

MBIE PreSeed Accelerator Fund Call for Proposals

Supporting early stage technology commercialisation

Call for Proposals

January 2016



**MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT**
HĪKINA WHAKATUTUKI

The Ministry of Business, Innovation and Employment reserves the right to withdraw or amend, at any time, this Call for Proposals or any part of it.

All financial information in this document is indicative only, and does not include GST.

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PRESEED ACCELERATOR FUND AT A GLANCE

Indicative funding

Funding mechanism	Indicative funds available (\$ per year)	Term
PreSeed	\$5.3 million	3 years

Note: all funding figures exclude GST

Submission dates

PreSeed	Call for Proposals released	27 January 2016
	MBIE Portal opens for applications	26 February 2016
	Portal closes – all proposals must be submitted to MBIE by 12 noon	24 March 2016

Who can apply?

New Zealand-based research organisations or legal entities based in New Zealand representing a New Zealand-based research organisation that have a regular and demonstrated flow of suitable commercialisation projects.

Accessing MBIE's online portal

New applicants

<http://www.msi.govt.nz/get-funded/how-to-apply-for-funding/http://www.mbie.govt.nz/info-services/science-innovation/investment-funding/how-we-invest/how-to-apply>

Returning applicants

Log in using your current customer details.

Further information

MBIE's website	Information on PreSeed is available at the MBIE website ¹
MBIE's <i>Alert</i> e-newsletter	Applicants can subscribe to Alerts at the MBIE website
Email	<i>Proposal queries:</i> investmentround@mbie.govt.nz <i>Portal queries:</i> IMSsupport@mbie.govt.nz
Phone	<i>Portal queries:</i> 0800 693 778 (Monday to Friday, 8:30am to 4:30pm)

¹ See Appendix C for Web links to documents referred to in this Call for Proposals

INTRODUCTION

The Ministry of Business, Innovation and Employment (MBIE) invites proposals for the 2016 PreSeed Accelerator Fund (PreSeed) investment round.

The purpose of PreSeed is to undertake early stage technology commercialisation activities to:

- maximise the commercial benefits to New Zealand from publicly funded research
- improve the commercial capability and skills of public research organisations
- promote linkages between public research organisations and potential private sector partners, including industry players and capital providers in New Zealand and offshore.

These goals are achieved by progressing technology prospects through a commercialisation process towards a point of investor-readiness. The end goal of PreSeed is to attract investor interest to publicly funded research and development. Contract holders will allocate their PreSeed funds to commercialisation projects of their own choosing in conjunction with recommendations and/or approval from a Commercialisation Partner Network investment committee.

There is \$5.3 million per annum excluding GST available for investment from 1 July 2016. Final amounts available for investment may be influenced by government changes to investment levels and appropriations.

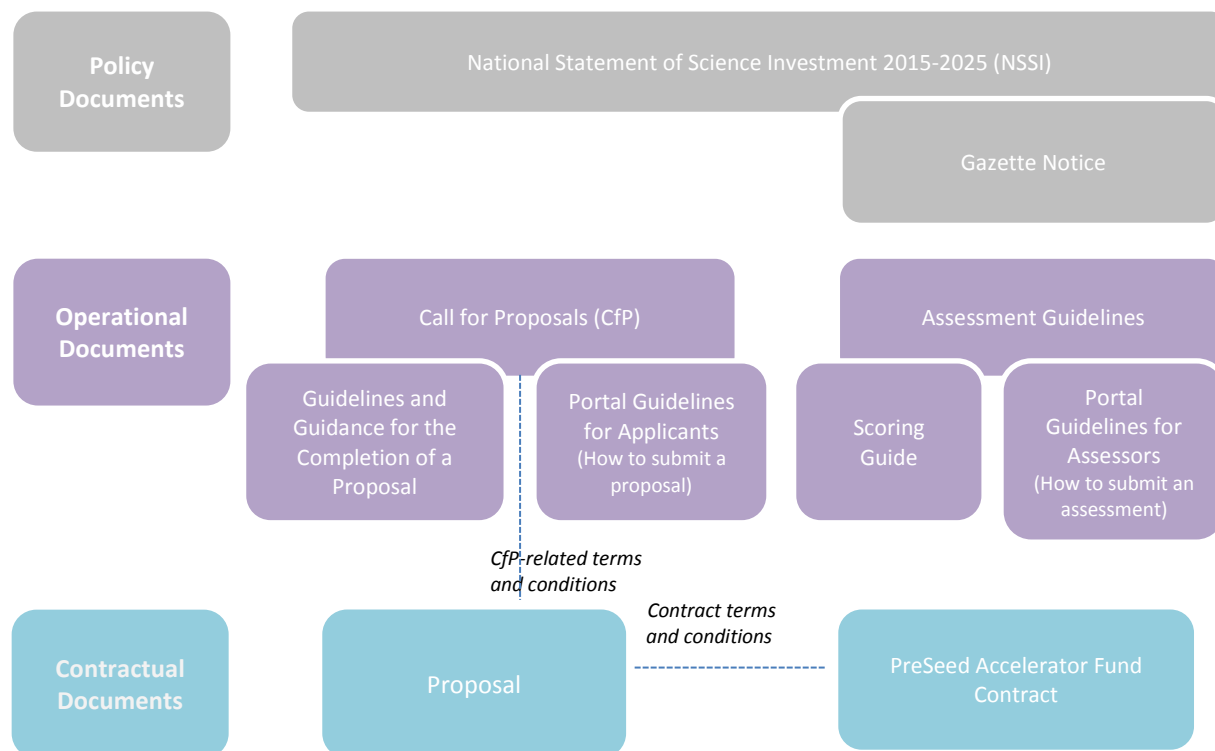
Final allocations of funding made by MBIE will depend upon the quality of proposals and if applicable, past performance of the applicants' prior PreSeed contracts.

