial Resource	Investment from government sources to assist in the delivery of a project that is supported by a primary award (based on European Commission Regulation (EU) No 1301/2013)	Examples include Primary Growth Partnership
D2	Other Financial Resource	Investment from non-government sources to assist in the delivery of a project that is supported by a primary award (based on European Commission Regulation (EU) No 1301/2013)	Examples include company R&D funds, philanthropic donations
I1	Infrastructure Resource	Non-FTE support contributed as access to infrastructure for the specific purposes of conducting the project	
I2	FTE Resource	FTE resources contributed as direct expenditure, but made available free of charge, to projects by a third party for the specific purpose of conducting the project that are not reimbursed by the funder award (based on Annex D Horizon 2020 – Work Programme 20162-17 p. 12 and Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013)	Refers to instances where an organisation agrees to contribute a specific and discrete allocation of time (FTE) of an individual involved in a specific project. An example is where a researcher may request 0.10 FTE of salary reimbursement from a funder and the host employer agrees to fund 0.10 FTE so that the researcher is effectively giving 0.20 FTE to

Code	Description	Definition	Guide for Use
			<p>the project</p> <p>Auditable records must be available to support the \$ values attributed to this code</p>
I3	Other Resource	Non-FTE support contributed as direct expenditure, but made available free of charge, to projects by a third party for the specific purpose of conducting the project that are not reimbursed by the funder award (based on US Office of Management and Budget Federal Acquisition Regulations FAR Part 31.2)	<p>Examples include:</p> <ul style="list-style-type: none"> • supply of data and materials, such as where a company provides drugs free of charge for use in a research project • where an organisation might provide space and/or facilities • the transfer of Māori expertise or cultural knowledge • research scholarships and internships <p>Auditable records must be available to support the \$ values attributed to this code</p>

Code Set | Review Method

These codes are used by [4 Application Review](#).

Code	Description	Definition	Guide for Use
01	Individual Review	A single reviewer will assess the application and make a recommendation	
02	Group Review	Multiple reviewers will assess the application and make a recommendations, which will be moderated to achieve a group recommendation	
03	Validate Against Criteria	The application will be assessed against fixed criteria for allocation of resources	
99	Other	A review method not otherwise specified in this code set	

Code Set | Review Outcome

These codes are used by [4 Application Review](#).

Code	Description	Definition	Guide for Use
01	Full Award	Recommend Allocation of all requested resources	
02	Partial Award	Recommend Allocation of some requested resources	
03	Request Detailed Application	Recommend a detailed application be submitted	
04	Request Additional Information	Request additional information to inform another review	
05	Decline	Recommend no resources be allocated	
99	Other	A decision not otherwise specified in this code set	

Code Set | Status

These codes are used by:

- [6 Award Granted](#)
- [8 Project](#)
- [9 Award Received](#)

Code	Description	Definition	Guide for Use
01	Active	The award or project is proceeding	
02	On Hold	The award or project is inactive for a specific time-bound reason (e.g. lead researcher not available)	
03	Completed	The award or project has been completed in full and has been closed	
04	Partially Completed	The award or project has been partially completed and has been closed	
05	Cancelled	The award or project has been closed prior to any work being done	

Code Set | TEC Output Type

These codes are used by [11 Output](#).

Code	Description	Definition	Guide for Use
100	Authored Book	For definitions, see the Tertiary Education Commission (TEC) guidelines for the Performance Based Research Fund (PBRF). 2018 Guidelines are available as at 8 April 2019 on the TEC website (descriptions of output types begin on page 48).	
110	Chapter in Book		
120	Conference Contribution – Other		
130	Conference Contribution – Published		
140	Creative Work		

Code	Description	Definition	Guide for Use
150	Discussion / Working Paper		
160	Edited Volume		
170	Intellectual Property		
180	Journal Article		
190	Oral Presentation		
200	Other Form of Assessable Output		
210	Report		
220	Scholarly Edition / Literary Translation		
230	Software		
240	Thesis		

Code Set | Vision Mātauranga Theme

These codes are used by:

- [6.g Award Granted | Public Sector Research Alignment](#)
- [8.e Project | Public Sector Research Alignment](#)

Code	Description	Definition	Guide for Use
I	Indigenous Innovation	Contributing to Economic Growth through Distinctive R&D	
T	Taiao	Achieving environmental sustainability through Iwi and Hāpu relationships with land and sea	
H	Hauora / Oranga	Improving Health and Social Wellbeing	

Code	Description	Definition	Guide for Use
M	Mātauranga	Exploring indigenous knowledge and RS&T	

Appendix A: Illustrated Funding Scenario – Endeavour Fund

The model below shows a view of the allocation of resources from the Endeavour Fund to a variety of projects, one of which also receives an award from another (non-NZ RIS) asset pool, and another project subcontracts some of the RS&I activity to be performed by their project. A variety of outputs are produced, some directly resulting from a single project, others as a result of multiple projects.

