

HIGH-VALUE  
NUTRITION

Ko Ngā Kai  
Whai Painga

# Request for Proposals

Contestable Funding - June 2015

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Host Institution



# Contents

1. KEY INFORMATION .....	3
2. THE HIGH-VALUE NUTRITION CHALLENGE .....	4
3. INVESTMENT PRIORITIES .....	5
4. TIMING.....	7
5. PROJECT SIZE AND FUNDING SPLITS .....	8
6. ASSESSMENT CRITERIA.....	8
7. ELIGIBILITY.....	8
8. ASSESSMENT PROCESS .....	9
9. PEER REVIEW .....	11
10. OTHER ISSUES.....	11
APPENDIX 1 – ASSESSMENT CRITERIA.....	13
APPENDIX 2 – DETAILS OF JULY WORKSHOPS.....	16
APPENDIX 3 – ASSESSMENT PANEL.....	17
APPENDIX 4 – PROPOSAL TEMPLATE.....	18

NOTE - This Request for Proposals is issued by the University of Auckland, as High-Value Nutrition Challenge Contractor, on behalf of the High-Value Nutrition Board.

# 1. KEY INFORMATION

- > Full research investment proposals are invited from New Zealand-based research organisations that address the requirements of this RfP by noon 31 August 2015
- > Available funding: \$7m
- > Two funding pools:
  - Business-led Innovation (including Māori Business innovation)
  - Science-led Innovation (including Māori researcher development)
- > The proposals may seek between \$300K to \$1m funding in total from HVN for from 1 to 3 years
- > Key dates
  - Jun 2015 - RfP released in week of 9th June
  - Aug 2015 -Proposals due for submission by noon on 31 August (by email to [hvn@auckland.ac.nz](mailto:hvn@auckland.ac.nz))
  - Nov 2015 - Funding decisions released by end of November
  - Jan 2016 - Research initiated

## 2. THE HIGH-VALUE NUTRITION CHALLENGE

The High-Value Nutrition National Science Challenge (HVN or the Challenge) is a government research investment that aims to support the New Zealand Food and Beverage export sector develop a globally competitive, if not leading, position in the production, manufacture and marketing of food and beverages with scientifically validated health benefits for consumers in major export markets.

The Business and Science Plans for HVN were approved by the government's Science Board in March 2015 and the Challenge Contractor (The University of Auckland) has entered into a Challenge Programme Agreement with the Ministry of Business, Innovation and Employment for the period to mid 2019.

A copy of these Business and Science Plans are available on request (they will be published on the HVN web site before proposals are due) and provide the context for this RfP.

**The long term aspirational target for HVN is to support development of additional export revenue to New Zealand of >\$1B pa in New Zealand origin food and beverages with scientifically validated health benefits based at least in part on HVN funded research and related activities by 2025.**

HVN will be investing in research via several different funding mechanisms, including:

- **Priority Research Programmes** – as described in the Business and Science Plans. These will be contracted via a closed tender process and are not included in this RfP
- **Contestable Projects** – open to all New Zealand based research organisations and the subject of this RfP

HVN will invest a total of up to \$7M (excluding GST) in innovative research projects under this RfP that support the achievement of the aspirational target above. Funding will be available from early 2016 and all projects must be completed by end of 2018.

### 3. INVESTMENT PRIORITIES

The RfP will operate within the strategic framework articulated in the HVN Business and Science Plans.

Key characteristics of this strategic framework include:

- The requirement to be supporting potential added value food and beverage export revenues to New Zealand based on scientifically validated food health benefits that consumers want and need (ie consumer driven not product driven),
- And, the requirement to address one or more of the HVN research themes of
  - > Clinical application (demonstration of a health or wellbeing benefit from a food consumed by humans);
  - > Biomarkers (defining the biomedical mechanisms and indicators for the food health relationship);
  - > Meeting consumer preferences for and motivations to purchase healthy foods;
  - > Food science and technology (ensuring the foods deliver the health benefit to consumers).

In addition, HVN has identified the global mega trends in consumer food purchasing relating to health benefits as predominantly relating to the following priority health targets:

- Metabolic health (including obesity, diabetes and heart diseases);
- Gut and immune health;
- Weaning foods for health;
- Foods for improved physical activity and mobility;

Proposals are expected to address an opportunity within one of these broad health targets to maintain focus and depth within the Challenge.

Proposals should aim to improve the health and wellbeing of consumers but should not be positioned as curing disease or addressing ill health.

Proposals must be innovative in nature and describe a clear end point which could lead to subsequent investment by industry. This should include a clear articulation of a proprietary food and beverage opportunity in export markets where the added value can be returned to New Zealand as an increase in export revenues for New Zealand origin products. This also implies the research should be focused towards the demonstration of health effects via human trials in a time frame that will support a tangible contribution to the Challenge aspirational revenue target by 2025 (preferably sooner).