This *Call for Proposals* (CfP) presents information applicants need to know about the PreSeed investment process.

The CfP is one of a suite of documents (Figure 1) that together, provide information about PreSeed, its funding mechanisms and the application and assessment process, to help applicants develop and submit a proposal. Applicants should read this CfP in conjunction with other relevant documents, particularly those listed in Table 1, before beginning to develop proposals. Proposals must be submitted through the MBIE online portal.

MBIE reserves the right to withdraw or amend, at any time, this CfP or any part of it. Any changes to the CfP will be notified via MBIE's *Alert* e-newsletter for the contestable science investment round. Applicants can sign up to receive the science investment *Alerts* at the [MBIE website](#).

Figure 1: Sources of information about MBIE PreSeed Accelerator Fund



Terms used in this CfP and web addresses (URLs) for related documents are listed in the appendices to this CfP.

PreSeed Changes for 2016

The recent *PreSeed Accelerator Fund Outcomes* review recognises that PreSeed is working well and is delivering substantial benefits for research commercialisation. Hence changes for this funding round are small and few.

The eligibility of projects is being broadened. Previously, the use of PreSeed funds was tied to the purposes of the Biological Industries and High-Value-Manufacturing and Services research funds. The NSSI announced a change to a single, contestable fund, which will be managed as an investment portfolio across social, environmental and economic objectives. PreSeed too will now accept projects that result from any publicly-funded research or research capability which align with the priorities in the *Contestable Research Fund Investment Plan*.

The protection of valuable IP is a key tool in commercialisation. To promote this, the full costs for direct patent protection, trademark, design or copyright costs are now eligible for PreSeed funding. This is an increase from 50% of those costs in 2013.

A focus for MBIE is to use accurate, reliable, accessible and timely data to improve science and innovation in New Zealand. To that end, MBIE will request from PreSeed contract holders the names of Principal Investigators for each PreSeed project, to help MBIE better understand the flow of funding, capability, and ideas from inception to realisation.

Payment of PreSeed will also be changed from quarterly to monthly invoicing to help PreSeed contract holders with managing their funding flows.

ESSENTIAL READING

The documents listed below describe PreSeed and the context in which investment will be made in 2016. Proposals seeking funding from PreSeed should respond to the investment signals and other information contained in these documents.

Table 1: Essential reading

Document	Purpose
<ul style="list-style-type: none"> • Business Growth Agenda 	The Government’s priorities for building a more competitive and productive economy.
<ul style="list-style-type: none"> • <i>National Statement of Science Investment 2015–2025 (NSSI)</i> 	Outlines the Government’s 10-year vision for New Zealand’s science system.
<ul style="list-style-type: none"> • Contestable Research Fund Investment Plan 	Provides a three-year outlook for priorities for investment .
<ul style="list-style-type: none"> • <i>RS&T Funding Subject to a Separate Decision-making Process, New Zealand Gazette, 6 June 2013, page 1918</i> 	<p>Outlines that, unlike many other MBIE science investment funds, the decision process for this Fund is not through the Science Board. Rather, the decision is made by MBIE.</p> <p>If there are any inconsistencies between the Gazette Notice and any other document, the Gazette Notice takes precedence.</p>
<ul style="list-style-type: none"> • Vision Mātauranga policy 	The government’s policy framework that aims to unlock the innovation potential of Māori knowledge, resources and people to assist New Zealanders to create a better future through its research investments.
<ul style="list-style-type: none"> • Guidance for the Completion of a Proposal (hereafter referred to as Proposal Guidelines)² 	<p>Explains the purpose of each section of the application form and suggests information that an applicant may wish to include in writing their proposal.</p> <p>An Alert will be posted when these Guidelines are available.</p>
<ul style="list-style-type: none"> • Guidelines for Assessing Proposals¹ 	Provides details of the scoring guides and an indication of the information assessors will be looking for in assessing a proposal(s) submitted to this fund. MBIE provides these guidelines to assessors.
<ul style="list-style-type: none"> • Portal Guidelines for Applicants¹ 	Explains how to submit a proposal through the

² Email Alerts will be issued when these guidelines are available. Applicants can sign up to receive Alerts at the [MBIE website](#).