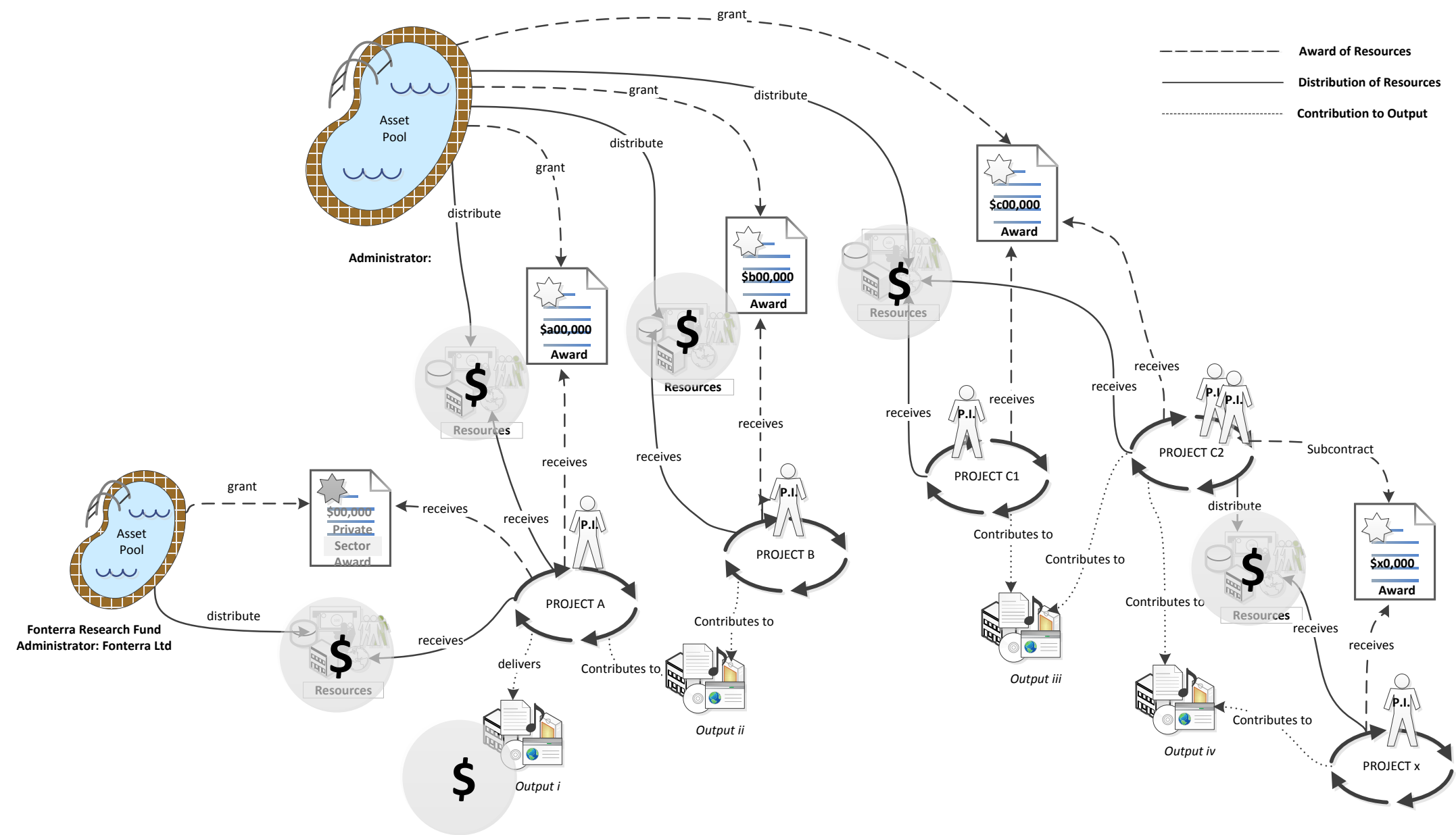


Figure 3: Illustrated Funding Scenario - Endeavour Fund

In order to build this picture, the Endeavour Fund and the funded projects need to supply information to NZRIS.

The diagrams on the following pages explore this in more detail.

Asset Pool Data

The Endeavour Fund needs to supply information about the awards that have been granted, and the resources which have been distributed.

The Fund may also supply information about the applications received for resources, and the decisions made when reviewing those applications.