There will be two components to the RfP – business-led innovation and science-led innovation. The funds to be invested in each part will be no less than \$2M and no more that \$5M , respectively. In both components proposals must be submitted by Research Organisations who are expected to manage the contact with the New Zealand F&B businesses. The two components are outlined further below. Each have embedded subcalls to address vision Mātauranga and Māori engagement and capability development with no less than \$1M invested in each part for this purpose.

Details of the two components are:

#### **3.1. BUSINESS-LED INNOVATION (INCLUDING MĀORI BUSINESS INNOVATION)**

Research investment proposals in this part must be based on business opportunities defined by NZ based Food and Beverage businesses. This in turn must be based on a clear articulation of the consumer and market insights that will drive subsequent product and market development. If such insights are not available the proposal should include their development as a clear aspect of the research. The business (or businesses should more than one business be involved) should work with a research organisation to develop such a proposal that aims to establish a proof of concept that can then enter the businesses product and/or market development processes, or consumer insight studies that will guide market entry of NZ F&B in Asia or an equivalent clearly defined end point that supports a business investment decision. The proposal must be

submitted by the Research Organisation (Note: Direct business assistance research and development funding is available from Callaghan Innovation and is not within the scope of National Science Challenge funding).

The commitment of the business must be demonstrated by senior management in the business and include a clear product development and market entry strategy once proof of concept is established. A minimum level of \$100,000 cash co-funding over the term of the project from the business, or businesses in aggregate, is required. More is welcome. The cash co-funding must be to the research organisation to directly support achievement of the research objectives and not for in house research within the business. Any in house resourcing of the project shall be defined as in kind support and not co-funding. Other sources of government funding are also not able to be considered as direct cash co-funding (eg from Callaghan Innovation or the Ministry of Primary Industries or CRI Core funding or similar) in this context (although it is always most welcome).

Within this call a portion of the funds will be ring fenced for investment in Māori-owned business innovation (at least \$1M). If applying for funds under this subcall the primary business organisation involved must be clearly Maori-owned. It does not preclude other businesses also being involved. The cash-co-funding requirement (which may be in aggregate) and all other criteria still apply as well as the Vision Mātauranga criteria.

### **3.2. SCIENCE-LED INNOVATION (INCLUDING MĀORI RESEARCHER DEVELOPMENT)**

Research investment proposals in this part must be focused around an innovative science concept that is not yet developed to a point it is business ready and that builds research capability relevant to HVN. The investment should aim to establish the basis for future industry led innovation. This could be via establishing a proof of principle in a food health relationship or defining a consumer driven food health opportunity or establishing a technology solution for delivering a food health benefit or identifying a valid biomarker for a consumer valued food health relationship or similar. The result should be the likelihood of business investment in the next innovative step.

The investment should build new or emerging researcher skills and expertise in areas relevant to the HVN themes that will be of potential value to the "HVN" science and business sector in the future. This may include the development of PhD students and/or postdoctoral researchers with senior mentoring.

Direct cash co-funding from industry will not be required, although is always welcome, and applicants may align internal resources to expand the research possible with the HVN funds (this may include CRI aligned Core funding but is not limited to that). Aligned funding will be treated as a positive factor but will not be decisive in assessing proposals to fund. It will support the consideration of value for money.

Within this call a portion of the funds will be ring fenced for projects that specifically involve the development of Māori researcher capability (at least \$1M) that will support the future capacity of Māori businesses to innovate in high-value food and beverage export markets with products with validated health benefits. If applying for funds under this subcall the primary focus of the researcher development must involve a Maori researcher or researchers. This does not preclude other researchers being involved and all criteria must still be addressed as well as the Vision Mātauranga criteria.

## 4. TIMING

May 2015	RfP developed
Jun 2015	RfP released in week of 9th June
Jul 2015	RfP workshops held in Dunedin, Lincoln, Palmerston North, Wellington and Auckland
Aug 2015	Proposals due for submission by noon on 31 August (by email to hvn@auckland.ac.nz)
Sep 2015	<p>Eligibility screen to short list proposals for assessment by subcommittee of HVN Assessment Panel and HVN Management (ineligible proposals will be advised by the end of September)</p> <p>Peer review of shortlisted proposals and clarifications required (and advised to applicants for rebuttal or further information by 9 October)</p> <p>Industry Advisory Panel review of shortlisted proposals in business-led (including any queries requiring clarification also advised to applicants on 9 October)</p> <p>International Science Advisory Panel review of shortlisted proposals in science-led (including any queries requiring clarification also advised to applicants on 9 October)</p>
Oct 2015	<p>Rebuttal of peer reviews (and submission of any clarifications including response to any issues identified by the Assessment Panel subcommittee, the IAP and the SAP) due on 16 October</p> <p>Full HVN Assessment Panel review and assessment against criteria in week of 26 October</p>
Nov 2015	<p>Recommendations to Board for approval on 20 November</p> <p>Funding decisions released by end of November</p>
Dec 2015	Subcontract negotiation
Jan 2016	<p>Subcontracts signed</p> <p>Research initiated</p>
Jul 2016	Annual report against plan
Jan 2017	Mid-year report against plan
Feb 2017	Subcontract variations to address any issues
Jul 2017	Annual report against plan
Aug 2017	Subcontract variations to address any issues
Jan 2018	Mid-year report against plan
Feb 2018	Subcontract variations to address any issues
Jul 2018	Annual report against plan
Aug 2018	Subcontract variations to address any issues
Dec 2018	Final Report and project close out

Note: The above timeline will be adjusted for subcontracts of less than three years duration.

