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PART B RESEARCH GRANT PROPOSAL

VERSION 2, SEPTEMBER 2019

**Project Name: [Insert name of Research Project]**

**Respondent: [Insert name of Research Organisation]**

**Industry Partner: [Insert name of Industry Partner]**

**Date: [insert date of this document]**

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| --- |
| **RESEARCH PLAN** |

# **About the Research Organisation**

## **1.1 Our Details**

|  |  |
| --- | --- |
| **Item** | **Detail** |
| Trading name: | [insert trading name] |
| Full legal name (if different): | [if applicable] |
| Physical address: | [if more than one office – put the address of your head office] |
| Postal address: | [e.g. P.O Box address] |
| Registered office: | [if you have a registered office insert the address here] |
| Website: | [url address] |
| Type of entity (legal status): | [sole trader / partnership / limited liability company / other please specify] |
| Registration number: | [if your organisation has a registration number insert it here e.g. company registration number] |
| Country of residence: | [insert country where you (if you are a sole trader) or your organisation is resident for tax purposes] |
| GST registration number: | [NZ GST number / if overseas please state] |

## **1.2 Our Point of Contact**

|  |  |
| --- | --- |
| **Item** | **Detail** |
| Contact person: | [name of the person responsible for communicating with HVN] |
| Position: | [job title or position] |
| Phone number: | [landline] |
| Mobile number: | [mobile] |
| Email address: | [work email] |

# **Research Details**

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| --- | --- |
| **Item** | **Detail** |
| Name of Research Project | [insert name of research project] |
| Proposed Research Start Date | [insert proposed start date for project] |
| Proposed Research End Date | [insert proposed project end date] |
| Research Duration | [insert total project duration in months] |
| Proposed Budget | [insert total Project Budget (ex GST) including Industry Co-Funding] |
| Industry Cash Co-Funding | [insert Cash Co-Funding (ex GST) to be provided by Industry Partner(s)] |
| Industry In-Kind Co-Funding | [insert In-Kind Co-Funding (ex GST) to be provided by Industry Partner(s)] |
| Proposed HVN Grant Amount | [insert Grant amount requested from HVN] (ex GST) |
| HVN Fund | Select the Funds(s) you wish to be considered for:  Core Fund  Māori F&B Innovation Fund  Emerging F&B Innovation Fund |
| HVN Grant Category | Select the Research Grant Type you wish to be considered for:  Seed  Explorer  Project  Programme |

# **Summary (< 500 words)**

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| ***Requirements:*** *Provide a brief summary of the research plan, objectives, industry collaboration and outcomes and explain how this aligns to the HVN Mission and Strategy.* |
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# **Background (<500 words)**

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| ***Requirements:*** *Articulate the background to the research, with on particular focus on the problems and opportunities that the research seeks to address* |
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# **Existing Science (<1000 words)**

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| ***Requirements:*** *Provide a synthesis of the existing science and published literature in this area with a particular focus on the F&B product and key ingredients proposed for inclusion in the Research.*  *All pre-clinical and clinical research previously completed on the F&B product or ingredient being provided by the Industry Partner(s) should be detailed in this section. Unpublished reports can be provided under confidentiality.*  *Include appropriate references to published literature (****Note:*** *A bibliography of all references is to be included with the proposal) and detail how the proposal will leverage this existing science to generate new knowledge to address the problems and opportunities detailed in Section 4.* |
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# **Objectives, Milestones and Deliverables (<1000 words)**

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| ***Requirements:*** *Articulate the key Objectives, Milestones and Deliverables for the Research.*  *Discrete studies and other elements of the programme of research should be listed as separate Objectives. Include specifications and dates for achievement of each Objective.*  *Milestones should be notable achievements that plot the path of the research towards achieving the Objectives. They should not include routine tasks. Milestones should be specific, measurable / verifiable (i.e. it is possible to determine if they are achieved or not against an agreed specification) and time-bound (i.e. have an end date). Includes dates for each Milestone.*  *Deliverables may include:*   * *academic publications (including presentations and conferences)* * *reports and resources* * *student qualifications (where relevant)* * *intellectual property (where relevant)* * *new biomarkers and ‘Fingerprints’* * *new research methods*   *Include dates for the achievement of each Deliverable.* |
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# **Outcomes, Benefits and Impacts (<1000 words)**