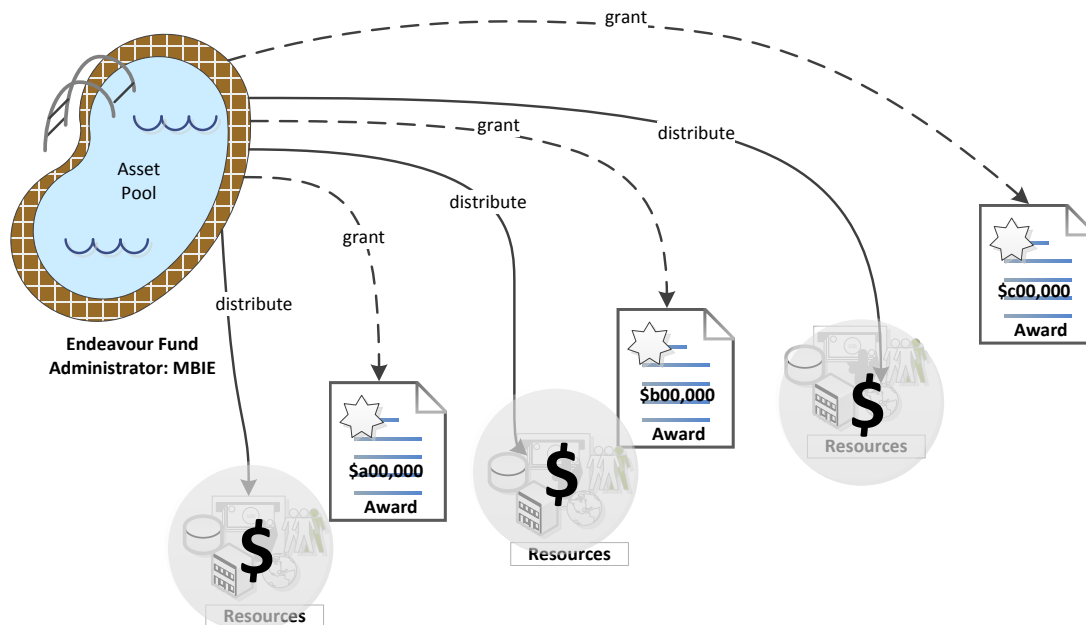


Figure 4: Illustrated Funding Scenario - Endeavour Fund: Asset Pool Data

Note: In some cases, asset pools will award resources to another asset pool, rather than a project (“devolving” resources) and that asset pool will then award resources to a project.

Project A Data

Project A needs to supply information about the project, the award the project has received from the Endeavour Fund, the resources received, and the related outputs produced. Project A may also in future supply information about the award from the Fonterra Research Fund (see main diagram Figure 3).

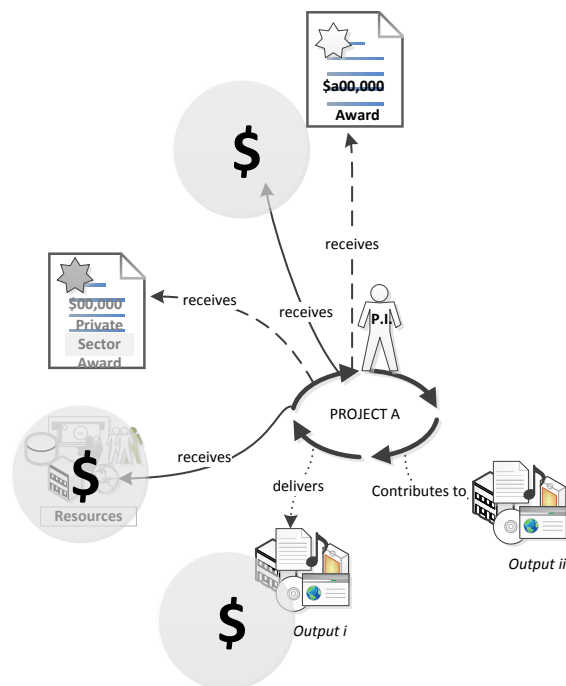


Figure 5: Illustrated Funding Scenario - Endeavour Fund: Project A Data

Project B, C1, and X Data

Project B, C1 and X need to supply information about the project, the award the project has received, the resources the project has received, and the related outputs produced.

