**Project Proposal**

HVN Contestable Funding - June 2015

|  |  |
| --- | --- |
| **Full title of your proposal** |  |
| **Short Title** | *(suggest you use this as a header on each page)* |
| **Call applied for** | *Business-led or Science-led innovation (delete one)* |
| **Applying for Māori subcall** | *Yes or No* |
| **Name of the submitting organisation** |  |
| **Describe fit of submitting organisation with eligibility criteria** | *eg CRI or TEI or IRO or similar* |
| **Name of Project Leader** |  |
| **Total funds requested (excluding GST)** |  |
| **Total funds requested (including GST)** |  |
| **Intended start date** |  |
| **Period funds requested for** |  |
| **Contact details for correspondence in relation to this proposal** |  |
| **List of collaborating research organisations** |  |
| **List of businesses involved in proposal** |  |

**Public Summary**

*(suggest this be no more than half a page)*

**Overview of proposal**

*(2 pages max)*

*State the research objective or objectives clearly up front and then link them to the HVN mission (i.e. say what you are aiming to do and hope to achieve). Describe how the research will lead to a contribution to achieving the additional >$1B in export revenues from NZ origin food and beverages based on validated health benefits for consumers by 2025. Indicate the possible magnitude of that contribution*

*Describe the underlying opportunity and your concept / hypothesis or target. Provide a brief synopsis of the methodological approach and research progression.*

*Describe the business or businesses involved and how they are involved.*

*Explain why what you are proposing is innovative and novel and goes beyond what has been established previously (i.e. what is new/ what new knowledge or understanding will be created).*

*Explain how achieving the research objective will create a new or different or enhanced business opportunity. Describe what the next steps would be in progressing the business opportunity if the project establishes proof of principle or concept or hypothesis.*

*Outline the nature of the potential market opportunity – which market, which consumers, which product category, what revenue potential? (Who will pay more for what?). Describe the regulatory environment for the food health benefits/claims in the target market, any likely impediments to marketing the benefits and proposed solutions.*

*Describe the opportunity for New Zealand-origin food and beverage products to meet the market opportunity.*

*If applying under either of the Māori subcalls expand on the specific Māori involvement.*

*Describe the alignment with the key characteristics with the HVN strategic framework including the research theme or themes and health target or targets.*

*Outline the research team members and their skills and experience relative to this proposal. Describe how it is a new collaboration that brings together perspectives and disciplines not previously working together and why this will support a novel outcome.*

*Restate the intended objectives in case the reader has forgotten them already.*

**Evidence for Assessment Criteria**

***(4 pages max)***

*Adjust for the two criteria tables –Business led innovation and Science led innovation*

*Suggest you use the headings as follows:*

* ***Economic Impact***
  + *Opportunity*
  + *Regulatory*
  + *Industry*
  + *Vision Matuaranga (obligatory for proposals addressing the Māori subcall and optional for others)*
  + *NZ Inc*
* ***Science Stretch***
  + *Science Excellence*
  + *Team*
  + *Additionality*
  + *Capability*

*Address and provide evidence for all bullet points (not assertions)*

*The responses here can cross reference to other parts of the proposal (eg business case and research methodology).*

**Research Methodology**

***(4 pages maximum)***

*Provide the level of research methodology detail you would expect to provide to a standard research funding call.*

*The research methodology will be peer reviewed and reviewed by the HVN Assessment Panel and advisors. Therefore ensure that the methodology is sufficiently well described to enable review.*

**Research Plan and Timeline**

***(1 page)***

*Include a Gantt chart or equivalent outlining the progression of the research via critical path milestones to the objective end point – and then beyond that to outline the subsequent implementation steps to realise benefits.*

*The statement of work for any subsequent subcontracts will require well defined milestones (including any stop/go gates) and a defined end point. These should be included here as a time series of events or acheivements which plot the progress of the research to its objective. Milestones should be timebound, failable and independently verifiable. They should not be a series of tasks or activities or written in such a way that they can not fail.*

*Examples of milestones include:*

*Previously poorly characterised biomarker (specify) for early stage detection of prediabetes in adults shown to be responsive to nutritional interventions and defined in sufficient detail to support progressing to human intervention trials with selected foods by December 2018*

*Or*

*Insights into Hong Kong Chinese food consumer motivations to purchase foods with benefits relating to digestion and gut related immunity established sufficiently to provide guidance on the potential biomarkers and foods that may exploit an ethnic Chinese market opportunity in Asia by June 2017.*

*An example of an inadequate milestone:*

*Establish “omics” capability for identifying potential biomarkers related to health effects of food*

*(If you are unsure why – it can’t fail, is vague and is not time bound).*

**Business Case**

***(2 pages max)***

*An opportunity to expand on the business plan for the exploitation of the outcome of the research. This should address the criterion: Industry. Under business-led innovation it should be well developed and agreed with the businesses involved. Under science-led innovation it is likely to be more indicative or less detailed but should still be credible.*