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| ***Requirements:*** *Articulate the key outcomes, impacts and benefits that are likely to arise from the Research. This should include a discussion on how the results will support future research and the pathway to Full Studies (if relevant). This section should* ***not*** *focus on economic impacts as these will be considered as part of the Industry Business Case.* |
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# **Alignment (<500 words)**

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| ***Requirements:*** *Articulate how the Research is aligned to the HVN Mission, Strategy and the other Alignment Assessment Criteria in this RFP.* |
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# **Vision Mātauranga (<500 words)**

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| ***Requirements:*** *Articulate what attempts have been made to explore opportunities to align the Research to the HVN Vision Mātauranga Strategy and (where relevant) describe how this is reflected in the design of the research plan, the skill mix of the team and relationships with key Māori stakeholders.* |
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# **Research Plan (<2000 words)**

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| ***Requirements:*** *Provide a comprehensive overview of the research plan that will be implemented to achieve the Objectives and Milestones. If the Research Plan includes a clinical study, then provide a detailed description of the key parameters of the study protocol using the* [*SPIRIT Checklist*](http://www.spirit-statement.org/wp-content/uploads/2013/01/SPIRIT-Checklist-download-8Jan13.pdf)(particularly Items 6a – 15) *or comparable international standard for RCT protocol content. Sufficient information must be provided to enable an assessment as to whether the study will be appropriately powered based on a primary end point.* |
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# **Intellectual Property (<500 words)**

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| ***Requirements:*** *Describe any background intellectual property of the Respondents, Industry Partner(s) and Sub-Subcontractors that will be required for the delivery of the Research and any new intellectual property that is likely to be developed as a result of the Research. Discuss at a high-level the proposed IP management arrangements for the Project with reference to the* [HVN IP Policy and Principles](https://www.highvaluenutrition.co.nz/operatingprinciples/)*.*  ***Note:*** *A detailed IP Management Plan will need to be developed within one month of Subcontract execution if the Research Project is approved by the Board.* |
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# **Research Team (<500 words)**

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| ***Requirements:*** *Describe how the Principal Investigator, Lead Scientists and other research team members will contribute to the delivery of the research plan, providing a brief overview of their relevant skills and experience* |
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# **Timeline**

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| ***Requirements:*** *Provide a Gantt chart showing the timeline for the achievement of the Objectives, Milestones and Deliverables* |
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# **Research Funding**

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| ***Requirements:*** *HVN will not provide funding for research activity that is already fully funded through other funding streams. Provide details of any funding applications that are in progress and/or funding that has already been received by the Respondent, Sub-Subcontractors or Industry Partners to:*   * *deliver aspects of the Research* * *develop infrastructure required to deliver the Research* * *deliver other aligned or related activity.* |
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# **Referees (Optional)**

Respondents may supply the details of two referees for your organisation. Include a brief description of the research services that your organisation provided and when.

Please note: in providing these referees you authorise us to collect any information about your organisation, except commercially sensitive pricing information, from the referees, and use such information in the evaluation of your Proposal. You also agree that all information provided by the referee to us will be maintained in confidence in accordance with the Terms and Conditions.

|  |  |
| --- | --- |
| **First referee** | |
| Name of referee: | [insert name of the referee] |
| Name of organisation: | [insert name of their organisation] |
| Research services provided: | [brief description of research services provided] |
| Date of provision: | [insert date when the services were provided] |
| Address: | [insert street address] |
| Telephone: | [insert mobile or landline] |
| Email: | [insert email address] |

|  |  |
| --- | --- |
| **Second referee** | |
| Name of referee: | [insert name of the referee] |
| Name of organisation: | [insert name of their organisation] |
| Research services provided: | [brief description of research services provided] |
| Date of provision: | [insert date when the services were provided] |
| Address: | [insert street address] |
| Telephone: | [insert mobile or landline] |
| Email: | [insert email address] |

# **Attachments**

Ensure that the following are attached to your Proposal:

1. Bibliography for research referenced in the Research Plan
2. Budget using the Budget Template on the HVN website
3. MoU or Letter of Collaboration
4. CVs for Named Researchers using the CV Template in Appendix 4

# **Declaration**

Indicate whether the Respondent agrees or disagrees with the Declarations shown in the table below. If you disagree with any of the Declarations, provide an explanation and suggested resolution.