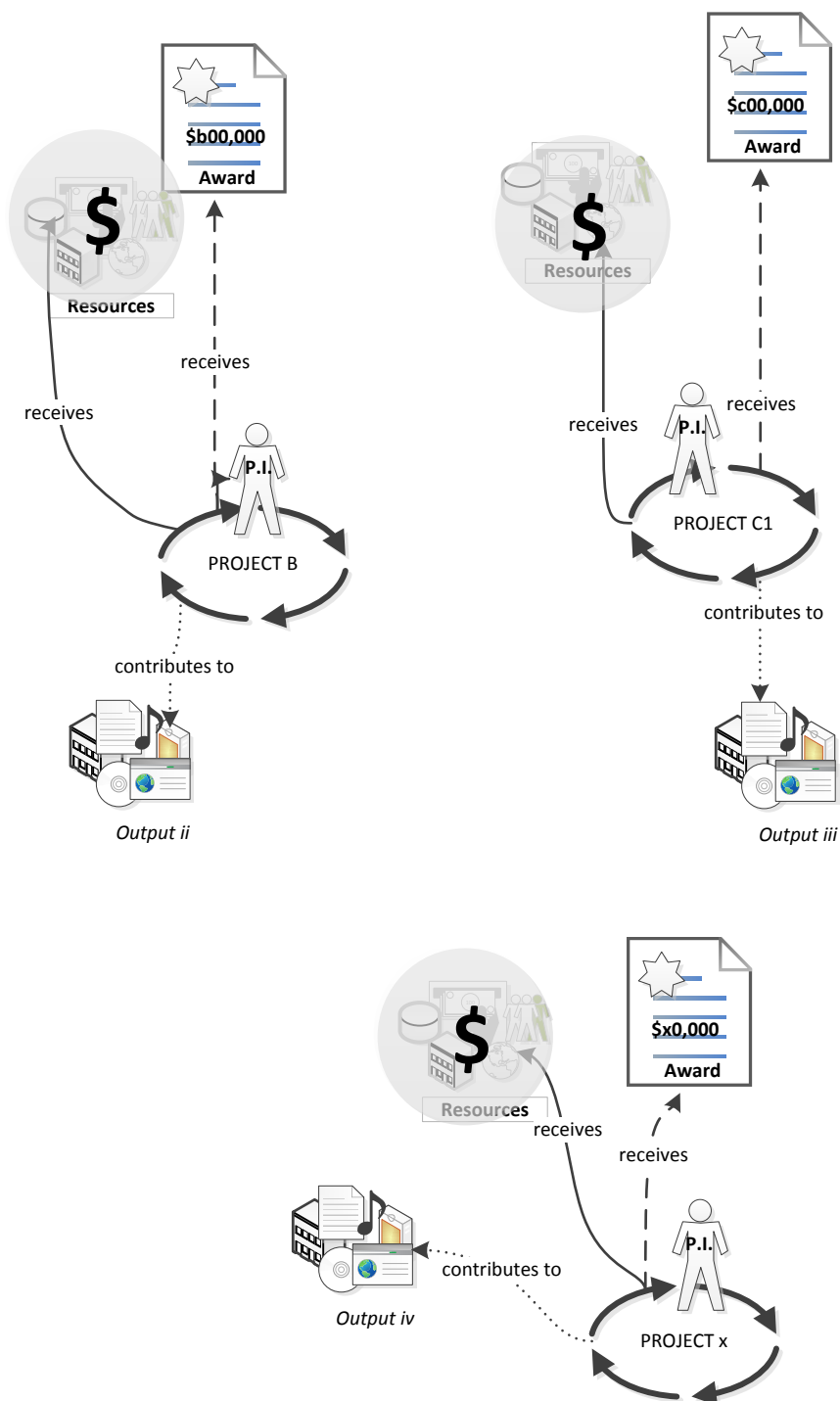


Figure 6: Illustrated Funding Scenario - Endeavour Fund: Project B, C1 and X Data

Project C2 Data

Project C2 needs to supply information about the project, the award the project has received and made (the subcontract issued), the resources received and distributed, and the related outputs produced.

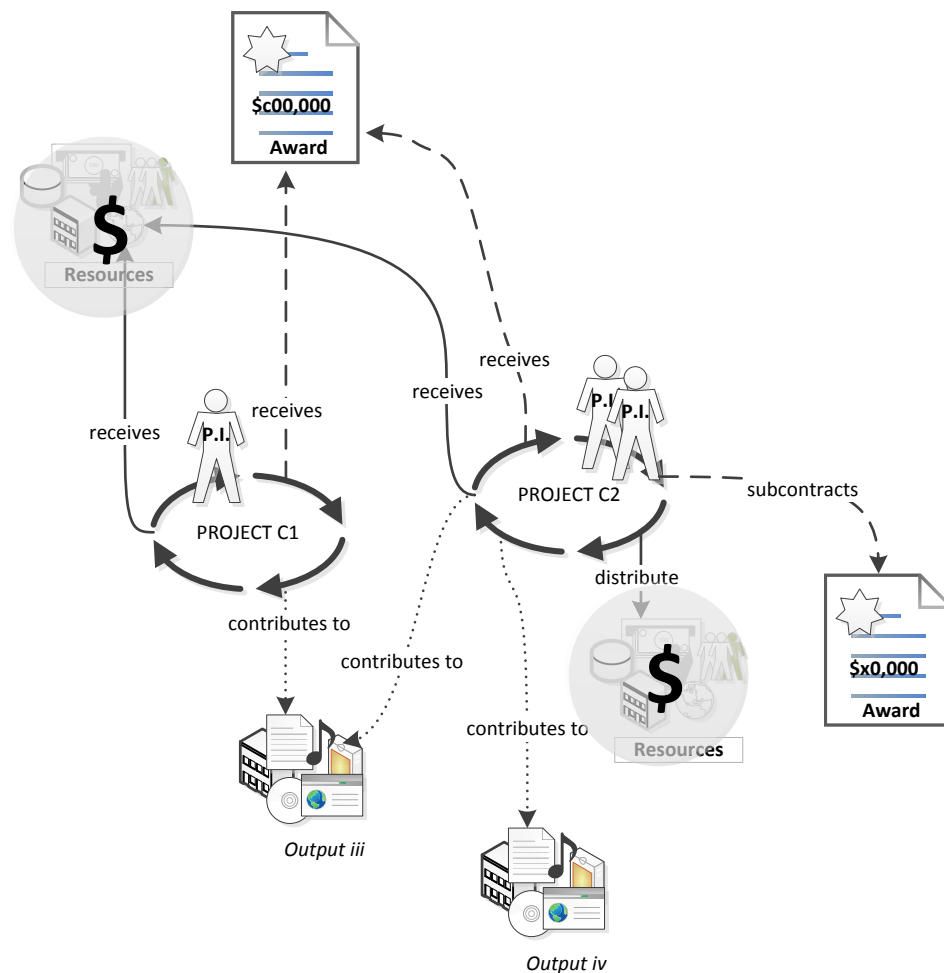
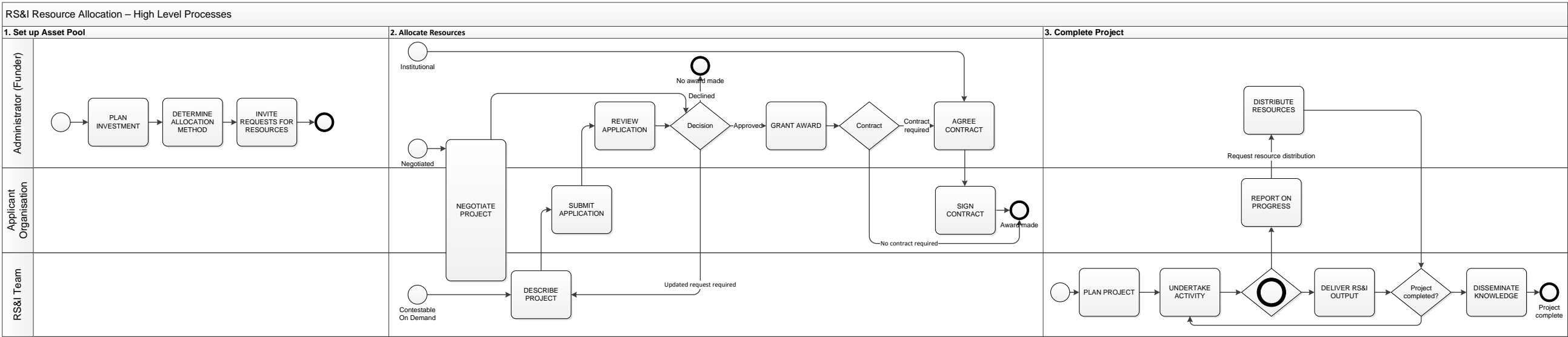