The processes outlined in subsequent sections are based on delivering to this timeline but HVN reserves the right to alter the timeline at any point.

## 5. PROJECT SIZE AND FUNDING SPLITS

The total investment limit of HVN funds for this contestable funding is \$7 million.

The proposals may seek between \$300K to \$1m funding in total from HVN for from 1 to 3 years.

Proposals may be expanded by cash co-funding or any internal resourcing contribution.

While it is intended that investment in Business-led and Science-led should be approximately even this is a flexible target and may vary between \$2M and \$5M in each Part to allow for variability in the quality of applications. If the commitment to Māori business innovation and Māori researcher capability development cannot be met under this RfP funds will be retained and a separate RfP issued that addresses this. Equally, if there are insufficient proposals of quality to invest the full amount of funds available the funds will be retained and alternate investment options employed.

## 6. ASSESSMENT CRITERIA

HVN has developed two investment criteria dimensions - **Science Stretch** and **Economic Impact** with discrete sub-criteria and descriptors for each. These are described in Appendix 4 of the Business and Science Plan (available on request) and were used to assess the major priority research programmes included in the approved science plan. These descriptors have been customised (see appendix 1 of this RfP) to include the nuances described above for each sub call and will be used to assess the proposals submitted to this RfP. The use of the same criteria framework ensures continuity in the strategic direction and the positioning of HVN. HVN is complementary to other investment in food related research in New Zealand. As such it is not “business as usual” but is seeking moderate to high risk investments.

In addition, consideration will be given to the “value for money” aspects of any proposal in terms of the costing of the research activities and commitment of key researchers. While this will not change the scoring it is a factor that may be taken into account in determining any final selection of investments. Co-funding and aligned research or resources will be part of this consideration.

No balance factors will be used to spread the investments across the themes or health targets or the Food and Beverage sectors.

## 7. ELIGIBILITY

Eligibility to submit proposals will be limited to **New Zealand-based organisations** (being a legal entity registered in New Zealand) whose main business activity is research (and education in the case of Tertiary Education Institutes). This is aligned to the eligibility criteria set by MBIE for applying for NSC funds. Applications from government agencies and Food and Beverage businesses are not eligible. However, businesses and government agencies may be involved in proposals as collaborators and co-funders of proposals submitted by eligible organisations but cannot receive Challenge funds themselves. Overseas research organisations may be involved in proposals as minority research providers (receiving less than half the funds and no more than the submitting organisation).

In addition to the eligibility to submit proposals there will be a strong **eligibility screen** applied to all proposals prior to sending for further assessment. These are:



- Providing clear articulation of how the proposal addresses the key characteristics of the HVN strategic framework including relating primarily to opportunities **for adding value to New Zealand origin food and beverage exports** (section 1 of this RfP)
- Addressing opportunities within the **priority health targets** (section 1 of this RfP)
- Addressing consumer health and wellbeing opportunities and not curing disease or ill health
- Describing a clear **proprietary** food and or beverage export opportunity where the added value can be returned to New Zealand via increased export revenues from New Zealand origin products (this means there must be a clear ability and intent to Brand (or equivalent) the final consumer product or a component of it, and its marketing, rather than support a broad product category such as follow-on formula or blueberries or similar per se)
- Addressing the requirements of and fit with the two subcalls – Business-led or Science-led
- For proposals for Business-led funding the required level of **cash co-funding** from private sector businesses to support achievement of the research objectives
- Providing evidence in support of all criteria and subcriteria and elements of the subcriteria
- Completing all elements of the proposal template to a professional standard suitable for assessment (the template is in Appendix 4)
- Providing a **credible pathway** from the end point of the proposal to a tangible contribution to the Challenge aspirational revenue target by 2025 (or earlier)

Proposals that don't provide a prima facie case against any of these eligibility screens will be deemed ineligible and not assessed (this will require **specific evidence** rather than general assertion).

Further, proposals that are primarily supporting medical foods, nutritional supplements, therapeutic goods, specifically regulated product categories (such as infant formula), are predominantly bioprospecting, bioactive screening in nature, focus on farm productivity improvements or overlap with existing or planned research including any HVN research described in the science plan (available on request) will be deemed ineligible. These applications will not be assessed.