|  |  |  |
| --- | --- | --- |
| **Respondent’s declaration** | | |
| **Topic** | **Declaration** | **Respondent’s declaration** |
| **Terms and Conditions:** | I/we have read and fully understand this RFP, including the Review and Assessment Process and the Terms and Conditions. I/we confirm that the Respondent/s agree to be bound by the Terms and Conditions. | **[agree / disagree]** |
| **Research Funding** | I/We acknowledge that HVN does not provide Grants for activity that is already fully funded through other funding streams and agree to notify the Challenge Contractor immediately if any of the Research detailed in this Proposal is funded through another source. | **[agree / disagree]** |
| **Collection of further information from nominated referees (if any):** | The Respondent/s authorises the Challenge Contractor to:   1. collect any information about the Respondent, except commercially sensitive pricing information 2. use such information in the evaluation of this Proposal.   The Respondent/s agrees that all such information will be maintained in confidence in accordance with the Terms and Conditions. | **[agree / disagree/ n/a]** |
| **Requirements:** | I/we have read and fully understand the nature and extent of the RFP. I/we confirm that the Respondent/s has the necessary capacity, capability and availability to deliver the Research Plan. | **[agree / disagree]** |
| **Ethics:** | In submitting this Proposal the Respondent/s warrants that it has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the Challenge Contractor or the Assessment Panel. | **[agree / disagree]** |
| **Conflict of Interest declaration:** | The Respondent warrants that it has no actual, potential or perceived Conflict of Interest in submitting this Proposal, or entering into a Subcontract with the Challenge Contractor to deliver the Research Plan. Where a Conflict of Interest arises during the RFP process the Respondent/s will report it immediately to the Challenge Contractor’s Point of Contact. | **[agree / disagree]** |
| **Details of conflict of interest:** [if you think you may have a conflict of interest briefly describe the conflict and how you propose to manage it or write ‘not applicable’]. | | |
| **Disagreement(s) with Declarations:** [if you have declared ‘disagree’ for any of the Declarations in this Section, provide an explanation and suggested resolution]. | | |
| **DECLARATION**  **I/we declare that in submitting the Proposal and this declaration:**   1. **the information provided is true, accurate and complete and not misleading in any material respect** 2. **the Proposal does not to the best of our knowledge contain intellectual property that will breach a third party’s rights** 3. **I/we have secured all appropriate authorisations to submit this Proposal, to make the statements and to provide the information in the Proposal and I/we am/are not aware of any impediments to enter into a Subcontract with the Challenge Contractor to deliver the Research Plan.**   **I/we understand that the falsification of information, supplying misleading information or the suppression of material information in this declaration and the Proposal may result in the Proposal being eliminated from further participation in the RFP process.**  **By signing this declaration the signatory below represents, warrants and agrees that he/she has been authorised by the Respondent/s to make this declaration on its/their behalf.** | | |
| **Signature:** |  | |
| **Full name:** |  | |
| **Title / position:** |  | |
| **Name of organisation:** |  | |
| **Date:** |  | |

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| **INDUSTRY BUSINESS CASE** |

# **About the Industry Partner**

## **1.1 Our Details**

|  |  |
| --- | --- |
| **Item** | **Detail** |
| Trading name: | [insert the name that you do business under] |
| Full legal name (if different): | [if applicable] |
| Physical address: | [if more than one office – put the address of your head office] |
| Postal address: | [e.g. P.O Box address] |
| Registered office: | [if you have a registered office insert the address here] |
| Business website: | [url address] |
| Type of entity (legal status): | [sole trader / partnership / limited liability company / other please specify] |
| Registration number: | [if your organisation has a registration number insert it here e.g. company registration number] |
| Country of residence: | [insert country where you (if you are a sole trader) or your organisation is resident for tax purposes] |
| GST registration number: | [NZ GST number / if overseas please state] |

## **1.2 Our Point of Contact**

|  |  |
| --- | --- |
| **Item** | **Detail** |
| Contact person: | [name of the person responsible for communicating with HVN] |
| Position: | [job title or position] |
| Phone number: | [landline] |
| Mobile number: | [mobile] |
| Email address: | [work email] |

## **1.3 Our Profile (<500 words)**

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| --- |
| ***Requirements:*** *Provide a brief overview of your organisation and operating model. This should include:*   * *Organisation purpose (vision, mission and values)* * *Goods and services produced* * *Key source(s) of raw materials and ingredients for F&B produced* * *Location of production and manufacturing facilities* |
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## **1.4 Our Strategy (<500 words)**