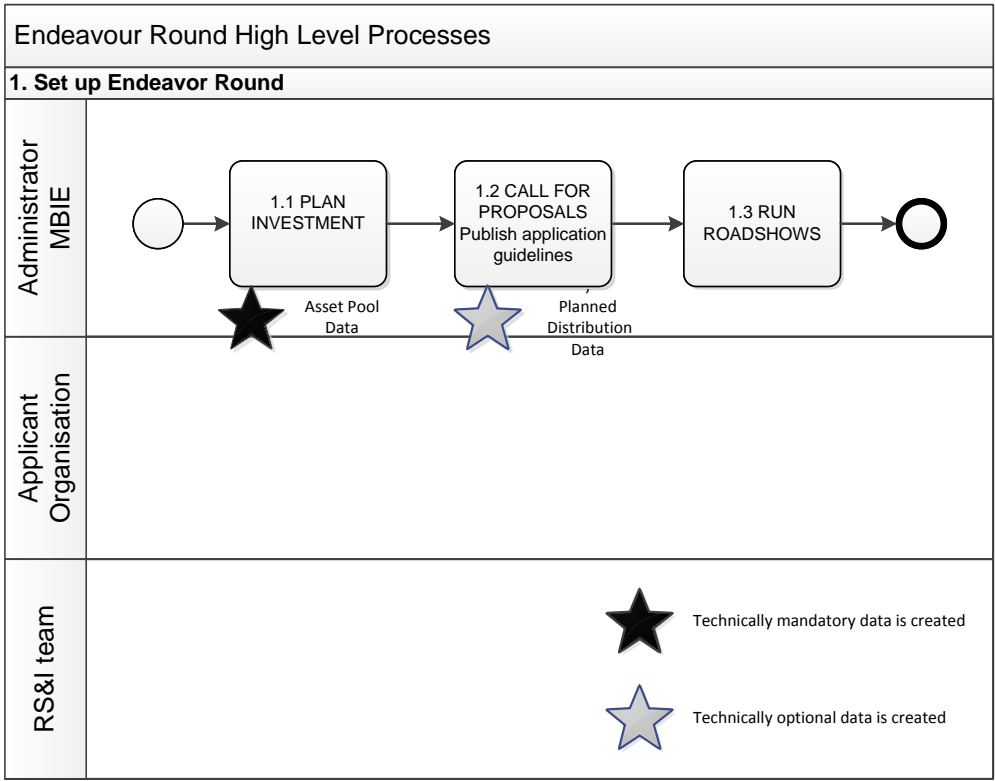
Figure 7: Illustrated Funding Scenario - Endeavour Fund: Project C2 Data