Document	Purpose
	MBIE portal.

To apply for PreSeed, applicants must also be familiar with the [Terms and Conditions related to this CfP](#) (listed in Appendix D) and the [PreSeed Accelerator Fund Investment Contract](#). These documents outline the terms and conditions under which:

- i) they would submit their proposal;
- ii) proposals that are allocated funding through PreSeed will be funded.

Applicants will be asked to indicate when they submit their proposal that they agree to these terms and conditions.

ELIGIBILITY

Only public or not-for-profit private research organisations in New Zealand that have a regular and demonstrated flow of eligible commercialisation projects may apply.

A research organisation means an organisation that has internal capability for carrying out research, science or technology or related activities. Eligible organisations include but are not limited to:

- collectives of eligible research organisations
- Crown research institutes
- universities, wānanga, and polytechnics
- majority owned subsidiaries of eligible research organisations (for example, Auckland Uniservices Limited, Lincoln Agritech Limited, Otago Innovation Limited)

Applicants will be asked to confirm that their organisation meets these criteria when submitting an application.

MBIE will decline to have assessed, or to fund, proposals that do not meet the eligibility criteria.

KEY DATES

Table 3: Key dates for investment mechanisms

PreSeed investment	
29 January 2016	Call for Proposals released
26 February 2016	MBIE Portal opens for applications
24 March 2016	MBIE Portal closes for proposals – all proposals must be submitted to MBIE by 12 noon
1 June 2016	MBIE announces selection results
1 July 2016	Contracts commence

MBIE will make **decisions on funding** for PreSeed in May 2016. Applicants will be **notified of decisions** in June 2016.

Contracts will begin on 1 July 2016 for proposals that are allocated funding.

USE OF PRESEED

PreSeed investment mechanism

Successful applicants will oversee the funding of a set of PreSeed projects. Contract holders will allocate their PreSeed funds to eligible commercialisation projects of their own choosing in conjunction with recommendations and/or approval from a Commercialisation Partner Network (CPN) investment committee as outlined in the [Use of CPN investment committees](#) section.

Duration of PreSeed contracts

Contracts will be for three years with a review of MBIE's PreSeed investment at the end of that period.

Co-funding requirements

PreSeed is available to support up to 50 per cent of the total costs of eligible projects. Co-funding cannot include any funding provided by MBIE, aside from CRI core funding and Callaghan Innovation's Strategic Investment Fund. Any suitable mix of the applicants own and/or externally generated funds can make up the balance. Private sector in-kind contributions can be counted as part of the co-funding up to 60 per cent of the co-funded amount (or up to 30 per cent of the total project cost).

Eligible commercialisation projects

Eligible projects are those that arise from publicly funded research carried out by New Zealand-based public sector research organisations or from the research capability in these organisations.

Eligible expenses

The following expenditure by commercialisation projects is eligible for funding:

- pro-rated salaries of R&D and commercialisation staff plus appropriate proportion of indirect costs
- the appropriate proportion of the depreciation cost for equipment, buildings and other assets
- related research consumables and field accommodation costs
- the costs of subcontracted R&D provision. Overseas contractor costs are permissible
- prototype development to the point where it is investor-ready. Investor-ready is defined as a working prototype or similar stage at which a private sector firm, venture capital investor or other investor may reasonably be expected to be attracted, in order to advance, or to complete, the commercialisation process
- product certification costs
- pre-clinical studies, but not clinical trials
- direct patent protection, trademark, design or copyright costs (patent defence costs are not permitted)
- market research, IP strategy development, commercialisation partner engagement (both local and offshore) and other activities associated with progressing a technology development towards investor readiness.

Use of CPN investment committees

PreSeed investment will be devolved to the contract holder; however expenditure beyond a certain level will require approval from a CPN investment committee (as outlined in the following table). This requirement is to ensure high-quality decisions; to enhance the connectivity between public

sector providers, entrepreneurs and firms; and to increase the visibility of commercialisation projects in the national pipeline.

The CPN was established to achieve the following outcomes:

- operate efficient and effective processes for the selection of and investment in portfolios of commercialisation projects
- improve commercialisation capabilities in and across commercialisation units
- ensure that commercialisation units have access to the best domestic and international expertise to help them manage commercialisation projects
- build domestic and international linkages with incubators, commercial investors, entrepreneurs, business and industry groups so that commercialisation offices can tap into supportive networks

There are three members of the CPN: Kiwi Innovation Network Limited (KiwiNet), Auckland Uniservices Limited (Return on Science) and Canterbury Regional Innovation System (CDC). KiwiNet and Return on Science run investment committees which can be used for review, assistance and approval of PreSeed projects.