Proposals that are lacking in innovative intent but simply aim to compete with existing NZ businesses with essentially similar products will also be deemed ineligible.

Finally, proposals that are primarily aiming for public health benefits for New Zealanders will be deemed ineligible and not assessed.

## 8. ASSESSMENT PROCESS

The timeline outlined earlier defines the main steps we intend to develop for the contestable process and is elaborated on briefly here:

- **Open workshops to present RfP and provide feedback on emerging proposals** – HVN will hold open workshops for all interested parties. The format will be a presentation of the overall HVN research plan and strategy, a description of the context for the Contestable Funding elements within HVN, a presentation of the RfP and call for proposals followed by a Q&A. This open forum will then be followed by a series of one on one sessions with likely applicants to discuss and provide feedback on their emerging concepts. Any feedback will be given in good faith and intended to clarify the intent of the RfP. It should not be taken as providing any endorsement of the concepts presented. If unable to attend the workshop potential applicants may arrange a similar feedback session by telephone. Only one feedback session will be possible per concept.

These workshops will be hosted by HVN partners according to the following schedule (see appendix 2 for details):

- > **20th July, Palmerston North**, hosted by Massey University
- > **21st July, Wellington**, hosted by the Mallaghan Institute

- > **22nd July, Lincoln**, hosted by AgResearch
  - > **23rd July, Dunedin**, hosted by Otago University
  - > **24th July, Auckland**, hosted by Auckland University
- **Deadline for Applications and Format** – all applications to be submitted as PDFs via email by noon on 31 August to hvn@auckland.ac.nz. The proposal should be based on the template within Appendix 4.
  - **Eligibility Screening** – all proposals will be initially screened for eligibility by a subcommittee of the Assessment Panel involving the Chair of the Assessment Panel, the Chair of the HVN Industry Advisory Panel along with the HVN Challenge Director (or agreed alternate) in early September. Members of the HVN Science Leadership Team will not be involved as they may be applicants and conflicted at this stage. The recommendations of this group will be ratified by the HVN Board whose decision shall be final. Ineligible applicants will be advised by the end of September and their proposals withdrawn from the process without being fully assessed.
  - **Assigning Peer Reviewers and Lead Assessors** – all eligible applications will be reviewed by the Assessment Panel (outlined in Appendix 3) to determine suitable international peer reviewers (including any applicant nominated peer reviewers to be used) and agree which Assessment Panel member shall be the lead assessor and which will be the secondary assessor. The applications will be sent to the chosen Peer Reviewers who will be asked to assess and score against the criteria with a return date of 30 September. The Lead and secondary assessor will also assess the proposals and identify any issues (with the Chair of the Assessment Panel) requiring further clarification from the applicant.
  - **Industry Advisory Panel review** – all shortlisted proposals submitted for Business-led will be discussed at a meeting of the Industry Advisory Panel to assess the economic impact criteria and identify issues requiring clarification from the applicants
  - **International Science Advisory Panel review** – all shortlisted proposals submitted for Science-led will be sent to members of the International Science Advisory Panel to assess the science stretch criteria and identify issues requiring clarification from the applicants
  - **Rebuttal** – the Peer Review comments (not scores) will be sent to the applicants along with any questions for clarification from the Lead Assessor and the two Advisory Panels by 9 October. The applicants will be given until 16 October to provide a written response.
  - **Proposal Scoring** – All short listed proposals will be assessed prior to the meeting of the Assessment Panel. The Lead and second assessor will assess and score each proposal against the criteria independently (and prior to the meeting) having read the proposal, the peer reviews and the rebuttals. The scores, along with the Peer Reviewer scores, against the criteria will be averaged and entered into a spreadsheet to display anonymously at the subsequent Assessment Panel meeting.
  - **Assessment Panel meeting** - All proposals and their Peer Reviews and rebuttals will be available to all members a week prior to the assessment meeting. At the meeting, on or around last week of October, the Lead Reviewer will present the assessment of the proposals first followed by the second reviewer. The Chair will then moderate a discussion across the Panel and adjust the scoring by consensus if required. Once all proposals are scored the Chair will work with the HVN Challenge Director and HVN Science Director (or equivalent roles in place at the time) to construct final recommendations for funding and seek endorsement by the Assessment Panel members.
  - **Board Approval** – The Challenge Director and Science Director will prepare a paper recommending investments to the HVN Board for its approval at its meeting on 20 November with a separate report prepared by the Chair of the Assessment Panel to advise on the robustness of the process and any areas where consensus was not able to be achieved. The Board will approve or decline the applications for contracting based on being satisfied with the quality of the proposals and their potential to contribute to the HVN mission and aspirational target. The Board decisions shall be final.
  - **Release of Decisions** – this will be as soon as practicable following Board decisions.