*The business case should detail defining the market opportunity (the consumers, evidence of their need and motivation to purchase food and beverage-based solutions). It should also describe the business situation, the NZ origin product supply and manufacture, distribution and marketing approach, the likely downstream investment needed by the business to launch or extend the product line etc etc. (This should be a simple plan of the downstream steps needed to realise the opportunity).*

*Detail the specifics of any direct cash co-funding as well as any in kind co-funding or any parallel funding from other government sources.*

*If possible a planned launch date with a 5 year profit and loss projection supporting an assessment of net present value (with the HVN funding not included as a cost).*

*It should be signed off by the business (at CEO level or senior executive– not the R&D or Technical Manager) for any proposals in the business-led innovation component.*

**Intellectual Property Principles and Management Plan**

*(2 pages max)*

*Note the requirement to ensure any Intellectual Property rights arising from the proposed Project (Project IP) are dealt with in a manner consistent with the published HVN Intellectual Property Principles and Management Plan.*

*As well as documenting your IP principles and management plan, suggest you outline any relevant background IP held by the parties, a description of the nature of the IP you are aiming to create through the project, the plans for protection of Project IP and any arrangements you have in place with businesses for the exploitation of any Project IP and indicative plans for its commercialisation.*

*It would also be helpful to include an analysis of the freedom to operate in the intended markets for the intended Project IP.*

*For Business-led – Business led Innovation involving business cash co-funding there should be an explicit agreement with the business regarding the ownership and use of any Project IP by the business to commercialise it to support achievement of the business case. This may involve flexible arrangements to recognise the co-investment by the business while also ensuring Project IP is not locked up to limited commercialisation options. This agreement nust be clearly referenced and available to HVN if requested.*

**Budget, subcontracts and FTE Table**

*While any subcontract will operate as a single line budget we need to see the detail when assessing the proposal to be able to consider the value for money perspective.*

*The budget should be for the total investment – not an annual budget.*

*Suggest the following budget lines:*

***Budget overview***

|  |  |
| --- | --- |
| ***Staff salary costs*** |  |
| ***Overheads*** |  |
| ***Operational Costs*** |  |
| ***Sub subcontracts*** |  |
| ***Other (explain below)*** |  |
| ***Total excluding GST*** |  |
| ***GST*** |  |
| ***Total including GST*** |  |

***Detail “Other”:***

***Detail intended sub subcontracts as follows:***

|  |  |
| --- | --- |
| ***Sub subcontractor*** |  |
| ***Sub subcontractor Lead Researcher*** |  |
| ***Total amount (GST excl.)*** |  |
| ***Research deliverable*** | *(description)* |

*Notes:*

1. *Provide any explanations of budget you think are necessary*
2. *Funding is for operational expenses only and can not be used for capital expenditure.*

***Detailed FTEs of researchers or other paid positions as follows:***

*All as FTE X Months / 12 (ie FTE years)*

*Project Leader:*

*Named Researcher in submitting research organisation:*

*(repeat for all named researchers)*

*Other key individuals in submitting organisation:*

*All unnamed personnel:*

*Any PhD or Masters Students:*

*Total FTE years for submitting organisation:*

*Repeat for each sub subcontracting organisation:*

*Hint: The Project Leader should have sufficient FTE to do the job, as should the Lead Researcher in any subsubcontracts.*

*Notes:*

1. *All named individuals in the FTE tables above should include their CV in the separate PDF document.*
2. *If you are including emerging researchers and or PhD students in the proposal these should be described within the relevant criteria sections including the mentoring arrangements. If they are already identified individuals they should be included in the FTE tables and their CVs included in the PDF document.*
3. *If there are any international collaborators to be funded from the Project please identify as such. Non funded collaborators should be included in the text only*

**References**

**Peer Reviewers**

*Please identify 3 international researchers who are capable of peer reviewing your proposal giving details of their credentials and contact details.*

*Any Peer Reviewers you nominate should not be involved in the proposed research nor in closely related research in collaboration with members of the research team.*

*Before nomitating Peer Reviewers please contact them and confirm their availability at the time indicated in the timeline (ie late September).*

*The use of applicant nominated peer reviewers will be at the sole discretion of the Assessment Panel Chair.*

**Conflicts of Interest**

*Please identify any person or party who may be involved in the assessment of this proposal that you believe would have a conflict of interest and outline the nature of that conflict.*

*The Chair of the Assessment Panel or the Chair of the HVN Board will determine any actions to be taken in relation to any identified conflicts according to the HVN Conflicts of Interest Policy.*

**Declaration by duly authorised person on behalf of the submitting organisation**

*I declare on behalf of ……………………………………………… that the information contained in this proposal is accurate at the time of submission and that all named individuals and organisations contained in it have approved the use of their names in the context they are used.*

*Further, I confirm that …………………………………………… has the research capability and capacity, (in combination with any named subsubcontractors) to undertake the research proposed and I confirm that, if awarded funding in relation to this proposal we will negotiate a subcontract with the University of Auckland based on the HVN Subcontract template in good faith.*

*Finally, I confirm that ………………………………………. recognises and will abide by all aspects of this RfP in relation to this proposal.*

*Signed by:*

*Name:*

*Title and affiliation:*