There are five approved investment committees (MBIE reserves the right to approve others or withdraw support from these). The committees are:

- KiwiNet Investment Committee
- Return on Science Biotech and Life Sciences Investment Committee
- Return on Science ICT Investment Committee
- Return on Science Physical Sciences Investment Committee
- Return on Science Agritech and Agbio Investment Committee

Contract holders will be able to select any one of the committees to obtain feedback or approval for funding. The process for using the CPN investment committees varies with the total PreSeed claim for each specific project (not including co-funding) and is outlined below:

CPN investment committee process	
PreSeed Amount (not co-funding)	Process
Level 1 - Less than \$60,000	<p>Contract holders must notify a CPN investment committee of the decision to fund a project when the project commences.</p> <p>A brief outcomes report must also be provided to a CPN investment committee on completion of the project.</p> <p>Once the total PreSeed project spend is approaching \$30,000, it is recommended that the project be presented to a CPN investment committee for feedback and guidance</p>
Level 2 - Equal to or more than \$60,000	<p>A CPN investment committee must provide approval for projects that are budgeted to claim equal to or greater than \$60,000.</p> <p>The CPN investment committee will not provide approval in arrears for costs that have been incurred without prior investment committee input.</p>

CPN investment committees will be required to ensure adequate provisions are made for confidentiality and conflicts of interest when they are gathering information about projects.

Project funding limits

In order to ensure that eligible commercialisation projects are progressed efficiently towards endpoints and to ensure a diverse portfolio, MBIE expects that most projects will not exceed \$250,000 in PreSeed funding and will not be funded for more than two years.

Payment schedule

MBIE will pay monthly in arrears on receipt of an invoice and activity report showing expenditure for that period.

Unspent funds

To avoid the situation where PreSeed is not fairly allocated according to demand, MBIE will have the ability to reallocate funds on an annual basis should it be required. Contract amounts may be varied once MBIE has considered the contract holder's annual report as defined in the [Contracting](#) section and discussed this with the contract holder.

THE APPLICATION PROCESS

Conflict of interest

Applicants can identify in their proposal any person considered to have a direct or indirect conflict of interest with the proposed activities. Direct and indirect conflicts are defined in the glossary in Appendix B.

MBIE intends to post a list of potential assessors on MBIE's website before proposals are assigned to assessors, so applicants may check for, and advise MBIE of, any potential conflicts of interest.

As soon as applicants identify potential conflicts of interest or if applicants are unsure whether interests present a conflict then they should contact MBIE, by emailing investmentround@mbie.govt.nz.

Responding to Vision Mātauranga

Vision Mātauranga is a science investment policy that applies to all our contestable funds. It seeks to achieve benefits to New Zealand from the innovation potential of Māori knowledge, resources and people.

The base proposition in our investment approach is that Māori have an interest in all research unless the applicants provide a rationale to show that Vision Mātauranga is not applicable. We expect to see conscious consideration of meaningful and evolving practice in how Māori-held knowledge, resources and people are involved in research and its uptake.

Every proposal must show how the applicant has considered, identified and responded to opportunities presented by Māori knowledge, resources and people relevant to the activities being undertaken.

Vision Mātauranga is assessed within all of the criteria. It is not a separate or additional assessment.

Providing assessment information

Independent assessors appointed by MBIE, will assess proposals that MBIE has deemed eligible for funding, in accordance with the assessment criteria in this Call for Proposals. Proposals need to contain information that is relevant to, and can be used by assessors, to determine the Excellence and potential Impact of applicant's proposed research, science and technology or related activities.

Two documents will be available to help applicants provide assessment information:

<i>Proposal Guidelines</i>	Outlines the sections applicants will need to complete in proposals and provides suggestions for information to be included in each section.
<i>Assessment Guidelines</i>	Provides details of the scoring guide and an indication of the information assessors will be looking for in assessing proposals. These are the guidelines MBIE provides to assessors. An email <i>Alert</i> will be issued when <i>Assessment Guidelines</i> are available. If applicants have not yet signed up to receive <i>Alerts</i> they can do so at the MBIE website .

Meeting data requirements

Open data

MBIE is committed to ensuring that all science data generated through its investments meets minimum expectations of good data management and public availability. If contract holders receive funding from the MBIE Contestable Research Fund, MBIE expects contract holders to comply with the [New Zealand Government Open Access and Licensing Framework](#). This framework advocates the use of Creative Commons licences.

Environmental data management

Proposals that include environmental research data are subject to MBIE's [Environmental Data Management Policy Statement](#).

If a proposal is recommended for funding for research that includes environmental research data the contracting organisation must agree to license any copyright works produced under a [Creative Commons Attribution 3.0 New Zealand](#) licence (CC-BY) all copyright works produced, except data that identifies an individual or an individual farm.

Submitting proposals

MBIE will not accept proposals received after submission deadlines. Applicants must submit their proposal by 12 noon on the due dates provided in this Call for Proposals or as modified through MBIE Alerts.