- **Contracting** – HVN reserves the right to negotiate changes to the proposed and approved research to ensure it is able to achieve clearly defined statements of work that support robust performance management. Subcontracts will be issued under the Subcontract template for HVN that will be available on our web site prior to the submission date for proposals responding to this RfP. This template may be varied for organisations that are not Party to the HVN Collaboration Agreement referenced in the Subcontract template. Invitations to complete a subcontract template will be issued to successful applicants in December 2015 with funds available from January 2016 subject to execution of an agreed subcontract.

NOTE – By submitting a proposal under this RfP the applicant organisation is agreeing to enter a subcontract with the University of Auckland (as the HVN Challenge Contractor) either based on or (in the case of organisations who are not Party to the HVN agreements) similar to the Subcontract Template and Statement of Work referenced above).

## 9. PEER REVIEW

To the extent possible, all shortlisted proposals will be sent for peer review. Peer review will be an aid to the assessment. Eligible proposals for Science-led will also be assessed by the HVN International Science Advisory Panel and the Assessment panel who will be able to assess science quality.

At least three Peer Reviews will be sought for each proposal. One will be an applicant nominated Peer Review (chosen by the HVN team from three submitted by the applicant) and two independent reviewers (identified by the Lead and second reviewers).

Failure to receive peer reviews will not be considered to materially effect the assessment process.

The Assessment Panel Chair may also seek a review from an unconflicted member of the HVN Science Leadership Team if he or she feels there is insufficient science review available to the Assessment Panel. In this case such a review shall be treated like other peer reviews.

## 10. OTHER ISSUES

### 10.1. PROPOSALS MUST BE SUBMITTED BY A NZ RESEARCH ORGANISATION

Any proposals responding to this RfP must be submitted by the lead Research Organisation via their standard processes – typically via their Research Office or equivalent. Proposals received directly from researchers will be returned for formal submission via their institutional process.

### 10.2. PROPOSALS SHOULD BE FULLY COSTED

Proposal should be fully costed to achieve the research objectives specified inclusive of any co-funding.

### 10.3. RELIANCE ON INFORMATION

HVN will rely on the veracity of all information provided in a proposal under this RfP. Any evidence that information cannot be relied on may result in the proposal being disqualified from the process.

### 10.4. NAMING INDIVIDUALS OR ENTITIES

Any individuals or legal entities named within any proposal must have agreed to the use of their names and the context in which it is presented as well as approving any quotes or other attributions to them. Failure to obtain such agreement may lead to disqualification from the process.

### 10.5. INTELLECTUAL PROPERTY

The HVN Intellectual Property Principles and Management Plan will be posted on the HVN web site prior to the submission date for this RfP (it is available on request if required before then). Any proposal submitted under this RfP must include IP plans that are consistent with and not at variance with the HVN IP Principles and Management Plan.

### 10.6. CONFIDENTIALITY

The University of Auckland (as Challenge Contractor for HVN) will treat all proposals under this RfP as confidential subject to any legal requirements under the Official Information Act 1982 or any other relevant law. Proposals will be viewed by the HVN team, peer reviewers, HVN Advisory Panels, members of the Assessment Panel and the HVN Board. Proposals will be stored electronically in a folder accessible only to HVN team (and UoA IT staff).

Notwithstanding the above, the University of Auckland through the HVN Challenge will make the following information publically available:

- The names of any successful applicants
- The title of any funded proposals and subsequent subcontracts
- The amount awarded to any successful proposals and the funding period
- A public summary provided by the applicant
- Other information agreed with the applicant / subcontractor from time to time

#### **10.7. CONFLICTS OF INTEREST**

HVN's Conflicts of Interest Policy is available on request and will be posted on the HVN web site prior to the submission of proposals in response to this RfP. Applicants should note any potential conflicts they have with any person involved in the assessment and approval of the proposal.

#### **10.8. EXCLUSION OF LIABILITY**

By participating in this RfP process, each applicant waives any rights it may have to make any claim against the University of Auckland or the HVN Board in regard to any matter related to or arising from the RfP. Further, if any matter cannot be excluded by law then the maximum liability of the University of Auckland and the HVN Board is limited to \$1.

#### **10.9. OBLIGATIONS OF APPLICANTS**

Applicant agree to enter into the RfP process in good faith and to fulfil the expectations it creates for them. This includes maintaining confidential correspondence from HVN in confidence, and acting reasonably in agreeing any subsequent subcontract if awarded funding. This includes accepting the obligations for constructing all elements of the Statement of Work required to the satisfaction of the HVN Directortate and to providing all information required for reporting progress to the HVN Board and MBIE during the term of any subcontract.

#### **10.10. COMPLAINTS**

Any applicant research organisation may complain to the University of Auckland about any aspect of the process under this RfP. The University of Auckland will pass any complaints on to the HVN Board to investigate and respond to. Applicants will accept the findings of any review by the HVN Board in good faith and take no further action in relation to it. In considering any complaint the HVN Board will assess whether the processes outlined in this RfP were followed in good faith and that the outcome in relation to the complaint is a reasonable consequence of following the process.