Appendix B: Business Processes and the availability of data for NZRIS

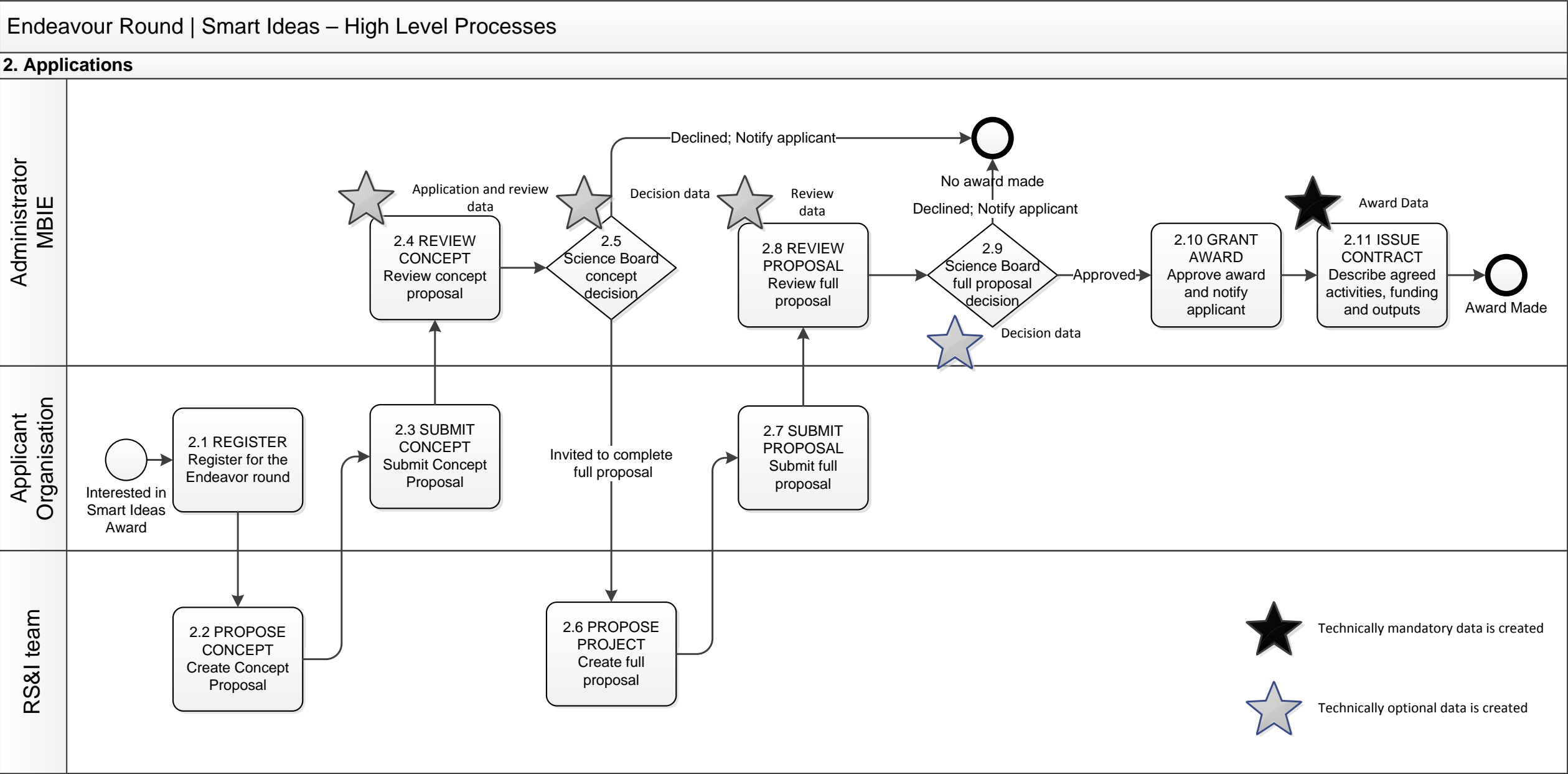
This model shows a high level view of the processes involved in allocating and using resources in the RS&I sector.



1. **Set up Asset Pool** For the Endeavour Fund, the allocation process is contestable, and guidelines are issued for applications.