All proposals must be submitted through MBIE's online portal. For details on how to use the portal, please see [Portal Guidelines for Applicants](#). If proposals will be submitted by a university or a Crown research institute, research office will also be able to provide applicants with advice.

Terms and conditions related to this CfP

By submitting a proposal applicants are agreeing to:

- [Terms and Conditions related to this CfP](#)
These explain how MBIE will use the information that applicants provide, and clarify important features of applying for funding, such as confidentiality of information, intellectual property ownership, and talking to news media about the proposal.
- The terms and conditions of the [PreSeed Accelerator Fund Investment Contract](#), should a proposal be funded.

FUNDING DECISIONS

Pursuant to section 5(2) of the Research, Science and Technology Act 2010, and as set out in the New Zealand Gazette Notice Number 3481, 6 June 2013, MBIE determines the decision-making process and makes funding decisions for PreSeed.

Investment allocation

MBIE decides which proposals will receive funding in accordance with the assessment criteria and other considerations set out below.

In making its funding decisions, MBIE may decide to allocate less than the total funding indicated.

MBIE's funding decisions are informed by the recommendations of the independent expert assessors. The names of members of the assessment panel will be issued when the Assessment Guidelines are available.

Funding of individual proposals

In allocating funds to a proposal, MBIE may:

- set pre-contractual conditions which must be met before MBIE and the applicant organisation can enter into a [PreSeed Accelerator Fund Investment Contract](#)
- set special conditions in addition to the general terms and conditions set out in the [PreSeed Accelerator Fund Investment Contract](#)
- vary the proposed term of a proposal, or require specified conditions to be met during the term of a contract before the proposal is funded for the full term
- vary the funding allocated from that requested.

Assessment criteria

Applicants need to provide information on:

- Proof of eligibility to submit a proposal
- Budget
- Work programme details which will form the basis of Schedule 3 in the PreSeed contract
- Each of the assessment criteria outlined below

The criteria and relative weightings for assessment of proposals submitted to PreSeed are:

Criterion	Weighting	Description
Return on Investment	50%	This criterion reflects the outcomes of the applicant's previous PreSeed projects and potential for returns on current and future PreSeed projects.
Pathway to Market	20%	This criterion addresses the systems and processes the applicant has in place to ensure an efficient and effective commercialisation process.
Ability to Deliver	20%	This criterion measures the ability of the applicant and its commercialisation team to deliver positive commercialisation outcomes.
Future Commercialisation Ability	10%	This criterion measures the applicant's ability to transfer technology, become more innovative, and to build its commercialisation capabilities and skills.

Additional information that the applicants should consider when submitting information can be found in Appendix A.

A final decision on which of the proposals will be funded and the amounts contracted will be made by the Deputy Chief Executive of the Labour, Science and Enterprise Group of MBIE.

CONTRACTING

Successful applicants will need to enter into a [PreSeed Accelerator Fund Investment Contract](#) (subject to any pre-contractual conditions being met).

Applicants agree to the terms and conditions of the [PreSeed Accelerator Fund Investment Contract](#), when proposals are submitted. Applicants therefore need to be familiar with the content of that document.

The work programme sets out the details of the research, science and technology and related activities for which applicants have been funded and, subject to any variation required by the MBIE, are extracted directly from the information applicants provide in their proposal.

Performance monitoring of PreSeed contracts

PreSeed contract holders must provide monthly and annual reports against a set of performance metrics. The metrics to be employed are provided in the contract and detailed below.

Monthly Performance Measures

Monthly reporting tracks the management of PreSeed commercialisation projects. It focuses on evidence that contract holders are taking the agreed actions in terms of progressing PreSeed projects.

The report will include:

- total PreSeed claim for month and year-to-date
- total non- PreSeed funds applied to PreSeed projects for month and year-to-date (co-funding)
- list and description of all active projects including name and, where available, identifier (such as the Open Researcher and Contributor ID) for the principal investigator
- number of assessed projects
- number of approved projects
- ANZSRC FOR and SEO codes for approved projects
- number of matured projects
- number of terminated projects

Annual performance measures

Annual reporting tracks the wider benefits of PreSeed funding over time. Measures focus primarily on economic impact, development of the pipeline and acceleration of the number of projects or the speed of the commercialisation process.

The report will include:

- commercial benefits realised during the year from any PreSeed project since its inception including:
 - number of commercial deals
 - revenue generated by PreSeed -funded projects (whether to the contract holder or to spin-out entity)
 - capital value of deals, spin-outs or joint ventures
 - investment from external sources
 - employment opportunities generated or sustained
- healthy pipeline of projects including the number of projects in the past year by category:
 - new in reported year

- IP rights transferred in reported year
- matured in reported year
- terminated in reported year
- active and ongoing
- co-funding:
 - percentage and amount of investment from applicants internal sources
 - percentage and amount of investment from external investors
 - percentage and amount of funding from re-prioritised funds

FINDING OUT MORE

If a potential applicant has questions about any aspect of the PreSeed investment process, they can email or phone MBIE.