Individuals have no standing under this RfP and any complaints from an individual will be referred back to their employing organisations.

#### **10.11. CONTACT**

If you wish to clarify any aspect of this RfP or arrange a discussion on a potential proposal (and can't attend the National roadshow in July) please send an email with your request to (hvn@auckland.ac.nz).

#### **10.12. DISCLAIMER**

Disclaimer: The University of Auckland on behalf of the HVN Board reserves the right to withdraw or amend this document and/or the timelines set within it at any time.

# APPENDIX 1 – ASSESSMENT CRITERIA

Proposals are assessed in two dimensions – Economic Impact and Science Stretch. Each dimension has a series of criteria. All criteria are assessed on a 5 point scale where 5 indicates the proposal has met all subcriteria to a very high standard (against international norms), 3 indicates that the subcriteria have been met to an acceptable standard on average and 1 indicates that there is no evidence that the subcriteria have been met in any meaningful way. (Scores from multiple assessors may be rounded to the nearest 0.5). All criteria under each dimension are equally weighted. The aggregate scores for each dimension will be weighted to a score out of 50. In determining the final recommendations for investment the Assessment Panel will consider each dimension separately.

Proposals that fail to address any subcriteria or any subcomponent of the subcriteria in a meaningful way (apart from the criteria that are specific to Māori or Vision Mātauranga which will only be relevant to those proposals addressing the Māori innovation subcalls) will be deemed ineligible and not assessed.

For clarity of intent, any proposals that score 2 or less against any subcriteria are unlikely to be fundable unless there are compelling reasons to do so and it can be readily addressed in contracting.

Similarly proposals that average under 3.5 across criteria for either of the two high level dimensions are unlikely to be fundable.

## BUSINESS-LED INNOVATION

### ECONOMIC IMPACT

#	Criteria	Sub-criteria
1	<b>Opportunity</b> - Scale and evidence of consumer demand for foods with the defined health benefits	<ul style="list-style-type: none"> <li>Scale of actual health or wellbeing deficit in significant population groups in target market, with estimates of potential market size</li> <li>Evidence of the specific consumer needs and realistic share of market 5 years post launch.</li> <li>Specific in market evidence of consumers' awareness and concerns about the health or wellbeing deficit</li> <li>Evidence these consumers would respond to a nutritional solution (i.e. via food or beverage products) to improve the specific health/wellbeing deficit. (ie specific consumer insights that support the business opportunity)</li> </ul>
2	<b>Regulatory</b> - Potential for approval of marketable claims	<ul style="list-style-type: none"> <li>Evidence against FSANZ legislation that a claim is applicable if required for market entry strategy</li> <li>Evidence of potential in target export markets for claim equivalence if required for market entry strategy</li> <li>Evidence of need for science based marketing collateral to support product health benefits</li> </ul>
3	<b>Industry</b> - Evidence of interest and support of New Zealand businesses	<ul style="list-style-type: none"> <li>Evidence of specific business commitment to the project via close engagement in the ongoing research including sharing of consumer insights, products for testing, parallel investment or development, business executive level sign-off etc.</li> <li>Required cash co-funding to the research organisation</li> <li>Clear business plan for exploitation of the outcome of the research proposal if successful (eg product development and/or market entry strategy, net present value assessment including 5 year estimated Profit and Loss post launch or equivalent indicators of potential return on subsequent investment)</li> <li>Intellectual Property agreement with business partner that will support commercialisation consistent with the Challenge mission and target</li> </ul>
4	<b>Vision Mātauranga</b> - Addresses specific and distinctive needs and opportunities of Māori-owned F&B exporting businesses aligned with the HVN mission (this criteria is optional unless the proposal is specifically addressing the Māori innovation subcall)	<ul style="list-style-type: none"> <li>Evidence of a Māori-owned Food and beverage business commitment to the proposal</li> <li>Evidence of the distinctiveness of the approach that leverages the Māori ownership and Mātauranga or heritage and its potential to enhance export market success</li> </ul>
5	<b>NZ Inc.</b> - Fit with NZ Inc. strategy, resources and ability to capture benefits	<ul style="list-style-type: none"> <li>Evidence that the specific NZ based business supporting the proposal can successfully operate in the target market</li> </ul>

- Evidence that the New Zealand based business can develop proprietary products and capture significant market value (most likely via branded consumer products) based on the outcomes of the proposed project
- Evidence that the New Zealand based business can support the downstream investment needed and develop acceptable products and supply the market based on existing resources