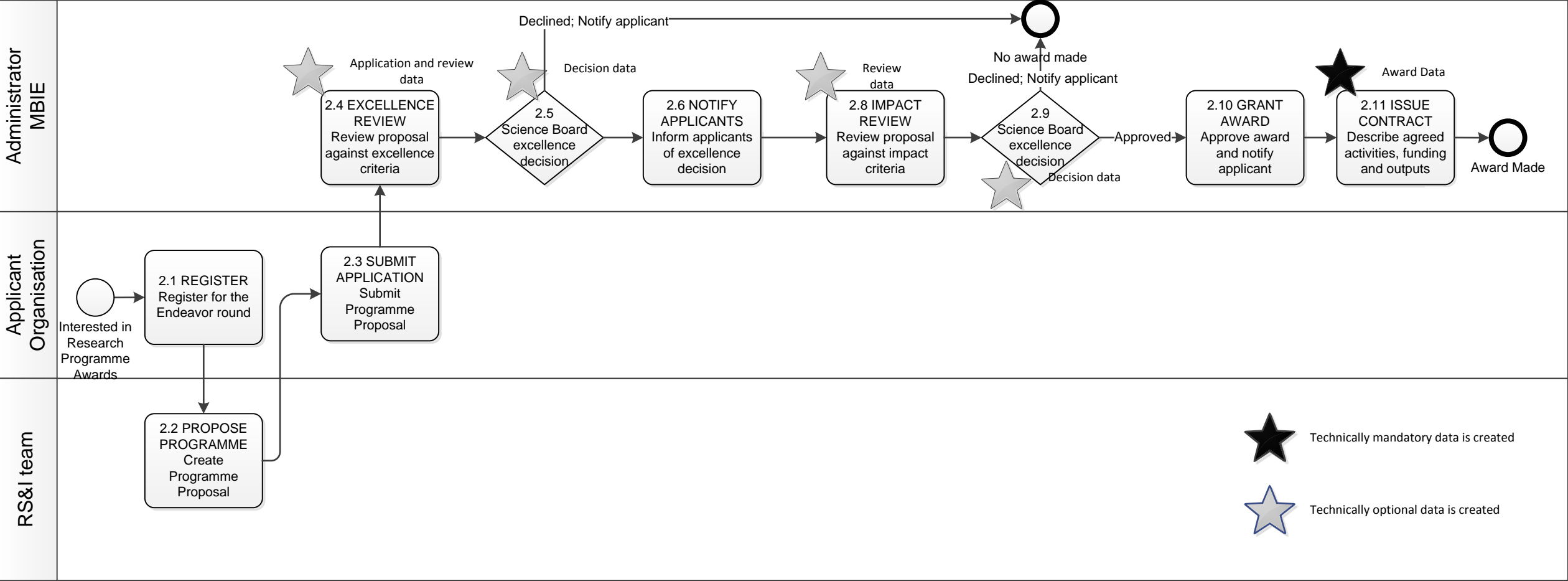


2. **Applications** For the Endeavour Fund, processing applications for resources takes two forms, one for Smart Ideas and the other for Research Programmes:

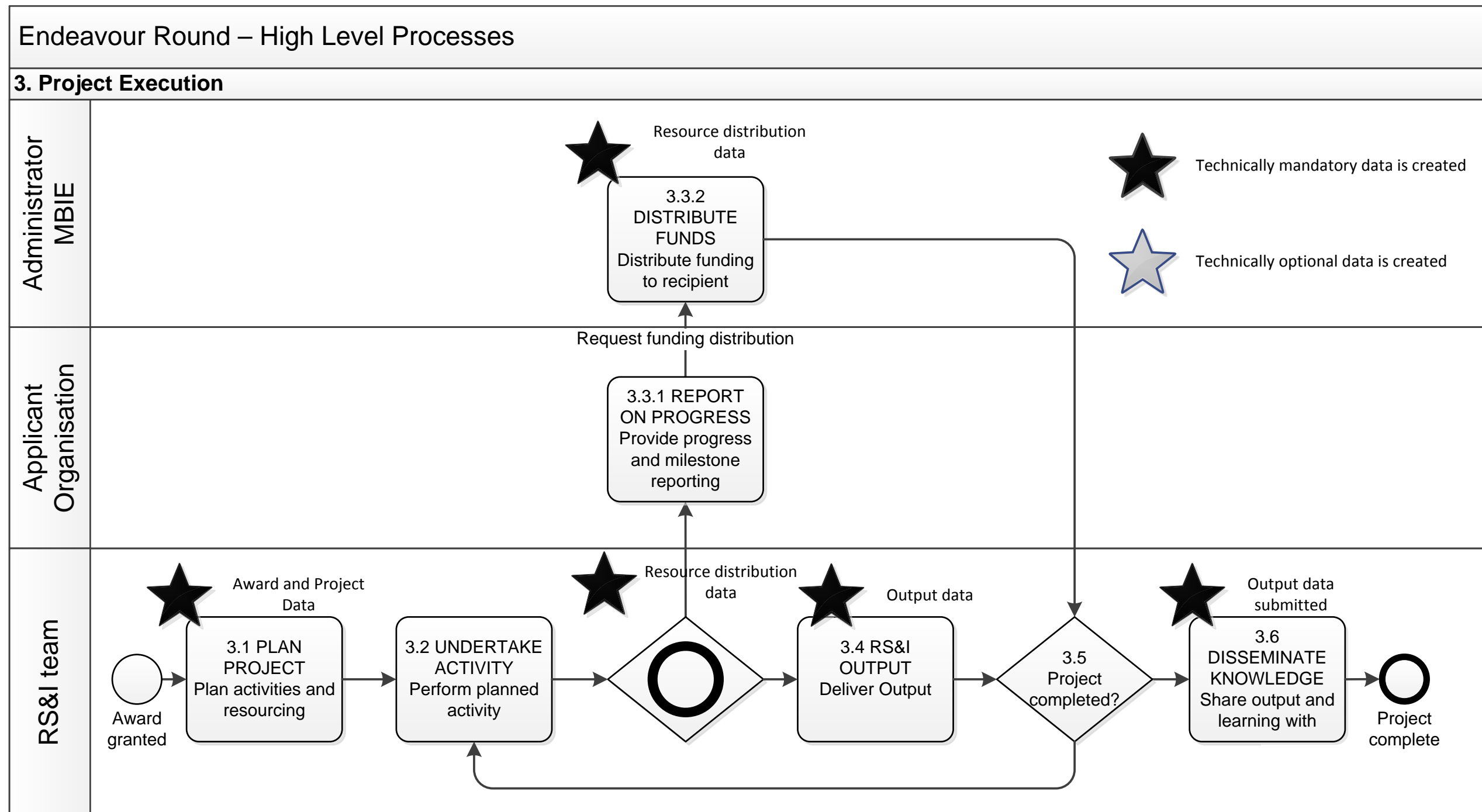


Endeavour Round | Research Programmes – High Level Processes

2. Applications



3. **Complete Project** For each Project, the activities required must be planned, undertaken, and resources requested as agreed in the award contract. Outputs may be delivered by the project, or at a later date as knowledge is disseminated.



Appendix C: Asset Pool Allocation of Resources

NZ RIS assumes a single asset pool is responsible for granting an award. In some cases, the resources being granted may be sourced from multiple asset pools. In this case, one of two approaches can be used:

- One or more asset pool(s) devolve resources to another asset pool, and that asset pool then grants the award; OR
- Each asset pool providing resources grants an individual award

The first instance should only be used when the asset pool receiving the devolved resources has complete control over the distribution of the resources.