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| ***Requirements:*** *Provide a brief overview of your corporate strategy, business unit strategy (if relevant), marketing strategy and international strategy. This should include:*   * *Where your company competes in terms of industries and geographic areas* * *How your company competes in these markets (i.e. cost, differentiation, focus) and engages with consumers, with particular reference to high-value F&B* * *Current and proposed F&B export activity* * *Sources of competitive advantage in target markets* * *Mode of entry (i.e. exporting, alliances, joint ventures, subsidiaries)* |
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## **1.5 Our R&D Strategy (<500 words)**

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| ***Requirements:*** *Provide a brief overview of your approach to R&D and current involvement with the New Zealand research ecosystem. This should include:*   * *How your R&D strategy supports your corporate and business unit strategies* * *Internal R&D capacity and capability (staff, facilities)* * *Ay relevant research initiatives that are aligned to your Response* |
|  |

## **1.6 Our Approach to Sustainability (<500 words)**

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| --- |
| ***Requirements:*** *Provide a brief overview of your approach to sustainability with reference to the UN Sustainable Development Goals and the* [*SDG Matrix for Food, Beverage & Consumer Goods*](https://www.unglobalcompact.org/docs/issues_doc/development/SDGMatrix-ConsumerGoods.pdf)*.* |
|  |

# **Product Evaluation Criteria (each section <500 words)**

## **2.1 F&B intervention**

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| --- |
| ***Requirements:*** *The information provided in this section is of critical importance to the Assessment Panel.*  *Provide a detailed description of the F&B product or ingredient proposed for inclusion in the research collaboration. This should include:*   * *name of food or ingredient (including prescribed name, if relevant)* * *a copy of the current New Zealand food label (if relevant)* * *ingredients, any added substances and nutrition information* * *chemical composition and bioactive compounds* * *physical properties* * *the end format and directions for use* * *dosage (if known)* * *storage conditions and shelf life* * *treatment(s) to extend shelf life (if relevant)* * *safety information (including toxicological information and any advisory statements, warning statements or declarations required under relevant legislation and codes)* |
|  |

## **2.2 NPSC Category and Score**

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| ***Requirements:*** *Enter the NPSC category and score for the proposed F&B product, inclusive of supporting calculations. Refer to the Food Standards Australia New Zealand website for more information on the* [*NPSC.*](http://www.foodstandards.gov.au/industry/labelling/Pages/Consumer-guide-to-NPSC.aspx) |
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## **2.3 F&B Production**

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| ***Requirements:*** *Describe how and where the food:*   * *is currently produced (existing F&B products)* * *will be produced for the research* * *will be commercially produced for target export market(s)* * *practices, programmes and certifications in place to ensure food safety* |
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## **2.4 Regulatory Status in NZ**

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| --- |
| ***Requirements:*** *Describe the regulatory status of the proposed F&B in New Zealand and the regulatory compliance plan that is in place to obtain and maintain regulatory approvals.*  *This may include:*   * *classification as a food, supplement, medicine or other category* * *classification of the food under Chapter 2 of the ANZ Food Standards Code* * *whether pre-market clearance is required in New Zealand under the Food Standards Code* * *whether the product is currently available or approved for sale in New Zealand* * *any specific approvals or certifications that have been obtained from MPI, FSANZ or other regulatory authorities or the details of discussions with such authorities on the steps required to obtain such approvals* * *information related to nutrition, health or related claims (current or proposed)*   *Refer to the Ministry for Primary Industries guide ‘Key regulatory considerations for HVN programmes’ (2019) on the HVN website for more information about New Zealand regulatory requirements.*  **Note:** A full regulatory compliance plan can be submitted under confidentiality to support your proposal. |
|  |

## **2.5 Regulatory Status in Target Market(s)**

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| --- |
| ***Requirements:*** *Describe the regulatory status of the proposed F&B in the Target Market(s) (to the extent known) and the regulatory compliance plan that is in place to obtain and maintain regulatory approvals.*  *This may include:*   * *classification as a food, supplement, medicine or other category* * *whether pre-market clearance is required* * *whether the product is currently available or approved for sale* * *any specific approvals or certifications that have been obtained or the details of discussions with regulatory authorities on the steps required to obtain such approvals* * *information related to nutrition, health or related claims*   **Note:** A full regulatory compliance plan can be submitted under confidentiality to support your proposal. |
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## **2.6 Relevance to Asian Consumers**

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| ***Requirements:*** *Describe how and what consumer insights have been derived to determine that the proposed F&B is of relevance to Asian consumers.*  ***Note:*** *The Knowledge section on the HVN website contains reports on consumer insights derived in China during Tranche 1.* |
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## **2.7 Vision Mātauranga**