For queries about the content of proposals or the assessment process, email investmentround@mbie.govt.nz

For queries about how to use the portal, or technical issues about its use, an applicant can email IMSsupport@mbie.govt.nz

To contact an MBIE staff member, please phone 0800 693 778, Monday to Friday, between 8:30am and 4:30pm.

APPENDIX A: ASSESSMENT CRITERIA

Proposals are limited to 9000 words total and must be developed in accordance with the instructions on the Portal. Each proposal will be assessed with regard to the extent to which the proposal meets the following criteria.

Return on Investment (50 per cent)

This criterion reflects the outcomes of the applicant's previous PreSeed projects, where appropriate, and potential for returns on current and future PreSeed projects. New applicants should submit relevant evidence about their previous and current commercialisation work outside of PreSeed.

- number and description of commercial deals (technology deals, licences, capital raised) arising from PreSeed projects
- value of technologies realised from PreSeed projects
- percentage and amount of investment from external investors such as firms, industry associations, private investors, venture capital, central and local government
- percentage and amount of investment from all other sources including reprioritised funds and internal funds
- details of the projects in the pipeline
- whether the pipeline of potential PreSeed projects is likely to lead to a platform of high-margin, value-added products or services with significant national and global market potential
- whether the pipeline is likely to lead to wider public benefit spill-overs for New Zealand

Pathway to Market (20 per cent)

This criterion addresses the systems and processes the applicant has in place to ensure an efficient and effective commercialisation process.

- the ability of the team to identify and protect IP in a timely manner, develop appropriate IP strategies and evaluate market potential of alternative IP opportunities
- stage-gating or decision making processes for commercialisation projects
- management of funding pipeline and deal flow
- commercialisation networks in key target markets including relationships with end users, purchasers and distribution partners

Ability to Deliver (20 per cent)

This criterion measures the ability of the applicant and its commercialisation team to deliver positive commercialisation outcomes.

- the governance structure of the applicant
- the leadership, project management and commercialisation skills of the commercialisation team
- the reputation and track record of delivering successful commercial outcomes by the team
- the collaborative efforts shown by the team with other organisations that have complementary skills
- whether the team has access to the facilities needed to undertake R&D effectively and efficiently

Future Commercialisation Capability (10 per cent)

This criterion measures the applicant's ability to transfer technology, become more innovative, and to build its commercialisation capabilities and skills.

- training commercialisation staff receive on commercialisation drivers and processes
- engagement with businesses, industry and other research organisations
- how the pipeline will be maintained and grown

Vision Mātauranga assessment

Vision Mātauranga is assessed within all of the criteria. It is not a separate or additional assessment.

The validity of the Vision Mātauranga content in a proposal is context specific. It depends on the issue being addressed, the contribution of Māori-held knowledge, the processes and principles described, and the outcomes sought. Assessment of proposals will look for clear identification, inclusion and evidence of relevant Māori-held knowledge or resources in each proposal and how they contribute to the above assessment criteria. Proposals should be specific, reflect integrity and be fit for purpose given the goals of PreSeed.

APPENDIX B: CfP GLOSSARY

Alert e-newsletter

A web-based communication tool used by MBIE to provide up-to-date information on its activities, including the PreSeed investment round. You can subscribe to *Alerts* at the [MBIE website](#).

ANZSRC (Australia and New Zealand Standard Research Classification) codes

A standard classification that allows research and development activities to be categorised according to their intended purpose or outcome. Definitions are available online (see Appendix C).

Assessors

Independent experts, appointed by MBIE, who will assess proposals against the assessment criteria.

Call for Proposals (CfP)

A mechanism for inviting eligible organisations to submit proposals to MBIE for the allocation of science funding. The CfP is one of a suite of documents that provides guidance for applicants on preparation of proposals and MBIE's contestable investment process.

Creative Commons

Creative Commons, best known for its licenses, is a global nonprofit organization that enables sharing and reuse of creativity and knowledge through the provision of free legal tools. You can read more about Creative Commons at <http://creativecommons.org/>.

Conflict of interest

Conflicts may occur at various levels, for example:

- Direct* involvement in a proposal (eg, as a collaborator), a close professional or personal relationship with the applicant, direct involvement in a competing proposal
- Indirect* an employee of the same organisation as the applicant, but not directly conflicted, a professional or personal acquaintance with the applicant, indirect involvement in a competing proposal

FOR (field of research) codes

Coding under the ANZSRC classification scheme that describes fields of research.

Gazette Notice

Notices in the New Zealand Gazette, the Government's official newspaper and authoritative journal of record that is produced every Thursday by the Department of Internal Affairs.

MBIE portal

The online interface through which applicants submit proposals and MBIE manages contracts.