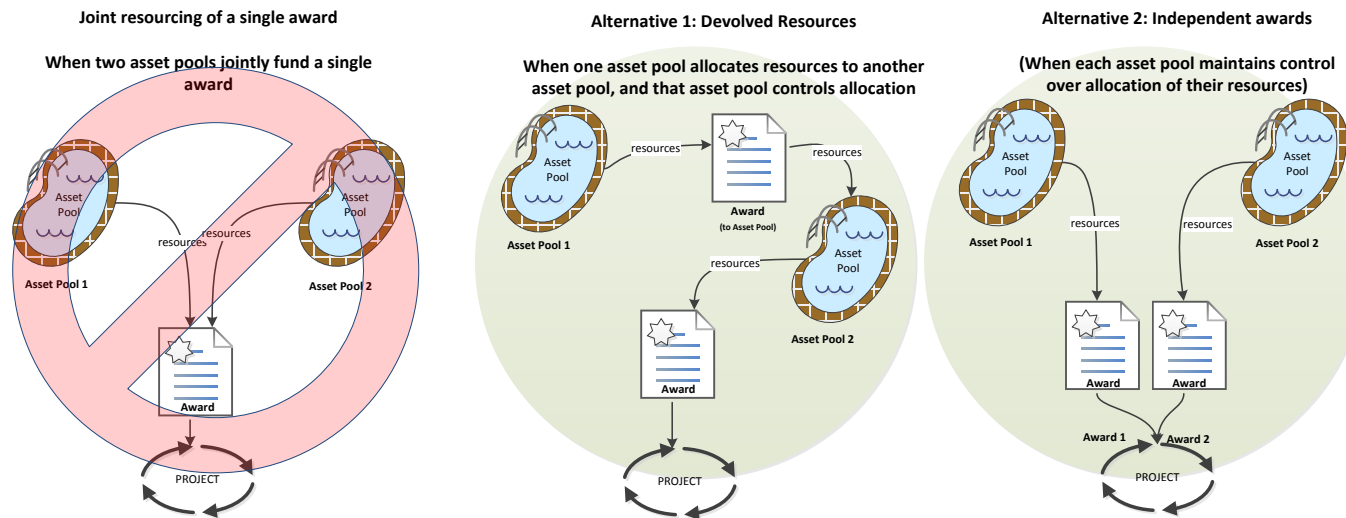


Figure 8: Asset Pool Allocation of Resources

Appendix D: Glossary of research and innovation concepts

Term	Description
Administrator [Asset Pool]	An organisation or individual responsible for allocation of asset pool resources
Allocation Process	The set of activities the Administrator must complete to allocate Asset Pool resources (e.g. a competitive Funding Round)
Applicant	A person or organisation requesting funds for a project (submitting a proposal to a funder)
Application ("Request for Resources")	A request by a researcher or research organisation for a Fund to allocate resources to partially or fully resource a proposal for a coherent programme of RS&I
Application Decision	The result of an application review
Asset Pool	A pool of resources to support (a) specified purpose(s) or goal(s)
Award	Resources allocated to an applicant to enable all or part of the work described in a proposal to be completed
Contract	A formal legal agreement describing an award, the expected deliverables, and the associated assessment criteria. There may be more than one award within a contract.
Devolve	To award resources from one Asset Pool to another Asset Pool
Entity	In NZRIS an Entity is a table in the relational database system.
Element	In NZRIS an Element is a data field with an Entity. Elements are the specific and incremental requirements for data to be input into the system, for example: Element 1.a: Asset Pool Name requires the name of the relevant asset pool to be entered.
Fund	An asset pool containing only financial resources; A pool of financial resources to support (a) specified purpose(s) or goal(s)
Funder	Any entity, either a government or non-government organisation, that funds RS&I activities
Funding [Resource]	A financial resource
Funding Round	The set of Awards allocated by a single Fund within a specified period OR a specified period within which the Funder runs an allocation process
Infrastructure	A physical resource which enables RS&I activity
Logical Data Model	The way that entities and elements are arranged and linked in the design of the NZRIS database system.
Outcome/Impact	An effect of an RS&I activity

Term	Description
Project	<p>A planned set of activities completed within a fixed period to extend or expand RS&I knowledge</p> <p>(Definitional Rule:</p> <p>"The definition of a project is a funded set of activities that:</p> <ul style="list-style-type: none"> • is organised and managed for a specific purpose; • has its own objectives; • has expected outputs and outcomes; and • occurs over a specific period with defined start and end dates.")
Proposal ("Research Proposal")	<p>A plan for a particular RS&I team to:</p> <ul style="list-style-type: none"> • investigate a specific issue in order to create or extend knowledge; or • implement a new or significantly improved product, process, or method; or • deliver scientific services and products; or • diffuse, disseminate or apply knowledge; or • take a research output to market.
Researcher	<p>A professional engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques, instrumentation, software or operational methods</p>
Resource	<p>An asset that can be used to complete an activity, usually money, physical facilities, research inputs, or staff</p>
Review [Application]	<p>Assessment of an application to reach a decision</p>
RS&I Output	<p>Documents, experiences, goods or services generated from RS&I activities</p>