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| ***Requirements:*** *Describe how the collaboration and, in particular, the activities of the Industry Partner contribute to Vision Mātauranga. Refer to the HVN Vision Mātauranga Strategy on our website for more information.* |
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## **2.8 NZ Inc.**

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| ***Requirements:*** *Describe how the collaboration adopts an ‘NZ Inc’ approach. Consider the consumer, networking and reputational perspectives outlined in Section 4 of Part A.* |
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# **Export Market Opportunity (each section <500 words)**

## **3.1 Target market(s)**

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| --- |
| ***Requirements:*** *Describe the target market(s) for the F&B intervention, including segmentation analysis.* |
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## **3.2 Scale of export market opportunity**

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| ***Requirements:*** *Describe the scale of the export market opportunity in terms of total potential customers and projected sales volumes. Include relevant assumptions and reference to supporting market research and analysis.* |
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## **3.3 Entry barriers and risks**

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| ***Requirements:*** *Describe the barriers and risks to achieving the projected sales volumes described in this Business Case. Outline the steps that have or will be taken to address these barriers and risks.* |
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## **Incorporation of research findings**

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| ***Requirements:*** *Describe how the Research findings will be incorporated into your operating model to execute your international strategy. This should include a description of how the research results will be incorporated into marketing and commercialisation strategies.* |
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# **Projected Economic Impacts**

## **4.1 Initial Investment**

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| **Requirements:** Detail the total investment in the research collaboration in terms of:   1. HVN funding 2. Industry cash co-funding 3. Industry in-kind co-funding   Explain in detail how the value of in-kind co-funding has been calculated. |
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## **4.2 Counter-factual export revenue projections**

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| **Requirements:** Provide the current counter-factual export revenue projections for the F&B product for each financial year through to 30 June 2024. The counter-factual projections are the export volumes and prices that are expected to occur if the research does not proceed. Provide a breakdown of projected export volumes, prices and total gross export revenue for those target market(s) where the research is expected to support sales. Clearly state all significant assumptions, risks and uncertainties. |
|  |

## **4.3 Projections for additional export revenue**

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| **Requirements:** Provide the projections for additional export revenue from the F&B product that are expected to arise as a result of the research. Projections should be provided for each financial year through to 30 June 2024. Provide a breakdown of projected export volumes, prices and total gross export revenue. Clearly state all significant assumptions, risks and uncertainties. |
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## **4.4 Other economic impacts**

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| **Requirements:** Provide an overview of any other direct or indirect economic impacts that are expected to arise as a result of the Research. Clearly state all significant assumptions, risks and uncertainties. |
|  |

## **4.5 Other social impacts**

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| --- |
| **Requirements:** Provide an overview of any other direct or indirect social impacts that are expected to arise as a result of the Research. Clearly state all significant assumptions, risks and uncertainties. |
|  |

## **4.6 Other environmental impacts**

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| --- |
| **Requirements:** Provide an overview of any other direct or indirect environmental impacts that are expected to arise as a result of the Research. Clearly state all significant assumptions, risks and uncertainties. |
|  |

# **Referees (Optional)**

Industry Partners may supply the details of two referees for your organisation. You should nominate referees that can attest to the capability, capacity and commitment your organisation to support the Research over the term of the Project and to commercialise the results for the benefit of New Zealand.

Please note: in providing these referees you authorise us to collect any information about your organisation, except commercially sensitive pricing information, from the referees, and use such information in the evaluation of the Business Case. You also agree that all information provided by the referee to us will be maintained in confidence in accordance with the Terms and Conditions.

|  |  |
| --- | --- |
| **First referee** | |
| Name of referee: | [insert name of the referee] |
| Name of organisation: | [insert name of their organisation] |
| Relationship to Respondent: | [brief description of relationship between referee and Respondent] |
| Reason for nomination: | [brief description of why referee has been nominated] |
| Address: | [insert street address] |
| Telephone: | [insert mobile or landline] |
| Email: | [insert email address] |

|  |  |
| --- | --- |
| **Second referee** | |
| Name of referee: | [insert name of the referee] |
| Name of organisation: | [insert name of their organisation] |
| Relationship to Respondent: | [brief description of relationship between referee and Respondent] |
| Reason for nomination: | [brief description of why referee has been nominated] |
| Address: | [insert street address] |
| Telephone: | [insert mobile or landline] |
| Email: | [insert email address] |