Per annum

Per annum refers to funding available per investment year (from 1 July to 30 June).

Research organisation

An organisation that has internal capability for carrying out research, science, or technology or related activities (RS&T).

SEO (social and economic outcomes) codes

Coding under the ANZSRC classification scheme that describes social and economic outcomes of research.

Vision Mātauranga

The government policy that aims to unlock the science and innovation potential of Māori knowledge, people and resources for the benefit of New Zealand. The [Vision Mātauranga policy](#) is embedded across all MBIE's science investments.

APPENDIX C: LINKED DOCUMENTS

The table below provides the Web addresses (URL) of all documents that are hyperlinked in the Web-based version of this CfP.

<i>Document</i>	<i>Available on the Web at:</i>
ANZSRC codes	http://www.abs.gov.au/ausstats/abs@.nsf/Latestproducts/1297.0Main%20Features52008?opendocument&tabname=Summary&prodno=1297.0&issue=2008&num=&view=
Business Growth Agenda	http://www.mbie.govt.nz/info-services/business/business-growth-agenda
Creative Commons Attribution 3.0 New Zealand (CC-BY)	http://creativecommons.org/licenses/by/3.0/nz/ http://creativecommons.org/licenses/by/3.0/nz/legalcode
Environmental data policy statement	http://www.mbie.govt.nz/publications-research/publications/science-and-innovation/MBIE_Environmental-Data-Management-Policy-Statement.pdf
Guidelines for Completing Proposals 2016 (Proposal Guidelines)	An <i>Alert</i> will be posted when Completion Guidelines are available
Guidelines for Assessing Proposals (including scoring guides)	An <i>Alert</i> will be posted when Assessment Guidelines are available
He Kei Kai Aku Ringa	http://www.tpk.govt.nz/documents/download/215/He-Kai-Kei-Aku-Ringa-Strategy.pdf (cut and paste link into your browser)
MBIE Contestable Research Fund Investment Plan	http://www.mbie.govt.nz/info-services/science-innovation/investment-funding/current-funding/science-investment-round/document-image-library/investment-plan.pdf
MBIE's website (contestable funding)	http://www.mbie.govt.nz/info-services/science-innovation/investment-funding
MBIE <i>Alert</i> e-newsletter (to subscribe)	http://www.mbie.govt.nz/info-services/science-innovation/subscribe
National Statement of Science Investment 2015–2025 (NSSI)	http://www.mbie.govt.nz/info-services/science-innovation/pdf-library/NSSI%20Final%20Document%202015.pdf
New Zealand Gazette Notice, Number 2013-go3481	RS&T Funding Subject to a Separate Decision-making Process , <i>New Zealand Gazette</i> , 6 June 2013, page 1918
New Zealand Government Open Access and Licensing Framework	http://ict.govt.nz/guidance-and-resources/information-and-data/nzgoal/
Official Information Act	http://www.legislation.govt.nz/act/public/1982/0156/latest/DLM64785.html
Portal guidelines for applicants	An <i>Alert</i> will be posted when Portal Guidelines are available
PreSeed investment contract	An <i>Alert</i> will be posted when the contract is available
State Sector Act	http://www.legislation.govt.nz/act/public/1988/0020/latest/DLM129110.html
Vision Mātauranga policy	http://www.mbie.govt.nz/info-services/science-innovation/unlocking-maori-potential

APPENDIX D: FURTHER TERMS AND CONDITIONS THAT APPLY TO THIS CALL FOR PROPOSALS

General

The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a proposal (hereafter referred to as “you”) will be deemed to have agreed to the Call for Proposals (CfP) terms and conditions without reservation or variation.

Investigations and reliance on information

You must examine this CfP and any documents referenced by this CfP and carry out all necessary investigations before submitting a proposal. If you are in doubt as to the meaning of any part of this CfP, you must set out in your proposal the interpretation and any assumptions you used.

MBIE will not be liable (in contract or tort, including negligence, or otherwise) to anyone who relies on any information provided by or on behalf of MBIE in or in connection with this CfP.

Reliance by applicants

All information contained in this CfP or given to you by MBIE is for the purpose of allowing you to prepare your proposal. MBIE has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be updated.

Reliance by MBIE

MBIE may rely upon all statements made by any applicant in its proposal and in correspondence or negotiations with MBIE or its representatives. If an applicant’s proposal is approved by MBIE, any such statements may be included within a contract with MBIE.

Each applicant must ensure all information provided to MBIE is complete and accurate. MBIE is under no obligation to check any proposal for errors, omissions, or inaccuracies. You must notify MBIE promptly upon becoming aware of any errors, omissions, or inaccuracies in its proposal or in any additional information you provide.

Inducements

You must not directly or indirectly provide any form of inducement or reward to any assessment panel member, officer, employee, advisor, or other representative of MBIE in connection with this CfP.