## SCIENCE STRETCH

#	Criteria	Sub-criteria
1	<b>Science Excellence</b> - Assessment of overall research quality including design and methodology	<ul style="list-style-type: none"> <li>• Extent to which the research proposed will be leading in the field internationally</li> <li>• Extent to which the methodology is appropriate and likely to result in new knowledge in the field of high scientific merit</li> <li>• Level of novelty of the approach including clear definition of the innovative elements.</li> <li>• Clear description of the scientific end point “proof of principle/concept” or equivalent</li> </ul>
2	<b>Team</b> - Assessment of research team	<ul style="list-style-type: none"> <li>• The breadth and depth of the research team that has been assembled</li> <li>• Evidence of the quality of the researchers and ability to perform the proposed research to a high standard</li> </ul>
3	<b>Additionality</b> - Degree of collaboration, multidisciplinary and integration of research themes and vision Mātauranga	<ul style="list-style-type: none"> <li>• Evidence that the research will involve multi-disciplinary approaches that integrates the research across the research themes as appropriate to create novel outcomes that couldn't be achieved by narrowly conceived research</li> <li>• The extent to which the research is engaged with and integrated with the business including involvement of business technical, product development and or marketing staff</li> <li>• The extent to which vision Mātauranga based opportunities and approaches have been embedded within the research programme where appropriate</li> </ul>
4	<b>Capability</b> - Development of new and valuable research capabilities	<ul style="list-style-type: none"> <li>• The extent to which the research will create new, sophisticated and cost effective tools for creating and assessing food health relationships likely to be of value to future users</li> <li>• The development of NZ researchers in business relevant science and increased awareness of product, manufacturing and market issues critical to successful implementation of research for economic outcomes</li> <li>• The increased engagement in and awareness of business based researchers, technical, product and marketing staff in the science and the possibilities for it to enhance their business growth</li> <li>• The development of Māori researchers with skills relevant to the HVN mission where appropriate</li> </ul>

## SCIENCE-LED INNOVATION

### ECONOMIC IMPACT

#	Criteria	Sub-criteria
1	<b>Opportunity</b> - Scale and evidence of consumer demand for foods with the defined health benefits	<ul style="list-style-type: none"> <li>• Scale of actual health or wellbeing deficit in significant population groups in NZ's target markets, preferably Asia/China, with estimates of potential market size.</li> <li>• Evidence of the needs and market size.</li> <li>• Evidence of in market consumers' awareness and concerns about the health or wellbeing deficit.</li> <li>• Evidence consumers would respond to a nutritional solution (i.e. via food or beverage products) to improve the specific health/wellbeing deficit.</li> </ul>
2	<b>Regulatory</b> - Potential for approval of marketable claims	<ul style="list-style-type: none"> <li>• Evidence against FSANZ legislation that a claim is applicable</li> <li>• Evidence of potential in target export markets for claim equivalence.</li> </ul>
3	<b>Industry</b> - Evidence of interest and support of New Zealand businesses	<ul style="list-style-type: none"> <li>• Endorsement of target health/wellbeing benefits and potential nutritional solutions by NZ F&amp;B businesses</li> <li>• Evidence of business interest in the project via close engagement in the ongoing research including sharing of consumer insights, products for testing, parallel investment or development etc.</li> <li>• Indication of what business would likely pick the results of the</li> </ul>

		<ul style="list-style-type: none"> <li>research up and take to the next step as part of their innovation pathway</li> <li>Intellectual Property Management Plan that will facilitate achievement of the HVN mission and target</li> </ul>
4	<b>Vision Mātauranga</b> - Addresses specific and distinctive needs and opportunities of Māori-owned F&B exporting businesses aligned with the HVN mission	<ul style="list-style-type: none"> <li>For proposals supporting Māori researcher development, evidence of the distinctiveness of the approach that leverages the Māori ownership and Mātauranga or heritage and its potential to enhance export market success where appropriate</li> </ul>
5	<b>NZ Inc.</b> - Fit with NZ Inc. strategy, resources and ability to capture benefits	<ul style="list-style-type: none"> <li>Evidence that NZ businesses can successfully operate in the target market</li> <li>Evidence that New Zealand can develop proprietary products and capture significant market value (most likely via branded consumer products)</li> <li>Evidence that New Zealand can develop acceptable products and supply the market based on existing resources</li> </ul>

## SCIENCE STRETCH

#	Criteria	Sub-criteria
1	<b>Science Excellence</b> - Assessment of overall research quality including design and methodology	<ul style="list-style-type: none"> <li>Extent to which the research proposed will be leading in the field internationally</li> <li>Extent to which the methodology is appropriate and likely to result in new knowledge in the field of high scientific merit</li> <li>Level of novelty of the approach</li> <li>Clarity of the end point in scientific terms and description of how this will have created a new and potentially valuable understanding or knowledge base</li> </ul>
2	<b>Team</b> - Assessment of research team	<ul style="list-style-type: none"> <li>The potential of any emerging researchers to undertake the research and generate high quality science outputs</li> <li>Evidence of the quality of the overall research team and ability to perform the proposed research to a high standard</li> <li>The strength of the mentoring of the team and of emerging researchers</li> </ul>
3	<b>Additionality</b> - Degree of collaboration, multidisciplinary and integration of research themes and vision Mātauranga	<ul style="list-style-type: none"> <li>Evidence that the research will involve multi-disciplinary approaches that integrates the research across the research themes as appropriate to create novel outcomes that couldn't be achieved by discrete and narrowly defined projects</li> <li>Evidence that researchers have been included from across organisations to assemble the best team for the project</li> <li>The extent to which vision Mātauranga based opportunities and approaches have been embedded within the research programme where appropriate</li> </ul>
4	<b>Capability</b> - Development of new and valuable research capabilities	<ul style="list-style-type: none"> <li>The extent to which the research will create new, sophisticated and cost effective tools for creating and assessing food health relationships likely to be of value to future users</li> <li>The development of emerging NZ researchers with capabilities relevant to supporting the HVN mission including via PhD students and Postdoctoral Fellows</li> <li>The development of Māori researchers with skills relevant to the HVN mission where appropriate</li> </ul>

## APPENDIX 2 – DETAILS OF JULY WORKSHOPS

Following release of this RfP a national roadshow will be held by the HVN team to outline the overall challenge and present this RfP. This will be followed by opportunities to discuss emerging project proposals to determine fit with the RfP and eligibility to apply and be assessed.

The roadshow will involve workshops in four venues as follows:

- 20th July, Palmerston North hosted by Massey University
- 21st July, Wellington hosted by the Malaghan Institute
- 22nd July, Lincoln, hosted by AgResearch
- 23rd July, Dunedin, hosted by Otago University
- 24th July, Auckland, hosted by Auckland University

The details will be confirmed prior to the dates.

The format for the workshops will be based on the following:

- 10am Overview of the High-Value Nutrition National Science Challenge
- 10.15am HVN Research Plan
- 10.45am Overview of the Contestable Funding Request for Proposals
- 11.15am Q&A
- 11.45am End of open workshop

The HVN team will be available following the workshop for one on one sessions with potential applicants to discuss their emerging proposals and provide feedback on fit and eligibility. The feedback will be given in good faith but should not be seen as indicating any endorsement or approval of any concept. These sessions are open to anyone and must be arranged via the host contact. If unable to attend the workshops arrangements can be made for a follow up telephone call to provide feedback on concepts. Any other contact in relation to this RfP should be addressed by email to HVN at this address [hvn@auckland.ac.nz](mailto:hvn@auckland.ac.nz).



## APPENDIX 3 – ASSESSMENT PANEL

The Assessment Panel shall comprise of the following members:

- Chair – who shall be independent of HVN and with experience and expertise in assessing research proposals
- Chair of the Industry Advisory Panel for HVN
- Five senior and independent New Zealand researchers who are not submitting proposals to this RFP and who can cover the breadth of research themes involved including:
  - > Food science and technology
  - > Consumer science
  - > Clinical nutrition
  - > Biomedical science relevant to the health target areas
  - > Vision Mātauranga

HVN Management will be in attendance.

The Panel will have the power to co-opt further members if it doesn't have the breadth to cover the research submitted.

The Assessment Panel will be appointed by the HVN Board and advised at the time of shortlisting. Senior researchers who would be willing to serve on the Assessment Panel are encouraged to contact HVN at [hvn@auckland.ac.nz](mailto:hvn@auckland.ac.nz).

## APPENDIX 4 – PROPOSAL TEMPLATE

Proposals under this RfP must send two documents as PDF files to (hvn@auckland.ac.nz) **by noon on 31 August 2015**.

The first document must be a research investment proposal under either the Business-led or Science-led component of this RfP that addresses the elements in the template below.

The second document must be the collated curriculum vitae of key researchers or individuals using the standard MBIE cv template.

### PROPOSAL TEMPLATE

The following template should be used for proposals under this RfP.

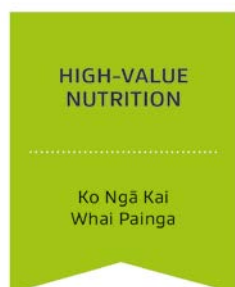
All instructions in italics should be removed and the proposal can be formatted within the constraints of the template in ways the applicant believes is best to communicate to the assessors. This includes font, use of colour and white space and length. Font size for text should be at least 11pt.

Any failure to provide information needed to assess the eligibility of the proposal or its score against the relevant criteria is the responsibility of the applicant. While applicants are free to present their proposals as they choose they are encouraged to be concise.

The template starts on the next page and should be copied and saved as a word document, completed, converted to a PDF and submitted.

# Project Proposal

HVN Contestable Funding - June 2015



## FULL TITLE OF YOUR PROPOSAL

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### 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 achievements 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 must 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**

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#### **Sub subcontractor Lead Researcher**

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#### **Total amount (GST excl.)**

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#### **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 nominating 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:*