Business-as-usual communications (relating to funding under existing arrangements between MBIE and your organisation) will be maintained with the usual contacts. However, during the CfP process, you must not use business-as-usual contacts to solicit or discuss details of this CfP or any proposal you have, or intend to, submit, with any person at MBIE or its agents, including the assessment panel members.

Ownership and intellectual property

This CfP and any other documents MBIE provides to you remain the property of MBIE. All copyright and other intellectual property rights in this CfP and in any other documentation or information provided to you or any other person by or on behalf of MBIE in connection with this CfP will remain with, and belong at all times to, MBIE or its licensors.

MBIE may request at any time the immediate return of all documents supplied and any copies made of them. You must comply with any such request in a timely manner.

Any proposals or information you supply to MBIE will become the property of MBIE and may not be returned to you. Ownership of the intellectual property rights in a proposal does not pass to MBIE. However, in submitting your proposal, you grant MBIE a nonexclusive, non-transferable, perpetual licence to use, disclose, and copy your proposal for any purpose related to this CfP process.

By submitting a proposal, you warrant that the provision to MBIE of the information contained in your proposal, and MBIE's use of it for the evaluation of your proposal and for any resulting negotiation, will not breach any third-party intellectual property rights.

Confidentiality

MBIE will treat your proposal as confidential, but you should be aware that MBIE is subject to the Official Information Act 1982 and may be required to release information supplied in your proposal in accordance with that Act, or as otherwise required by law.

The following parties may read your proposal:

- MBIE's assessment panel
- MBIE staff involved in the investment process
- external expert advisors hired by MBIE to undertake relevant due diligence assessments

Other organisations, identified in the proposals, may be asked for direct feedback

The proposal process

Despite any other provision in the CfP, MBIE reserves the following rights:

- MBIE may amend, suspend, cancel and/or re-issue the CfP, or any part of the CfP.
- MBIE may make any material change to the CfP (including any date) on the condition that you are given a reasonable time within which to respond to the change.
- MBIE may waive irregularities or requirements in or during the CfP process where it considers it appropriate and reasonable to do so.
- Your proposal may not be approved for funding.
- All or any proposal(s) may be rejected.
- Your proposal may be accepted in whole, or in part.
- Any information you provide to MBIE with your proposal may be retained or destroyed.
- Clarification may be sought from any applicant(s) in relation to any matter in connection with this CfP process.
- Any applicant(s) may be contacted, which may be to the exclusion of any other applicant(s), at any time before or after the approval (if any) of proposal(s).
- MBIE may reject, or not consider further, any documentation related to your proposal that may be received from you, unless it is specifically requested.
- This CfP process may be run in such manner as MBIE may see fit.

No contractual obligations created

No contract or other legal obligations arise between you and MBIE out of or in relation to this CfP or CfP process, until a formal written contract (if any) is signed by both you and MBIE.

This CfP does not constitute an offer by MBIE to provide funding or enter into any agreement with you. The call for and receipt of proposals does not imply any obligation on MBIE to contract any funding requested in your proposal. MBIE will not be bound in any way until a PreSeed investment contract is executed.

MBIE makes no representations nor gives any warranties in this CfP.

Any verbal communications made during the CfP process will not be binding on MBIE and are subject to the terms of this CfP.

No process contract

Despite any other provision in this CfP or any other document relating to this CfP, the issue of this CfP does not legally oblige or otherwise commit MBIE to proceed with or follow the process outlined in this CfP or to assess your proposal or enter into any negotiations or contractual arrangements with you.

For the avoidance of doubt, this CfP process does not give rise to a process contract.

Exclusion of liability

Neither MBIE nor any assessment panel members, officers, employees, advisers or other representatives will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by you, your affiliates or any other person in connection with this CfP process, including without limitation:

- a) the assessment process
- b) the preparation of any proposal
- c) any investigations of or by any applicant
- d) concluding any contract
- e) the acceptance or rejection of any proposal
- f) the suspension or cancellation of the process contemplated in this CfP
- g) any information given or not given to any applicant(s)

By participating in this CfP process, you waive any rights you may have to make any claim against MBIE. To the extent that legal relations between MBIE and you cannot be excluded as a matter of law, the liability of MBIE is limited to \$1.

Nothing contained or implied in or arising out of this CfP or any other communications to any applicant shall be construed as legal, financial, or other advice of any kind.

Costs and expenses

MBIE is not responsible for any costs or expenses incurred by you in the preparation of a proposal.

Governing law and jurisdiction

This CfP will be construed according to, and governed by, New Zealand law and you agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning this CfP or any proposal.

Public statements

MBIE may make public the following information:

- the names of project team members
- the proposal title
- the research fund from which the proposal would be funded
- the public statement given by the project team when applying for funding
- the total amount of funding and the period of time for which funding has been approved
- the sector to which the research relates

MBIE asks that you do not release any media statement or other information relating to the process outlined in this CfP, or the submission or approval of any proposal to any public medium without providing sufficient advance notice to MBIE.